

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 Entity**

June 30, 2021

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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 entity (collectively, "RF CUNY"), which comprise the consolidated balance sheets as of June 30, 2021 and 2020, and the related consolidated statements of activities and cash flows for the years then ended, and the related notes to the consolidated financial statements.

Management's responsibility for the 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 audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on the 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 entity as of June 30, 2021 and 2020, and the changes in their net assets and their cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

Other matters*Supplementary information*

Our audits were 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 Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* ("Uniform Guidance") included on pages 23 - 49, and the 2021 consolidating information included on pages 5-6, are presented for purposes of additional analysis and are 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 audits of the 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 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 consolidated financial statements as a whole.

Other reporting required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report, dated October 21, 2021, 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 solely to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the effectiveness of RF CUNY's internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering RF CUNY's internal control over financial reporting and compliance.



New York, New York
October 21, 2021

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

CONSOLIDATED BALANCE SHEETS

As of June 30, 2021 and 2020
(with consolidating information as of June 30, 2021)

	2021					2020
	Consolidating Information			Total		
	Foundation	230 West 41st Street LLC	Eliminations			
ASSETS						
Cash and cash equivalents	\$ 181,255,387	\$ 16,931,511	\$ -	\$ 198,186,898	\$ 197,662,615	
Restricted cash (Notes 2 and 8)	-	1,614,436	-	1,614,436	1,863,850	
Grants, contracts, and accounts receivable (net of allowance of \$3,700,000 in 2021 and \$4,000,000 in 2020)	102,301,763	-	-	102,301,763	103,325,882	
Rent receivable (net of allowance of \$132,193 in 2021 and \$398,339 in 2020)	-	1,208,375	-	1,208,375	468,511	
Prepaid expenses and other assets	4,579,845	1,115,113	-	5,694,958	4,478,918	
Prepaid postretirement benefits asset (Note 4)	19,633,785	-	-	19,633,785	3,065,678	
Investments, at fair value (Note 3)	50,914,594	-	-	50,914,594	49,956,864	
Investment in 230 West 41st Street LLC	23,237,816	-	(23,237,816)	-	-	
Deferred rent receivable	-	21,287,698	(3,794,349)	17,493,349	17,174,454	
Value of in-place leases (net of accumulated amortization of \$2,953,181 in 2021 and \$2,848,707 in 2020)	-	-	-	-	104,474	
Above-market leases (net of accumulated amortization of \$2,007,546 in 2021 and \$1,929,315 in 2020)	-	-	-	-	78,231	
Deferred costs (net of accumulated amortization of \$5,356,570 in 2021 and \$5,063,842 in 2020)	-	1,829,637	-	1,829,637	2,115,470	
Fixed assets:						
Rental property, net (Note 7)	-	40,425,616	-	40,425,616	41,885,961	
Furniture, fixtures, and equipment (net of accumulated depreciation of \$3,533,927 in 2021 and \$3,506,274 in 2020)	13,665	-	-	13,665	41,318	
Total assets	<u>\$ 381,936,855</u>	<u>\$ 84,412,386</u>	<u>\$ (27,032,165)</u>	<u>\$ 439,317,076</u>	<u>\$ 422,222,226</u>	
LIABILITIES AND NET ASSETS						
Liabilities:						
Accounts payable and accrued expenses (Notes 4 and 6)	\$ 84,316,979	\$ 495,054	\$ -	\$ 84,812,033	\$ 94,565,396	
Deferred revenue (Note 5)	88,517,228	24,061	-	88,541,289	89,221,450	
Grants payable to CUNY (Note 9)	4,103,081	-	-	4,103,081	3,261,146	
Deferred rent payable	3,794,349	-	(3,794,349)	-	-	
Tenant security deposits payable	-	407,452	-	407,452	407,452	
Deposits held in custody for CUNY colleges	121,518,707	-	-	121,518,707	112,928,435	
Mortgage loan payable, net (Note 8)	-	60,248,003	-	60,248,003	61,639,970	
Total liabilities	<u>302,250,344</u>	<u>61,174,570</u>	<u>(3,794,349)</u>	<u>359,630,565</u>	<u>362,023,849</u>	
Commitments and contingencies (Notes 2, 6 and 10)						
Net assets:						
Without donor restrictions:						
Postretirement benefits	19,633,785	-	-	19,633,785	3,065,678	
230 West 41st Street LLC	23,237,816	23,237,816	(23,237,816)	23,237,816	18,910,440	
Other	36,814,910	-	-	36,814,910	38,222,259	
Total net assets	<u>79,686,511</u>	<u>23,237,816</u>	<u>(23,237,816)</u>	<u>79,686,511</u>	<u>60,198,377</u>	
Total liabilities and net assets	<u>\$ 381,936,855</u>	<u>\$ 84,412,386</u>	<u>\$ (27,032,165)</u>	<u>\$ 439,317,076</u>	<u>\$ 422,222,226</u>	

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

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

CONSOLIDATED STATEMENTS OF ACTIVITIES

For the years ended June 30, 2021 and 2020
(with consolidating information for the year ended June 30, 2021)

	2021				2020
	Consolidating information			Total	
	Foundation	230 West 41st Street LLC	Eliminations		
Grants and contracts administered for others:					
Revenue:					
Governmental	\$ 340,990,967	\$ -	\$ -	\$ 340,990,967	\$ 373,016,991
Private	127,209,230	-	-	127,209,230	136,661,149
Total grants and contracts revenue	<u>468,200,197</u>	<u>-</u>	<u>-</u>	<u>468,200,197</u>	<u>509,678,140</u>
Expenses:					
Research	(154,507,450)	-	-	(154,507,450)	(146,038,405)
Training	(148,761,720)	-	-	(148,761,720)	(167,271,089)
Other sponsored activity	(123,396,902)	-	-	(123,396,902)	(145,858,955)
Other institutional activity	(41,534,125)	-	-	(41,534,125)	(50,509,691)
Total grants and contracts expenses	<u>(468,200,197)</u>	<u>-</u>	<u>-</u>	<u>(468,200,197)</u>	<u>(509,678,140)</u>
Administrative services:					
Revenue:					
Administrative fees	31,960,299	-	-	31,960,299	34,494,614
Investment return	(21,082)	11,355	-	(9,727)	1,803,073
Rental income (Notes 6 and 9)	-	16,061,829	(4,096,553)	11,965,276	13,412,683
Other	41,609	29,819	-	71,428	114,049
Total administrative revenue	<u>31,980,826</u>	<u>16,103,003</u>	<u>(4,096,553)</u>	<u>43,987,276</u>	<u>49,824,419</u>
Expenses:					
Management and general	(32,060,522)	-	4,096,553	(27,963,969)	(31,266,225)
Postretirement credit (Note 4)	2,784,109	-	-	2,784,109	11,920,301
Grants to CUNY for central research initiatives (Note 9)	(2,300,000)	-	-	(2,300,000)	(2,300,000)
Operating expenses of 230 West 41st Street LLC (Note 10)	-	(4,524,556)	-	(4,524,556)	(5,725,100)
Interest expense	-	(2,984,189)	-	(2,984,189)	(3,050,917)
Real estate taxes (Note 11)	-	(1,374,034)	-	(1,374,034)	(1,266,136)
Depreciation and amortization	(27,653)	(1,892,848)	-	(1,920,501)	(2,029,736)
Total administrative expenses	<u>(31,604,066)</u>	<u>(10,775,627)</u>	<u>4,096,553</u>	<u>(38,283,140)</u>	<u>(33,717,813)</u>
Excess of revenue over expenses before other changes	376,760	5,327,376	-	5,704,136	16,106,606
Other changes:					
Change in Foundation investment in 230 West 41st Street LLC	4,327,376	-	(4,327,376)	-	-
230 West 41st Street LLC distribution to Foundation	1,000,000	(1,000,000)	-	-	-
Postretirement benefits changes other than net periodic benefit cost (Note 4)	13,783,998	-	-	13,783,998	(10,066,549)
Increase (decrease) in net assets	19,488,134	4,327,376	(4,327,376)	19,488,134	6,040,057
Net assets at beginning of year	60,198,377	18,910,440	(18,910,440)	60,198,377	54,158,320
Net assets at end of year	<u>\$ 79,686,511</u>	<u>\$ 23,237,816</u>	<u>\$ (23,237,816)</u>	<u>\$ 79,686,511</u>	<u>\$ 60,198,377</u>

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

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

CONSOLIDATED STATEMENTS OF CASH FLOWS

For the years ended June 30, 2021 and 2020

	<u>2021</u>	<u>2020</u>
Cash flows from operating activities:		
Increase in net assets without donor restrictions	\$ 19,488,134	\$ 6,040,057
Adjustments to reconcile increase in net assets without donor restrictions to net cash provided by operating activities:		
Depreciation and amortization	2,042,303	2,172,678
Provision for bad debts	334,512	1,498,339
Postretirement benefits changes other than net periodic benefit cost	(13,783,998)	10,066,549
Net depreciation (appreciation) in fair value of investments	8,589	(5,173)
Changes in assets and liabilities:		
Grants, contracts, accounts, and rents receivable	(50,257)	186,888
Prepaid expenses and other assets	(1,216,040)	(216,415)
Deferred rent receivable	(318,895)	(755,075)
Accounts payable and accrued expenses, and security deposit payable	(9,762,153)	(11,345,821)
Deferred revenue	(680,161)	573,126
Grants payable to CUNY	841,935	681,671
Postretirement benefits payable	(2,784,109)	(11,920,301)
Deposits held in custody for CUNY colleges	<u>8,590,272</u>	<u>12,351,081</u>
Net cash provided by operating activities	<u>2,710,132</u>	<u>9,327,604</u>
Cash flows from investing activities:		
Expenditures for rental property improvements	(26,510)	50,838
Payment of deferred leasing costs	(6,895)	(248,115)
Purchases of investments	(78,290,424)	(91,145,267)
Sales and maturity of investments	<u>77,324,104</u>	<u>96,212,208</u>
Net cash (used in) provided by investing activities	<u>(999,725)</u>	<u>4,869,664</u>
Cash flows from financing activities:		
Principal payments on mortgage loan	<u>(1,435,538)</u>	<u>(1,369,072)</u>
Net cash used in financing activities	<u>(1,435,538)</u>	<u>(1,369,072)</u>
Net increase in cash, cash equivalents, and restricted cash	274,869	12,828,196
Cash, cash equivalents, and restricted cash at beginning of year	<u>199,526,465</u>	<u>186,698,269</u>
Cash, cash equivalents, and restricted cash at end of year	<u>\$ 199,801,334</u>	<u>\$ 199,526,465</u>
Supplemental cash flow disclosure:		
Cash paid for interest	<u>\$ 2,946,300</u>	<u>\$ 3,012,766</u>
Additions for rental property improvements included in accounts payable and accrued expenses	<u>\$ 8,790</u>	<u>\$ 26,902</u>

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

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS

June 30, 2021 and 2020

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 approximately 300,000 square-foot office building located at 230 West 41st Street in New York, New York (the "Property"). The LLC is a single member limited liability company and, accordingly, is treated as a disregarded entity for federal, state, and local income tax purposes.

NOTE 2 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Presentation

The accompanying consolidated financial statements, which consolidate the accounts of the Foundation and the LLC (collectively, "RF CUNY"), are prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America (U.S. GAAP) for external financial reporting by not-for-profit organizations. All intercompany accounts and transactions have been eliminated in consolidation.

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 that 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 that 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, 2021 and 2020, 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.

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

Grants and Contracts Revenue Recognition

RF CUNY recognizes government and private grants and contracts as either contributions or exchange transaction revenues, depending on whether the transaction is reciprocal or nonreciprocal. For contributions, revenue is recognized when a contribution becomes unconditional. Typically, grant and contract agreements contain a right of return or right of release from the respective obligation provision on the part of the grantor and RF CUNY has limited discretion over how funds transferred should be spent. As such, RF CUNY recognizes revenue for these conditional contributions when the related barrier to entitlement has been overcome.

Revenue from grants and contracts is awarded to and accepted by the Foundation and various units of the University, as joint grantees, primarily for research, training, other sponsored activity and other institutional activity. Included in private grants and contracts revenue are grants sponsored by CUNY, totaling approximately \$19,703,000 and \$24,982,000 for the years ended June 30, 2021 and 2020, 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. GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosures of contingencies at the date of the consolidated financial statements and the reported amounts of revenue and expenses during the reporting period. These estimates and assumptions are based on management's best estimates and judgment. Management evaluates its estimates and assumptions on an ongoing basis using historical experience and other factors and adjusts such estimates when facts and circumstances dictate. In the preparation of 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.

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

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 that 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 2021 or 2020.

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.

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

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.

The following table provides a reconciliation of cash, cash equivalents, and restricted cash reported in the consolidated balance sheets that sum to the same such totals shown in the consolidated statements of cash flows:

	<u>2021</u>	<u>2020</u>
Cash and cash equivalents	\$ 198,186,898	\$ 197,662,615
Restricted cash	<u>1,614,436</u>	<u>1,863,850</u>
Total cash, cash equivalents and restricted cash	<u>\$ 199,801,334</u>	<u>\$ 199,526,465</u>

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.

Income Taxes

RF CUNY is exempt from federal income tax under Section 501(a) of the Code as an organization described in section 501(c)(3), though it is subject to tax on income unrelated to its exempt purpose, unless that income is otherwise excluded by the Code.

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

RF CUNY follows guidance that clarifies the accounting for uncertainty in tax positions taken or expected to be taken in a tax return, including issues relating to financial statement recognition and measurement. This guidance provides that the tax effects from an uncertain tax position can only be recognized in the consolidated financial statements if the position is more likely than not to be sustained if the position were to be challenged by a taxing authority. The assessment of the tax position is based solely on the technical merits of the position, without regard to the likelihood that the tax position may be challenged.

New Authoritative Accounting Pronouncements

In February 2016, the Financial Accounting Standards Board (“FASB”) issued Accounting Standards Update (“ASU”) 2016-02, *Leases (Topic 842)*, which requires lessees and lessors to recognize leases on the balance sheet and disclose key information about leasing arrangements. Accounting Standards Codification (“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, 2021 (i.e., fiscal year ending June 30, 2023). Early adoption is permitted. RF CUNY is in the process of evaluating the new guidance and has not determined the impact this standard may have on the consolidated financial statements.

NOTE 3 - INVESTMENTS

Investments held by the Foundation consisted of the following at June 30, 2021 and 2020:

	Fair Value	
	2021	2020
U.S. money market	\$ 2,674,600	\$ 2,440,189
U.S. treasury bills	30,282,626	30,230,364
U.S. government agency obligations	1,064,068	811,696
U.S. equity securities	1,195,943	897,325
U.S. corporate bonds	15,697,357	15,577,290
Total	<u>\$ 50,914,594</u>	<u>\$ 49,956,864</u>

At June 30, 2021 and 2020, 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, 2021 and 2020 was approximately \$12,089,000 and \$12,239,000, 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 \$3,087,713 and \$2,960,242 as of June 30, 2021 and 2020, respectively.

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

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).

Information with respect to the postretirement plan follows:

	<u>2021</u>	<u>2020</u>
Change in benefit obligation:		
Benefit obligation at beginning of year	\$ 192,140,722	\$ 173,931,565
Service cost	5,178,361	4,800,407
Interest cost	4,829,443	5,821,276
Actuarial loss	7,419,892	12,846,557
Benefits paid and administrative expenses	<u>(5,596,808)</u>	<u>(5,259,083)</u>
Benefit obligation at end of year	<u>203,971,610</u>	<u>192,140,722</u>
Change in plan assets:		
Fair value of plan assets at beginning of year	195,206,400	175,143,491
Actual return on plan assets	28,398,995	9,862,909
Employer contributions	5,596,808	15,459,083
Benefits paid and administrative expenses	<u>(5,596,808)</u>	<u>(5,259,083)</u>
Fair value of plan assets at end of year	<u>223,605,395</u>	<u>195,206,400</u>
Funded status, recorded as an asset in the accompanying consolidated balance sheets	<u>\$ (19,633,785)</u>	<u>\$ (3,065,678)</u>
	<u>2021</u>	<u>2020</u>
Components of net periodic cost:		
Service cost	\$ 5,178,361	\$ 4,800,407
Interest cost	4,829,443	5,821,276
Expected return on plan assets	(9,760,320)	(8,757,175)
Recognized prior service credit	<u>2,565,215</u>	<u>1,674,274</u>
Net periodic benefit cost	<u>\$ 2,812,699</u>	<u>\$ 3,538,782</u>
	<u>2021</u>	<u>2020</u>
Weighted average assumptions for the years ended June 30:		
Discount rate used to determine benefit obligation	2.70%	2.55%
Discount rate used to determine net periodic benefit cost	2.55	3.40
Expected return on plan assets	5.00	5.00

For measurement purposes, increases in healthcare costs (6.0% in 2021) were assumed to decrease by 0.25% per year in years 2022 through 2030 to an ultimate rate of 3.5% in 2031 and after.

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

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 2021:

	<u>1% Increase</u>	<u>1% Decrease</u>
Effect on total of service and interest cost components	\$ 2,803,870	\$ (1,460,374)
Effect on postretirement benefit obligation	32,320,002	(29,522,425)

The Foundation made contributions of \$0 and \$10,200,000 to the postretirement plan in 2021 and 2020, respectively. In addition, for the years ended June 30, 2021 and 2020, the Foundation paid claims and expenses of \$5,596,808 and \$5,259,083, respectively. The Foundation expects to contribute or pay claims and expenses aggregating to approximately \$1,000,000 in 2022.

The benefits expected to be paid in each fiscal year from 2022 through 2026 and the five subsequent years are:

Year Ending June 30,

2022	\$ 5,871,423
2023	6,346,993
2024	6,952,759
2025	7,541,244
2026	8,141,071
2027 - 2031	<u>47,625,177</u>
 Total	 <u>\$ 82,478,667</u>

At June 30, 2021 and 2020, the items not yet recognized as a component of net periodic benefit cost follow:

	<u>2021</u>	<u>2020</u>
Net loss	\$ 29,772,100	\$ 43,556,098

The actuarial loss that is expected to be amortized into net periodic cost in fiscal year 2022 is \$793,817.

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, 2021 and 2020, by asset category, follow:

	<u>Target Allocation 2021</u>	<u>Actual Allocation 2021</u>	<u>Target Allocation 2020</u>	<u>Actual Allocation 2020</u>
Growth portfolio:				
Domestic equity securities	24% - 70%	58%	24% - 70%	60%
Debt securities	13% - 42%	25%	13% - 42%	27%
Commodities	0% - 7%	1%	0% - 7%	1%
International equity securities	9% - 34%	7%	9% - 34%	6%
Cash equivalents	0% - 5%	9%	0% - 5%	6%
		<u>100%</u>		<u>100%</u>

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

	Target Allocation 2021	Actual Allocation 2021	Target Allocation 2020	Actual Allocation 2020
Immunized fixed income:				
Debt securities	100%	93%	100%	92%
Cash equivalents	0%	7%	0%	8%
	<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.

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, 2021 and 2020:

	2021			
	Fair Value	Level 1	Level 2	Level 3
Debt securities:				
Fixed income mutual fund	\$ 7,094,835	\$ 7,094,835	\$ -	\$ -
Corporate bonds	67,863,141	-	67,863,141	-
U.S. government obligations	10,504,721	10,504,721	-	-
Foreign bonds	11,320,414	-	11,320,414	-
Other	2,095,338	-	2,095,338	-
Total debt securities	<u>98,878,449</u>	<u>17,599,556</u>	<u>81,278,893</u>	<u>-</u>
Equity securities:				
Equity mutual funds	44,104,037	44,104,037	-	-
U.S. common stock	45,051,900	45,051,900	-	-
American depository receipts	7,548,146	7,548,146	-	-
Foreign stock	3,115,840	3,115,840	-	-
Real estate investment trusts	1,030,205	1,030,205	-	-
Total equity securities	100,850,128	100,850,128	-	-
Short-term investments	<u>14,677,468</u>	<u>14,677,468</u>	-	-
Total	214,406,045	<u>\$ 133,127,152</u>	<u>\$ 81,278,893</u>	<u>\$ -</u>
Investments valued at NAV	<u>9,199,350</u>			
	<u>\$ 223,605,395</u>			

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

	2020			
	Fair Value	Level 1	Level 2	Level 3
Debt securities:				
Fixed income mutual fund	\$ 3,722,512	\$ 3,722,512	\$ -	\$ -
Corporate bonds	82,427,606	-	82,427,606	-
U.S. government obligations	13,362,296	13,362,296	-	-
Foreign bonds	9,557,119	-	9,557,119	-
Other	426,861	-	426,861	-
Total debt securities	<u>109,496,394</u>	<u>17,084,808</u>	<u>92,411,586</u>	<u>-</u>
Equity securities:				
Equity mutual funds	25,884,257	25,884,257	-	-
U.S. common stock	33,116,018	33,116,018	-	-
American depositary receipts	4,579,863	4,579,863	-	-
Foreign stock	1,905,902	1,905,902	-	-
Real estate investment trusts	694,947	694,947	-	-
Total equity securities	<u>66,180,987</u>	<u>66,180,987</u>	<u>-</u>	<u>-</u>
Short-term investments	<u>10,869,577</u>	<u>10,869,577</u>	<u>-</u>	<u>-</u>
Total	<u>186,546,958</u>	<u>\$ 94,135,372</u>	<u>\$ 92,411,586</u>	<u>\$ -</u>
Investments valued at NAV	<u>8,659,442</u>			
	<u>\$ 195,206,400</u>			

The following table summarizes investments for which fair value is measured using the NAV per share practical expedient as of June 30, 2021 and 2020:

	2021 Fair Value	2020 Fair Value	Unfunded Commitments	Redemption Frequency (if Currently Eligible)	Redemption Notice Period	Redemption Restrictions
Common trust funds ^(a)	\$9,199,350	\$ 8,659,442	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.

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

NOTE 5 - DEFERRED REVENUE

At June 30, 2021 and 2020, cash advances for grants and contracts were for the following projects:

	<u>2021</u>	<u>2020</u>
Research	\$ 19,192,429	\$ 19,347,710
Training	23,353,530	22,252,548
Other sponsored activity	24,631,612	25,717,642
Other institutional activity	<u>21,363,718</u>	<u>21,903,550</u>
	<u>\$ 88,541,289</u>	<u>\$ 89,221,450</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>
2022	\$ 13,635,834	\$ 3,475,959	\$ 10,159,875
2023	12,520,460	3,562,858	8,957,602
2024	12,672,441	3,651,929	9,020,512
2025	13,348,995	3,999,551	9,349,444
2026	13,498,928	4,110,684	9,388,244
Thereafter	<u>109,807,650</u>	<u>37,570,072</u>	<u>72,237,578</u>
Total minimum rental receipts	<u>\$ 175,484,308</u>	<u>\$ 56,371,053</u>	<u>\$ 119,113,255</u>

Pursuant to the individual tenant leases, the tenants pay their proportionate share of operating the Property, including real estate taxes, certain insurance premiums, and other expenses that are not included above. CUNY's portion of the above future minimum rental receipts is approximately \$99,000,000.

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 \$3,254,913 included as a component of accounts payable and accrued expenses in the accompanying consolidated balance sheets as of June 30, 2021 and 2020, and is secured by an irrevocable letter of credit to the carrier for the same amount, which expires on December 31, 2021.

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

NOTE 7 - RENTAL PROPERTY

Rental property (86% occupied as of June 30, 2021) consisted of the following at June 30:

	<u>2021</u>	<u>2020</u>
Land	\$ 9,037,040	\$ 9,037,040
Building	36,149,160	36,149,160
Building improvements	12,663,113	12,663,113
Tenant improvements	15,630,186	15,630,186
Construction-in-progress	<u>48,391</u>	<u>13,090</u>
 Total	 73,527,890	 73,492,589
 Accumulated depreciation	 <u>(33,102,274)</u>	 <u>(31,606,628)</u>
 Rental property, net	 <u>\$ 40,425,616</u>	 <u>\$ 41,885,961</u>

NOTE 8 - MORTGAGE LOAN PAYABLE, NET

Outstanding mortgage loan payable as of June 30, 2021 and 2020 consisted of the following:

	<u>2021</u>	<u>2020</u>
Mortgage loan payable	\$ 61,244,157	\$ 62,679,694
Less unamortized costs of issuance	<u>(996,154)</u>	<u>(1,039,724)</u>
 Mortgage loan payable, net	 <u>\$ 60,248,003</u>	 <u>\$ 61,639,970</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 five 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.

At June 30, 2021, future minimum principal payments were as follows:

	<u>Amount</u>
2022	\$ 1,505,230
2023	1,578,306
2024	1,654,929
2025	1,735,271
2026	1,819,516
Thereafter	<u>52,950,905</u>
	 <u>\$ 61,244,157</u>

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

Included in restricted cash in the accompanying consolidated balance sheets are balances in escrow accounts, including interest earned, of approximately \$1,207,000 and \$1,456,00 as of June 30, 2021 and 2020, respectively. Under the terms of the loan, the LLC was 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, 2021 and 2020, rental revenue from CUNY was \$6,175,502 and \$6,024,668, respectively.

In fiscal years 2021 and 2020, the Foundation approved grants to CUNY for central research initiatives of \$2,300,000 annually. Grants payable to CUNY at June 30, 2021 and 2020 were \$4,103,081 and \$3,261,146, respectively.

NOTE 10 - PROPERTY MANAGEMENT FEES

The LLC has a management agreement with a third party to manage and provide leasing services to the Property. The agreement was renewed on July 1, 2020 and will expire on July 1, 2023. 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 and are amortized over the life of the lease.

NOTE 11 - REAL ESTATE TAX EXEMPTION

During fiscal years 2021 and 2020, the LLC obtained a real estate tax reduction amounting to \$1,977,987 and \$1,815,876, respectively, relating to an exemption for the portions of the Property used by CUNY and the Foundation as not-for-profit, tax exempt organizations.

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

NOTE 12 - NATURAL CLASSIFICATION OF EXPENSES

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, 2021 consisted of the following:

	<u>Program Services</u>	<u>Administrative Expenses</u>	<u>Total Expenses</u>
Salaries and fringe	\$ 270,782,228	\$ 22,481,834	\$ 293,264,062
Facilities and administrative costs	55,532,433	-	55,532,433
Subcontracts	46,865,939	-	46,865,939
Independent contractor	17,425,038	-	17,422,404
Stipends	19,991,196	-	19,991,196
Supplies	11,173,734	31,516	11,205,250
Laboratory fees	760,626	-	760,626
Occupancy	8,695,808	-	8,695,808
Travel	672,718	-	672,764
Insurance	251,092	1,764,720	2,015,812
Conference and meeting	476,265	3,546	479,811
Postretirement credit	-	(2,784,109)	(2,784,109)
Interest expense	-	2,984,189	2,984,189
Real estate taxes	-	1,374,034	1,374,034
Depreciation and amortization	-	1,920,501	1,920,501
All other expenses	35,573,120	10,506,909	46,082,617
	<u>\$ 468,200,197</u>	<u>\$ 38,283,140</u>	<u>\$ 506,483,337</u>
Total expenses			

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

Expenses by natural classification for the year ended June 30, 2020 consisted of the following:

	<u>Program Services</u>	<u>Administrative Expenses</u>	<u>Total Expenses</u>
Salaries and fringe	\$ 287,376,029	\$ 23,161,980	\$ 310,538,009
Facilities and administrative costs	60,372,216	-	60,372,216
Subcontracts	57,468,354	-	57,468,354
Independent contractor	17,658,028	199,314	17,857,342
Stipends	19,251,702	-	19,251,702
Supplies	11,485,375	75,254	11,560,629
Laboratory fees	1,071,867	-	1,071,867
Occupancy	5,616,528	-	5,616,528
Travel	5,804,416	8,909	5,813,325
Insurance	1,394,120	1,089,313	2,483,433
Conference and meeting	3,152,383	77,737	3,230,120
Postretirement credit	-	(11,920,301)	(11,920,301)
Interest expense	-	3,050,917	3,050,917
Real estate taxes	-	1,266,136	1,266,136
Depreciation and amortization	-	2,029,736	2,029,736
All other expenses	39,027,122	14,678,818	53,705,940
	<u>\$ 509,678,140</u>	<u>\$ 33,717,813</u>	<u>\$ 543,395,953</u>
Total expenses			

NOTE 13 - LIQUIDITY

As of June 30, 2021 and 2020, financial assets and liquidity resources available within one year for general expenditure, such as operating expenses, were as follows:

	<u>2021</u>	<u>2020</u>
Financial assets:		
Cash and cash equivalents	\$ 198,186,898	\$ 197,662,615
Grants, contracts, and accounts receivable, net	102,301,763	103,325,882
Investments	50,914,594	49,956,864
Less:		
Accounts payable	(84,812,033)	(94,565,396)
Deferred revenue	(88,541,289)	(89,221,450)
Deposits held in custody for CUNY colleges	<u>(121,518,707)</u>	<u>(112,928,435)</u>
Total financial assets available within one year	<u>\$ 56,531,226</u>	<u>\$ 54,230,080</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.

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

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS - CONTINUED

June 30, 2021 and 2020

NOTE 14 - LINE OF CREDIT

RF CUNY entered into a line of credit agreement for \$15 million with First Republic Bank on January 6, 2021. The interest rate on the line of credit shall be equal to the Index minus one-quarter percent (0.25%) per annum but should not be adjusted to less than three percent (3%) per annum. The line of credit is secured by RF CUNY's accounts receivable with a value at June 30, 2021 of \$102 million. RF CUNY did not utilize the line of credit during fiscal 2021, and the outstanding balance at June 30, 2021 was \$0.

The terms of the line of credit require the maintenance of covenants, including financial reporting requirements and liquidity ratio minimums, which the bank may waive or modify at any time at their discretion.

NOTE 15 - COVID-19 PANDEMIC

The COVID-19 pandemic, whose effects first became known in January 2020, is having a broad and profound impact on commerce and financial markets around the world. The extent of the impact of COVID-19 on RF CUNY's operational and financial performance will depend on certain developments, including the duration and spread of the outbreak and its impact on its grantees, employees and vendors, all of which at present cannot be determined. Accordingly, the extent to which COVID-19 may impact RF CUNY's financial position and changes in net assets and cash flows is uncertain and the accompanying consolidated financial statements include no adjustments relating to the effects of this pandemic.

NOTE 16 - SUBSEQUENT EVENTS

RF CUNY evaluated events subsequent to June 30, 2021 and through October 21, 2021, 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 Entity

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2021

Federal Grantor/Pass-Through, Grantor Program, or Cluster Title	Federal Assistance Listing 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:						
Birth Defects and Developmental Disabilities - Prevention and Surveillance/ Pass-through - University of South Carolina	93.073	20-4113	\$ -	\$ 138,390	\$ 138,390	\$ -
Healthy Marriage Promotion and Responsible Fatherhood Grants/ Pass-through - Osborne Association, Inc.	93.086	7H121-00 01	-	140,435	140,435	-
Environmental Health	93.113	N/A	600,928	-	600,928	427,688
Environmental Health/Pass-through - Columbia University	93.113	1 (GG008430)	-	2,228	2,228	-
			<u>600,928</u>	<u>2,228</u>	<u>603,156</u>	<u>427,688</u>
Centers for Research and Demonstration for Health Promotion and Disease Prevention/Pass-through - New York University School of Medicine	93.135	18-A0-00-1001506	-	111,341	111,341	-
Centers for Research and Demonstration for Health Promotion and Disease Prevention/Pass-through - New York University School of Medicine	93.135	19-A0-S2-1001506	-	46,215	46,215	-
			-	157,556	157,556	-
NIEHS Hazardous Waste Worker Health and Safety Training/ Pass-through - Steelworkers Charitable & Educational Organization	93.142	5U45ES006175	-	73,422	73,422	-
NIEHS Superfund Hazardous Substances - Basic Research and Education	93.143	N/A	36,340	-	36,340	12,456
Human Genome Research/Pass-through - John Hopkins University	93.172	2003978368	-	167,356	167,356	-
Research Related to Deafness and Communication Disorders	93.173	N/A	64,013	-	64,013	-
Research Related to Deafness and Communication Disorders/ Pass-through - Haskins Laboratories	93.173	A93-538.00	-	160,553	160,553	-
Research Related to Deafness and Communication Disorders/ Pass-through - New York University	93.173	F1399-02	-	30,139	30,139	-
Research Related to Deafness and Communication Disorders/ Pass-through - University of Connecticut	93.173	365809	-	159,420	159,420	-
			<u>64,013</u>	<u>350,112</u>	<u>414,125</u>	<u>-</u>
Disabilities Prevention/Pass-through - University of South Carolina	93.184	21-4181	-	146,077	146,077	-
Research on Healthcare Costs, Quality and Outcomes	93.226	N/A	24,060	-	24,060	-
COVID 19 Research on Healthcare Costs, Quality and Outcomes	93.226	N/A	73,968	-	73,968	-
			<u>98,028</u>	<u>-</u>	<u>98,028</u>	<u>-</u>
National Center on Sleep Disorders Research	93.233	N/A	21,720	-	21,720	-
Mental Health Research Grants	93.242	N/A	5,056,872	-	5,056,872	906,772
Mental Health Research Grants/Pass-through - Albert Einstein College of Medicine	93.242	311497	-	20,565	20,565	-
Mental Health Research Grants/Pass-through - Albert Einstein College of Medicine	93.242	311685	-	13,476	13,476	-
Mental Health Research Grants/Pass-through - Columbia University	93.242	2(GG015869-01)	-	51,480	51,480	-
Mental Health Research Grants/Pass-through - Icahn School of Medicine at Mount Sinai	93.242	0255-4261-4609	-	19,964	19,964	-
Mental Health Research Grants/Pass-through - New York Blood Center	93.242	IDP-NIH620	-	46,162	46,162	-
Mental Health Research Grants/Pass-through - New York Blood Center	93.242	IDP-NIH686	-	27,989	27,989	-
Mental Health Research Grants/Pass-through - New York University School of Medicine	93.242	19-A0-00-1003493	-	33,153	33,153	-
Mental Health Research Grants/Pass-through - Research Foundation for Mental Hygiene Inc.	93.242	1013361	-	1,295	1,295	-
Mental Health Research Grants/Pass-through - Research Foundation for Mental Hygiene Inc.	93.242	1013362-5-26526	-	74,417	74,417	-

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Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	1014671/6/26985	\$ -	\$ 61,098	\$ 61,098	\$ -
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	1015806/3/27373	-	25,332	25,332	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	1016815/4/27699	-	1,831	1,831	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	1016868/33/27720	-	17,605	17,605	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	137606	-	17,054	17,054	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	147296	-	36,782	36,782	-
Mental Health Research Grants/Pass-through – Research Foundation for Mental Hygiene Inc.	93.242	PO148008	-	1,655	1,655	-
Mental Health Research Grants/Pass-through – Thomas Jefferson University	93.242	080-19250-S36601	-	63,747	63,747	-
			<u>5,056,872</u>	<u>513,605</u>	<u>5,570,477</u>	<u>906,772</u>
Occupational Safety and Health Program	93.262	N/A	96,680	-	96,680	-
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0253-6530-4609	-	143,065	143,065	-
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0253-6539-4609	-	62,942	62,942	-
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0254-5934-4609	-	44,488	44,488	-
Occupational Safety and Health Program/Pass-through – Icahn School of Medicine at Mount Sinai	93.262	0254-5935-4609	-	72,457	72,457	-
			<u>96,680</u>	<u>322,952</u>	<u>419,632</u>	<u>-</u>
Alcohol Research Programs	93.273	N/A	254,423	-	254,423	80,665
Alcohol Research Programs/Pass-through - Brown University	93.273	00001286	-	11,974	11,974	-
Alcohol Research Programs/Pass-through - Brown University	93.273	00001288	-	854	854	-
Alcohol Research Programs/Pass-through - Brown University	93.273	00001326	-	(201)	(201)	-
Alcohol Research Programs/Pass-through - Feinstein Institute for Medical Research	93.273	500693HC	-	57,970	57,970	-
			<u>254,423</u>	<u>70,597</u>	<u>325,020</u>	<u>80,665</u>
Drug Abuse and Addiction Research Programs	93.279	N/A	3,566,652	-	3,566,652	393,765
Drug Abuse and Addiction Research Programs/Pass-through - Albert Einstein College of Medicine	93.279	311761	-	74,022	74,022	-
Drug Abuse and Addiction Research Programs/Pass-through - Columbia University	93.279	05(GG015428-05)	-	22,411	22,411	-
Drug Abuse and Addiction Research Programs/Pass-through - Columbia University	93.279	5(GG015428)	-	(38,868)	(38,868)	-
Drug Abuse and Addiction Research Programs/Pass-through - Columbia University	93.279	5(GG0154280-03)	-	834,554	834,554	-
Drug Abuse and Addiction Research Programs/Pass-through - New York University	93.279	F1147-10	-	281	281	-
Drug Abuse and Addiction Research Programs/Pass-through - New York University	93.279	F1271-12	-	25,067	25,067	-
Drug Abuse and Addiction Research Programs/Pass-through - New York University	93.279	F1271-13	-	30,180	30,180	-
Drug Abuse and Addiction Research Programs/Pass-through - University of Miami	93.279	SPC-001059	-	54,059	54,059	-
Drug Abuse and Addiction Research Programs/Pass-through - Weill Cornell Medical College	93.279	192337-3	-	9,322	9,322	-
Drug Abuse and Addiction Research Programs/Pass-through - Weill Cornell Medical College	93.279	204048-3	-	25,928	25,928	-
			<u>3,566,652</u>	<u>1,036,956</u>	<u>4,603,608</u>	<u>393,765</u>

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Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	N/A	\$ 728,145	\$ -	\$ 728,145	\$ -
Discovery and Applied Research for Technological Innovations to Improve Human Health/ Pass-through - Carnegie Mellon University	93.286	1090608-427026	-	52,660	52,660	-
Discovery and Applied Research for Technological Innovations to Improve Human Health/ Pass-through - The University of Chicago	93.286	FP069028-B	-	126,560	126,560	-
			<u>728,145</u>	<u>179,220</u>	<u>907,365</u>	<u>-</u>
Teenage Pregnancy Prevention Program/Pass-through - Center for Innovative Public Health Research	93.297	TP2AH000035	-	16,024	16,024	-
Minority Health and Health Disparities Research	93.307	N/A	483,516	-	483,516	56,312
Minority Health and Health Disparities Research/Pass-through - Northwestern University	93.307	60044313 CUNY	-	337,609	337,609	-
Minority Health and Health Disparities Research/Pass-through - University of Illinois	93.307	079243-16911	-	60,619	60,619	-
Minority Health and Health Disparities Research/Pass-through - University of Pittsburgh	93.307	CNVA00047269(127)	-	14,096	14,096	-
			<u>483,516</u>	<u>412,324</u>	<u>895,840</u>	<u>56,312</u>
Trans-NIH Research Support/Pass-through - Columbia University	93.310	3(GG012298-07)	-	81,393	81,393	-
Rare Disorders: Research, Surveillance, Health Promotion, and Education/Pass-through - South Carolina Department of Health and Environmental Control	93.315	PH-1-265	-	65,956	65,956	-
Rare Disorders: Research, Surveillance, Health Promotion, and Education/Pass-through - South Carolina Department of Health and Environmental Control	93.315	PH-1-266	-	43,420	43,420	-
			<u>-</u>	<u>109,376</u>	<u>109,376</u>	<u>-</u>
National Center for Advancing Translational Sciences/Pass-through - Columbia University	93.350	1GG015712	-	97,434	97,434	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	1GG015712-05	-	20,448	20,448	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	193593-6	-	2,380	2,380	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	203581-6	-	56,482	56,482	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	203581-7	-	57,039	57,039	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	203851-9	-	34,527	34,527	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	5250051103	-	26,921	26,921	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	5250051218	-	19,023	19,023	-
National Center for Advancing Translational Sciences/Pass-through - Weill Cornell Medical College	93.350	5250051224	-	7,983	7,983	-
			<u>-</u>	<u>322,237</u>	<u>322,237</u>	<u>-</u>
Nursing Research/Pass-through - Columbia University	93.361	3(GG014619-10)	-	9,261	9,261	-
Cancer Cause and Prevention Research	93.393	N/A	761,352	-	761,352	121,734
Cancer Cause and Prevention Research/Pass-through - Duke University	93.393	A031196	-	47,888	47,888	-
Cancer Cause and Prevention Research/Pass-through - Health Research, Inc.	93.393	228-05	-	68,509	68,509	-
Cancer Cause and Prevention Research/Pass-through - Health Research, Inc.	93.393	228-06	-	131,544	131,544	-
Cancer Cause and Prevention Research/Pass-through - Memorial Sloan Kettering Cancer Center	93.393	BD523341B	-	102,222	102,222	-
Cancer Cause and Prevention Research/Pass-through - Memorial Sloan Kettering Cancer Center	93.393	BD523341C	-	13,971	13,971	-
Cancer Cause and Prevention Research/Pass-through - New York University School of Medicine	93.393	109196	-	10,562	10,562	-
			<u>761,352</u>	<u>374,696</u>	<u>1,136,048</u>	<u>121,734</u>

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Cancer Detection and Diagnosis Research	93.394	N/A	\$ 572,005	\$ -	\$ 572,005	\$ 204,534
Cancer Detection and Diagnosis Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.394	BD519929E	-	57,854	57,854	-
Cancer Detection and Diagnosis Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.394	BD520095A	-	7,513	7,513	-
Cancer Detection and Diagnosis Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.394	BD523891A	-	6,885	6,885	-
Cancer Detection and Diagnosis Research/Pass-through – Memorial Sloan Kettering Cancer Center	93.394	BD523891B	-	61,946	61,946	-
			<u>572,005</u>	<u>134,198</u>	<u>706,203</u>	<u>204,534</u>
Cancer Treatment Research	93.395	N/A	435,403	-	435,403	-
Cancer Biology Research	93.396	N/A	136,486	-	136,486	-
Cancer Biology Research/Pass-through – Massachusetts General Hospital	93.396	229675	-	146,425	146,425	-
Cancer Biology Research/Pass-through – The Rockefeller University	93.396	SUB00000136	-	160,232	160,232	-
			<u>136,486</u>	<u>306,657</u>	<u>443,143</u>	<u>-</u>
Cancer Centers Support Grants	93.397	N/A	2,451,984	-	2,451,984	114,842
Cancer Centers Support Grants/Pass-through- Memorial Sloan Kettering Cancer Center	93.397	BD527281	-	42,000	42,000	-
Cancer Centers Support Grants/Pass-through- Memorial Sloan Kettering Cancer Center	93.397	BD527577	-	13,610	13,610	-
Cancer Centers Support Grants/Pass-through- Memorial Sloan Kettering Cancer Center	93.397	BD528103	-	6,990	6,990	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2019-01	-	6,050	6,050	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2019-02	-	1,747	1,747	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2019-03	-	6,958	6,958	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2019-04	-	3,557	3,557	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2019-05	-	3,866	3,866	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2019-06	-	140	140	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2019-07	-	9,311	9,311	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2020-01	-	7,667	7,667	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2020-02	-	6,871	6,871	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2020-03	-	7,999	7,999	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2020-04	-	808	808	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2020-05	-	11,660	11,660	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2020-06	-	11,215	11,215	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2020-07	-	7,261	7,261	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2020-08	-	11,397	11,397	-
Cancer Centers Support Grants/Pass-through- Temple University	93.397	2020-09	-	5,218	5,218	-
			<u>2,451,984</u>	<u>164,325</u>	<u>2,616,309</u>	<u>114,842</u>
Cancer Research Manpower	93.398	N/A	127,670	-	127,670	-
ACL National Institute on Disability, Independent Living, and Rehabilitation Research	93.433	N/A	1,372,302	-	1,372,302	548,413
Child Welfare Research Training or Demonstration/ Pass-through - University of Maryland	93.648	1400328D	-	15,437	15,437	-
Cardiovascular Diseases Research	93.837	N/A	505,398	-	505,398	306,212
Cardiovascular Diseases Research/Pass-through - Brigham and Women's Hospital, Inc.	93.837	116900	-	101,246	101,246	-

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Cardiovascular Diseases Research/Pass-through - New York University School of Medicine	93.837	17-A0-00-1000209	\$ -	\$ 229,522	\$ 229,522	\$ -
Cardiovascular Diseases Research/Pass-through - Research Foundation of SUNY	93.837	100109165483591	-	1,187	1,187	-
			<u>505,398</u>	<u>331,955</u>	<u>837,353</u>	<u>306,212</u>
Lung Diseases Research	93.838	N/A	51,153	-	51,153	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders/Pass-through - Weill Cornell Medical College	93.840	193560-01	-	4,221	4,221	-
Translation and Implementation Science Research for Heart, Lung, Blood Diseases, and Sleep Disorders/Pass-through - Weill Cornell Medical College	93.840	203536	-	60,078	60,078	-
			<u>-</u>	<u>64,299</u>	<u>64,299</u>	<u>-</u>
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	N/A	742,831	-	742,831	309,945
Arthritis, Musculoskeletal and Skin Diseases Research/Pass-through - Hospital for Special Surgery	93.846	003	-	14,279	14,279	-
Arthritis, Musculoskeletal and Skin Diseases Research/Pass-through - Hospital for Special Surgery	93.846	004	-	3,848	3,848	-
Arthritis, Musculoskeletal and Skin Diseases Research/Pass-through - Icahn School of Medicine at Mount Sinai	93.846	0255-4183-4609	-	119,164	119,164	-
			<u>742,831</u>	<u>137,291</u>	<u>880,122</u>	<u>309,945</u>
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	N/A	220,358	-	220,358	21,364
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	N/A	4,054,505	-	4,054,505	392,934
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - Rush University Medical Center	93.853	13012104-SUB04	-	1,206	1,206	-
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - University of Texas Southwestern Medical College	93.853	GMO191003	-	159,626	159,626	-
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - University of Wisconsin	93.853	841K525	-	116,252	116,252	-
Extramural Research Programs in the Neurosciences and Neurological Disorders/Pass-through - Washington University at St. Louis	93.853	WU-16-154-MOD-4	-	1,389	1,389	-
			<u>4,054,505</u>	<u>278,473</u>	<u>4,332,978</u>	<u>392,934</u>
Allergy and Infectious Diseases Research	93.855	N/A	3,552,179	-	3,552,179	91,280
COVID 19 - Allergy and Infectious Diseases Research	93.855	N/A	2,202,374	-	2,202,374	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	7Z101-00 02	-	36,712	36,712	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	7Z109-00 02	-	10,180	10,180	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	311558	-	7,781	7,781	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	31167A	-	178,848	178,848	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	311729	-	11,059	11,059	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	311885	-	20,528	20,528	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	311886	-	85,101	85,101	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	311887	-	81,336	81,336	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	311888	-	123,486	123,486	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	311894	-	54,671	54,671	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	31199H	-	678	678	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	31199M	-	5,605	5,605	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	31199N	-	13,742	13,742	-
Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	31614H	-	6,578	6,578	-

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Allergy and Infectious Diseases Research/Pass-through - Albert Einstein College of Medicine	93.855	31614J	\$ -	\$ 453,270	\$ 453,270	\$ -
Allergy and Infectious Diseases Research/Pass-through - Memorial Sloan Kettering Cancer Center	93.855	BD518963D	-	80,381	80,381	-
Allergy and Infectious Diseases Research/Pass-through - St. Louis University	93.855	19078-45137	-	94,106	94,106	-
			<u>5,754,553</u>	<u>1,264,062</u>	<u>7,018,615</u>	<u>91,280</u>
Biomedical Research and Research Training	93.859	N/A	13,860,863	-	13,860,863	315,951
Biomedical Research and Research Training/Pass-through – Albert Einstein College of Medicine	93.859	311457	-	1,048	1,048	-
Biomedical Research and Research Training/Pass-through – Albert Einstein College of Medicine	93.859	311739	-	51,345	51,345	-
Biomedical Research and Research Training/Pass-through – New York Structural Biology Center	93.859	G-00914-02	-	125,006	125,006	-
Biomedical Research and Research Training/Pass-through – New York Structural Biology Center	93.859	G00913-02	-	94	94	-
Biomedical Research and Research Training/Pass-through – Research Foundation at Stony Brook	93.859	86514-2-1157840	-	45,400	45,400	-
Biomedical Research and Research Training/Pass-through – Research Foundation at Stony Brook	93.859	88001/1161028	-	24,788	24,788	-
Biomedical Research and Research Training/Pass-through – Rutgers University	93.859	1178	-	5,684	5,684	-
Biomedical Research and Research Training/Pass-through – Rutgers University	93.859	1699	-	57,580	57,580	-
Biomedical Research and Research Training/Pass-through – University of Delaware	93.859	48215	-	125,318	125,318	-
Biomedical Research and Research Training/Pass-through – University of Michigan	93.859	3004658795	-	55,854	55,854	-
Biomedical Research and Research Training/Pass-through – University of Michigan	93.859	SUBK00006975	-	144,779	144,779	-
Biomedical Research and Research Training/Pass-through – University of Texas at Austin	93.859	UTA17-001185	-	180,940	180,940	-
			<u>13,860,863</u>	<u>817,836</u>	<u>14,678,699</u>	<u>315,951</u>
Child Health and Human Development Extramural Research	93.865	N/A	865,336	-	865,336	166,242
Child Health and Human Development Extramural Research/ Pass-through – Albert Einstein College of Medicine	93.865	310944	-	7,146	7,146	-
Child Health and Human Development Extramural Research/ Pass-through – Brown University	93.865	00001470	-	37,415	37,415	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	7F317-00 05	-	3,524	3,524	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R000002549	-	11,196	11,196	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R000002660	-	856,380	856,380	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R000002661	-	520,699	520,699	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R02144	-	45,688	45,688	-
Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R02165	-	1,138	1,138	-

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Child Health and Human Development Extramural Research/ Pass-through – Florida State University	93.865	R02198	\$ -	\$ 46,002	\$ 46,002	\$ -
Child Health and Human Development Extramural Research/ Pass-through – Johns Hopkins University	93.865	2004508303	-	85,891	85,891	-
Child Health and Human Development Extramural Research/ Pass-through – New York University	93.865	F0966-01	-	18,702	18,702	-
Child Health and Human Development Extramural Research/ Pass-through – Pennsylvania State University	93.865	5948-QU-DHHS-415	-	22,752	22,752	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5114031	-	5,983	5,983	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5114544	-	20,956	20,956	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5116602	-	7,163	7,163	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5117566	-	26,555	26,555	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5117719	-	218,684	218,684	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5117868	-	19,448	19,448	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5118654	-	46,406	46,406	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5118659	-	47,414	47,414	-
Child Health and Human Development Extramural Research/ Pass-through – University of North Carolina	93.865	5119517	-	679	679	-
Child Health and Human Development Extramural Research/ Pass-through – Washington University at St. Louis	93.865	WU-17-138-MOD-5	-	12,210	12,210	-
			<u>865,336</u>	<u>2,062,031</u>	<u>2,927,367</u>	<u>166,242</u>
Aging Research	93.866	N/A	1,994,738	-	1,994,738	412,521
COVID 19 - Aging Research	93.866	N/A	151,660	-	151,660	-
Aging Research/Pass-through – Cassava Sciences, Inc.	93.866	76434-00 03	-	64,729	64,729	-
Aging Research/Pass-through – Cassava Sciences, Inc.	93.866	1R44AG060878-01	-	104,647	104,647	-
Aging Research/Pass-through – Columbia University	93.866	3(GG012026-01)	-	104,953	104,953	-
Aging Research/Pass-through – Loma Linda University	93.866	2190077	-	62,946	62,946	-
Aging Research/Pass-through – New York University	93.866	F1037-01	-	218,618	218,618	-
Aging Research/Pass-through – Rush University Medical Center	93.866	17091805-SUB01	-	143,143	143,143	-
Aging Research/Pass-through – University of Washington	93.866	UWSC9788	-	20,165	20,165	-
			<u>2,146,398</u>	<u>719,201</u>	<u>2,865,599</u>	<u>412,521</u>
Vision Research	93.867	N/A	285,437	-	285,437	-
Vision Research/Pass-through - Yale University	93.867	GR110401 (CON-80002485)	-	4,981	4,981	-
			<u>285,437</u>	<u>4,981</u>	<u>290,418</u>	<u>-</u>
Medical Library Assistance	93.879	N/A	59,720	-	59,720	-
Medical Library Assistance/Pass-through - Columbia University	93.879	1(GG015654)	-	69,529	69,529	-
Medical Library Assistance/Pass-through - Columbia University	93.879	2(GG015654-03)	-	23,006	23,006	-
			<u>59,720</u>	<u>92,535</u>	<u>152,255</u>	<u>-</u>

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International Research and Research Training/Pass-through - Rutgers University	93.989	1681	\$ -	\$ 29,003	\$ 29,003	\$ -
Various	93.U01	N/A	22,802	-	22,802	-
Various/Pass-through – ABT Associates Inc.	93.U02	HPOG2-HOSTOS	-	24,110	24,110	-
Various/Pass-through – Harvard Pilgrim Health Care	93.U03	TASK 0004	-	42,700	42,700	-
Various/Pass-through – Memorial Sloan Kettering Cancer Center	93.U04	CRA164	-	17,289	17,289	-
Total U.S. Department of Health and Human Services			45,433,873	11,130,600	56,564,473	4,883,630
U.S. Department of Agriculture:						
Higher Education - Institution Challenge Grants Program/Pass-through - Michigan State University	10.217	RC109638MEC	-	32,529	32,529	-
Higher Education - Institution Challenge Grants Program/Pass-through - University of Minnesota	10.217	H004972103	-	3	3	-
			-	32,532	32,532	-
Hispanic Serving Institutions Education Grants	10.223	N/A	140,540	-	140,540	-
Community Food Projects/Pass-through - Council on the Environment Inc.	10.225	7Z076-00 03	-	12,160	12,160	-
Community Food Projects/Pass-through - Council on the Environment Inc.	10.225	CFP18-01	-	12,487	12,487	-
			-	24,647	24,647	-
Research Innovation and Development Grants in Economic (RIDGE)/Pass-through - Tufts University	10.255	AG9002 DICKINSON	-	13,307	13,307	-
Agriculture and Food Research Initiative (AFRI)	10.310	N/A	44,114	-	44,114	-
Agriculture and Food Research Initiative (AFRI)/Pass-through - University of Tennessee	10.310	2014-67001-2185	-	(204)	(204)	-
			44,114	(204)	43,910	-
Healthy Food Financing Initiative/Pass-through - The Reinvestment Fund, Inc.	10.872	7Z066-00 02	-	11,357	11,357	-
Soil Survey	10.903	N/A	7,918	-	7,918	149
Soil Survey/Pass-through - University of Connecticut	10.903	375622	-	5,999	5,999	-
			7,918	5,999	13,917	149
Total U.S. Department of Agriculture			192,572	87,638	280,210	149
U.S. Department of Commerce:						
NOAA Mission-Related Education Awards	11.008	N/A	17,732	-	17,732	-
Climate and Atmospheric Research	11.431	N/A	19,485	-	19,485	-
Climate and Atmospheric Research/Pass-through - Columbia University	11.431	1 (GG015524)	-	43,731	43,731	-
Climate and Atmospheric Research/Pass-through - Columbia University	11.431	2(GG015537)	-	20,565	20,565	-
Climate and Atmospheric Research/Pass-through - Columbia University	11.431	3(GG012355)	-	24,989	24,989	-
			19,485	89,285	108,770	-
National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes/Pass-through - University of Maryland	11.432	16126-Z7813001	-	132,874	132,874	-
National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes/Pass-through - University of Maryland	11.432	82392-Z7554206	-	563,369	563,369	6,684
National Oceanic and Atmospheric Administration (NOAA) Cooperative Institutes/Pass-through - University of Maryland	11.432	2021-06	-	28,755	28,755	-
			-	724,998	724,998	6,684
Educational Partnership Program	11.481	N/A	3,148,969	-	3,148,969	1,187,233
Covid 19 Educational Partnership Program	11.481	N/A	95,866	-	95,866	-
			3,244,835	-	3,244,835	1,187,233

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Measurement and Engineering Research and Standards/Pass-through - Boston University	11.609	4500003501	\$ -	\$ 23,077	\$ 23,077	\$ -
Measurement and Engineering Research and Standards/Pass-through - Columbia University	11.609	1(GG014568)	-	51,476	51,476	-
			-	74,553	74,553	-
Total U.S. Department of Commerce			3,282,052	888,836	4,170,888	1,193,917
U.S. Department of Defense:						
Basic and Applied Scientific Research	12.300	N/A	1,066,698	-	1,066,698	50,611
Scientific Research - Combating Weapons of Mass Destruction	12.351	N/A	231,710	-	231,710	167,178
Scientific Research - Combating Weapons of Mass Destruction/ Pass-through - Columbia University	12.351	1(GG012727)	-	-	-	-
			-	21,673	21,673	-
			231,710	21,673	253,383	167,178
Military Medical Research and Development	12.420	N/A	171,928	-	171,928	-
Military Medical Research and Development/ Pass-through - New York University School of Medicine	12.420	16A00000720101	-	16,617	16,617	-
			171,928	16,617	188,545	-
Basic Scientific Research	12.431	N/A	521,381	-	521,381	124,741
Basic Scientific Research/Pass-through - DCS Corporation	12.431	APX02-N013	-	211,743	211,743	-
Basic Scientific Research/Pass-through - Rensselaer Poly Institute	12.431	A12892	-	9,165	9,165	-
Basic Scientific Research/Pass-through - University of Michigan	12.431	SUBK00010334	-	101,420	101,420	-
Basic Scientific Research/Pass-through - University of Rhode Island	12.431	8543/020121	-	31,992	31,992	-
			521,381	354,320	875,701	124,741
Centers for Academic Excellence/Pass-through - Syracuse University	12.598	SP-30991-1-05384-S02	-	5,347	5,347	-
Centers for Academic Excellence/Pass-through - Syracuse University	12.598	SP-30991-2-05667-S02	-	9,290	9,290	-
			-	14,637	14,637	-
Basic, Applied, and Advanced Research in Science and Engineering	12.630	N/A	259,099	-	259,099	-
COVID 19 Basic, Applied, and Advanced Research in Science and Engineering	12.630	N/A	163,834	-	163,834	-
Basic, Applied, and Advanced Research in Science and Engineering/ Pass-through - George Mason University	12.630	E2043344	-	60,647	60,647	-
Basic, Applied, and Advanced Research in Science and Engineering/ Pass-through - National Science Teachers Association	12.630	20-871-026	-	8,500	8,500	-
Basic, Applied, and Advanced Research in Science and Engineering/ Pass-through - National Science Teachers Association	12.630	20-871-027	-	7,717	7,717	-
			422,933	76,864	499,797	-
Air Force Defense Research Sciences Program	12.800	N/A	1,021,945	-	1,021,945	59,948
COVID 19 Air Force Defense Research Sciences Program	12.800	N/A	2,404,083	-	2,404,083	1,187,216
Air Force Defense Research Sciences Program/Pass-through - Columbia University	12.800	1(GG017019)	-	43,315	43,315	-
Air Force Defense Research Sciences Program/Pass-through - Georgia State University	12.800	SP00012088-01	-	32,405	32,405	-
Air Force Defense Research Sciences Program/Pass-through - Northwestern University	12.800	SP0032777-PROJ00	-	77,264	77,264	-
			3,426,028	152,984	3,579,012	1,247,164
Research and Technology Development	12.910	N/A	34,250	-	34,250	-
Research and Technology Development/Pass-through - Columbia University	12.910	2(GG012588)	-	124,189	124,189	-
Research and Technology Development/Pass-through - Northeastern University	12.910	505131-78051	-	173,770	173,770	-
			34,250	297,959	332,209	-

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Various	12.U01	N/A	\$ 511,359	\$ -	\$ 511,359	\$ 199,035
COVID 19 Various	12.U02	N/A	90,427	-	90,427	-
Various/Pass-through – Charles River Analytics, Inc.	12.U03	SC1715603	-	75,106	75,106	-
Various/Pass-through – Lynntech Inc.	12.U04	ARM-034	-	50,372	50,372	-
Various/Pass-through - MSI Stem Research & Development Consortium	12.U05	DO1-W911SR-14-2	-	4,303	4,303	-
Various/Pass-through - MSI Stem Research & Development Consortium	12.U06	W911SR-14-2-0001	-	150,099	150,099	86,373
Various/Pass-through – Nanohmics, Inc.	12.U07	140D0420C0058	-	74,864	74,864	-
Various/Pass-through - PPG Industries, Inc.	12.U08	F2D105321	-	97,785	97,785	-
Various/Pass-through - PPG Industries, Inc.	12.U09	F2D113748	-	1,898	1,898	-
Various/Pass-through - PPG Industries, Inc.	12.U10	F2D91981	-	9,717	9,717	-
Various/Pass-through - PPG Industries, Inc.	12.U11	F2D99063	-	4,277	4,277	-
Various/Pass-through – Raytheon Company	12.U12	14811	-	38,200	38,200	-
Various/Pass-through – Structured Materials Industries Inc.	12.U13	42161	-	7,324	7,324	-
Various/Pass-through – University of Dayton Research Institute	12.U14	RSC20060	-	53,222	53,222	-
Various/Pass-through – University of Rhode Island	12.U15	0008690/102020	-	9,827	9,827	-
Total U.S. Department of Defense			<u>6,476,714</u>	<u>1,512,048</u>	<u>7,988,762</u>	<u>1,875,102</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 Environmental Protection	14.269	CTA1826201872117	-	2,869	2,869	-
U.S. Department of the Interior:						
Asian Elephant Conservation Fund	15.621	N/A	38,164	-	38,164	12,244
U.S. Department of Justice:						
Services for Trafficking Victims/Pass-through - International Association of Chiefs of Police	16.320	2017-VT-BX-K101	-	7,085	7,085	-
OVW Technical Assistance Initiative	16.526	N/A	252,724	-	252,724	95,910
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	N/A	705,019	-	705,019	148,969
National Institute of Justice Research, Evaluation, and Development Project Grants/ Pass-through – Michigan State University	16.560	RC112035 - RFCUN	-	185	185	-
National Institute of Justice Research, Evaluation, and Development Project Grants/ Pass-through – Northeastern University	16.560	504629-78050	-	40,647	40,647	-
National Institute of Justice Research, Evaluation, and Development Project Grants/ Pass-through – Old Dominion University Research Foundation	16.560	19-193-100792-010	-	51,701	51,701	-
National Institute of Justice Research, Evaluation, and Development Project Grants/ Pass-through – RTI International	16.560	1-312-0217807-6	-	404	404	-
			<u>705,019</u>	<u>92,937</u>	<u>797,956</u>	<u>148,969</u>
Crime Victim Assistance/Discretionary Grants	16.582	N/A	181,981	-	181,981	46,110
Crime Victim Assistance/Discretionary Grants/Pass-through - Justice Research and Statistics Association	16.582	N/A	-	6,558	6,558	-
			<u>181,981</u>	<u>6,558</u>	<u>188,539</u>	<u>46,110</u>
Project Safe Neighborhoods/Pass-through – Delaware Criminal Justice Council	16.609	7H246-00 01/02	-	87,863	87,863	-
Public Safety Partnership and Community Policing Grants/Pass-through - California Department of Justice	16.710	17-6616-4091	-	31,452	31,452	-
Edward Byrne Memorial Justice Assistance Grant Program/Pass-through - International Association of Chiefs of Police	16.738	7H346-00 01	-	4,159	4,159	-
Edward Byrne Memorial Competitive Grant Program/Pass-through - International Association of Chiefs of Police	16.751	2015-VT-BX-K001	-	7,170	7,170	-
Total U.S. Department of Justice			<u>1,139,724</u>	<u>237,224</u>	<u>1,376,948</u>	<u>290,989</u>

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U.S. Department of State						
International Programs to Combat Human Trafficking/Pass-through - University of Georgia Research Foundation	19.019	SUB00002372	\$ -	\$ 47,700	\$ 47,700	\$ 30,446
International Programs to Combat Human Trafficking/Pass-through - University of Georgia Research Foundation	19.019	SUB00002373	-	14,855	14,855	-
			-	62,555	62,555	30,446
Professional and Cultural Exchange Programs - Citizen Exchanges/Pass-through - International Research & Exchange Board, Inc.	19.415	SECAGD19CA0083	-	7,928	7,928	-
Criminal Justice Systems	19.703	N/A	110,574	-	110,574	-
Trans-National Crime	19.705	N/A	158,528	-	158,528	27,060
Total U.S. Department of State			<u>269,102</u>	<u>70,483</u>	<u>339,585</u>	<u>57,506</u>
U.S. Department of Transportation:						
Air Transportation Centers of Excellence/Pass-through - Pennsylvania State University	20.109	S000487-FAA	-	25,549	25,549	-
Highway Research and Development Program/Pass-through - JHK Engineering	20.200	BN710157	-	810	810	-
Highway Research and Development Program/Pass-through - JHK Engineering	20.200	BN7600018	-	61,273	61,273	32,765
Highway Research and Development Program/Pass-through - New Jersey Department of Transportation	20.200	RFCUNY-56	-	77,978	77,978	17,465
			-	140,061	140,061	50,230
Highway Planning and Construction/Pass-through - NYC Department of Transportation	20.205	57315-xx 29	-	104,855	104,855	56,615
Highway Planning and Construction/Pass-through - New York University	20.205	S0838-04	-	16,100	16,100	-
Highway Planning and Construction/Pass-through - NYS Department of Transportation	20.205	C030793	-	1,483,425	1,483,425	1,362,085
Highway Planning and Construction/Pass-through - NYS Department of Transportation	20.205	C030794	-	764,052	764,052	642,234
Highway Planning and Construction/Pass-through - NYS Energy Research & Development Authority	20.205	118144	-	(1,087)	(1,087)	(692)
			-	2,367,345	2,367,345	2,060,242
Highway Training and Education	20.215	N/A	18,210	-	18,210	-
University Transportation Centers Program/Pass-through - New York University	20.701	F8741-04	-	40,167	40,167	-
University Transportation Centers Program/Pass-through - University of Missouri	20.701	00055082-01A	-	12,895	12,895	-
University Transportation Centers Program/Pass-through - University of Missouri	20.701	00055082-01B	-	4,479	4,479	-
University Transportation Centers Program/Pass-through - University of Missouri	20.701	00055082-01C	-	62,104	62,104	-
University Transportation Centers Program/Pass-through - University of Missouri	20.701	00055082-01D	-	94,257	94,257	-
			-	213,902	213,902	-
Various	20.U01	N/A	135,609	-	135,609	-
Various/Pass-through - Tufts University	20.U02	1-131988190-A1	-	6,945	6,945	-
Total U.S. Department of Transportation			<u>153,819</u>	<u>2,753,802</u>	<u>2,907,621</u>	<u>2,110,472</u>

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National Aeronautics and Space Administration:						
Science	43.001	N/A	\$ 1,592,940	\$ -	\$ 1,592,940	\$ 280,600
COVID 19 Science	43.001	N/A	45,511	-	45,511	-
Science/Pass-through – American Museum of Natural History	43.001	A25-2018-1	-	81,132	81,132	-
Science/Pass-through – American Museum of Natural History	43.001	A59-2019-1	-	35,656	35,656	-
Science/Pass-through – Cornell University	43.001	84502-11114	-	24,883	24,883	-
Science/Pass-through –Jet Propulsion Laboratory	43.001	1581593	-	42,000	42,000	-
Science/Pass-through –Jet Propulsion Laboratory	43.001	1654034	-	62,901	62,901	-
Science/Pass-through – Michigan Technological University	43.001	1601033Z1	-	6,414	6,414	-
Science/Pass-through – Southwest Research Institute	43.001	K99006KJ	-	10,878	10,878	-
Science/Pass-through – University of California at Berkley	43.001	00010087	-	9,231	9,231	-
Science/Pass-through – University of California at Davis	43.001	A18-2017-S001	-	101,597	101,597	-
			<u>1,638,451</u>	<u>374,692</u>	<u>2,013,143</u>	<u>280,600</u>
Exploration/Pass-through - Baylor College of Medicine	43.003	0402121992	89,225	-	89,225	-
Exploration/Pass-through - Baylor College of Medicine	43.003	T0409	-	128,717	128,717	-
			<u>89,225</u>	<u>128,717</u>	<u>217,942</u>	<u>-</u>
Office of Stem Engagement (OSTEM)	43.008	N/A	1,177,318	-	1,177,318	62,656
Office of Stem Engagement (OSTEM)/ Pass-through - Cornell University	43.008	76156-10480	-	7,000	7,000	-
Office of Stem Engagement (OSTEM)/ Pass-through - Cornell University	43.008	76156-10487	-	4,600	4,600	-
Office of Stem Engagement (OSTEM)/ Pass-through - Cornell University	43.008	90830-20363	-	4,000	4,000	-
Office of Stem Engagement (OSTEM)/ Pass-through - Cornell University	43.008	90830-20379	-	3,000	3,000	-
Office of Stem Engagement (OSTEM)/ Pass-through - Texas State University	43.008	17008-82232-9	-	1,194	1,194	-
			<u>1,177,318</u>	<u>19,794</u>	<u>1,197,112</u>	<u>62,656</u>
Various/Pass-through – Nanohmics, Inc.	43.U01	80NSSC19C0591	-	14,449	14,449	-
Total National Aeronautics and Space Administration			<u>2,904,994</u>	<u>537,652</u>	<u>3,442,646</u>	<u>343,256</u>
National Endowment for the Humanities:						
COVID 19 Promotion of the Humanities Teaching and Learning Resources and Curriculum Development	45.162	N/A	375,237	-	375,237	-
Promotion of the Humanities Teaching and Learning Resources and Curriculum Development/Pass-through - Teagle Foundation	45.162	2005357	-	2,160	2,160	-
			<u>375,237</u>	<u>2,160</u>	<u>377,397</u>	<u>-</u>
National Leadership Grants/Pass-through - Indiana University	45.312	8228-BC	-	19,830	19,830	-
Total National Endowment for the Humanities			<u>375,237</u>	<u>21,990</u>	<u>397,227</u>	<u>-</u>
National Science Foundation:						
Engineering	47.041	N/A	3,894,668	-	3,894,668	999,375
Engineering/Pass-through – Columbia University	47.041	1(GG017002)	-	30,739	30,739	-
Engineering/Pass-through – Georgia Institute of Technology	47.041	AWD-100771-G2	-	19,679	19,679	-
Engineering/Pass-through – New York Institute of Technology	47.041	CBET-1856032-CCNY-1	-	23,315	23,315	-
Engineering/Pass-through – Secutopia Corporation	47.041	1956291	-	19,078	19,078	-
Engineering/Pass-through – University of Texas at Austin	47.041	UTA16-001250	-	72,132	72,132	-
Engineering/Pass-through – Worcester Polytechnic Institute	47.041	10631-GR	-	55,400	55,400	-
Engineering/Pass-through – Yesse Technologies, Inc.	47.041	1853051	-	95,970	95,970	-
			<u>3,894,668</u>	<u>316,313</u>	<u>4,210,981</u>	<u>999,375</u>
Mathematical and Physical Sciences	47.049	N/A	5,742,160	-	5,742,160	164,783
Mathematical and Physical Sciences/Pass-through – Columbia University	47.049	1(GG008600)	-	115,322	115,322	-

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Mathematical and Physical Sciences/Pass-through – Columbia University	47.049	1(GG015783-06)	\$ -	\$ 118,040	\$ 118,040	\$ -
Mathematical and Physical Sciences/Pass-through – Occidental College	47.049	OXY-CURM0032	-	250	250	-
Mathematical and Physical Sciences/Pass-through – Princeton University	47.049	SUB0000224	-	391,198	391,198	-
Mathematical and Physical Sciences/Pass-through – Texas A&M University	47.049	M2002927	-	39,585	39,585	-
Mathematical and Physical Sciences/Pass-through – University of Pennsylvania	47.049	577692	-	166,318	166,318	-
			<u>5,742,160</u>	<u>830,713</u>	<u>6,572,873</u>	<u>164,783</u>
Geosciences	47.050	N/A	2,398,116	-	2,398,116	455,398
Geosciences/Pass-through – Columbia University	47.050	1(GG015450)	-	142	142	-
Geosciences/Pass-through – Rutgers University	47.050	0824	-	5,138	5,138	-
			<u>2,398,116</u>	<u>5,280</u>	<u>2,403,396</u>	<u>455,398</u>
Computer and Information Science and Engineering	47.070	N/A	1,625,918	-	1,625,918	-
Computer and Information Science and Engineering/Pass-through – Columbia University	47.070	1 GG015800	-	46,821	46,821	-
Computer and Information Science and Engineering/Pass-through – Columbia University	47.070	11(GG014586-02)	-	24,831	24,831	-
Computer and Information Science and Engineering/Pass-through – Columbia University	47.070	3(GG014460-02)	-	18,514	18,514	-
Computer and Information Science and Engineering/Pass-through – Massachusetts Institute of Technology	47.070	S4158	-	16,066	16,066	-
Computer and Information Science and Engineering/Pass-through – Research Foundation SUNY	47.070	83108/2/1150594	-	478	478	-
Computer and Information Science and Engineering/Pass-through – Rutgers University	47.070	0777	-	44,621	44,621	-
Computer and Information Science and Engineering/Pass-through – University of Central Florida	47.070	16406229	-	31,061	31,061	-
Computer and Information Science and Engineering/Pass-through – University of Missouri	47.070	C00062047-1	-	30,416	30,416	-
			<u>1,625,918</u>	<u>212,808</u>	<u>1,838,726</u>	<u>-</u>
Biological Sciences	47.074	N/A	4,011,419	-	4,011,419	120,886
COVID 19 Biological Sciences	47.074	N/A	220,951	-	220,951	-
Biological Sciences/Pass-through – Cary Institute of Ecosystem Studies	47.074	3335/200201882	-	16,216	16,216	-
Biological Sciences/Pass-through – Cary Institute of Ecosystem Studies	47.074	3340/200201939	-	46,000	46,000	-
Biological Sciences/Pass-through – Cary Institute of Ecosystem Studies	47.074	3392/200201973	-	85,409	85,409	-
Biological Sciences/Pass-through – Cornell University	47.074	200250	-	9,867	9,867	-
Biological Sciences/Pass-through – Cornell University	47.074	210251	-	14,322	14,322	-
Biological Sciences/Pass-through – Rowan University	47.074	50787-1	-	1,751	1,751	-
Biological Sciences/Pass-through – University of Arizona	47.074	575339	-	11,648	11,648	-
			<u>4,232,370</u>	<u>185,213</u>	<u>4,417,583</u>	<u>120,886</u>
Social, Behavioral, and Economic Sciences	47.075	N/A	1,473,302	-	1,473,302	350,303
COVID 19 Social, Behavioral, and Economic Sciences	47.075	N/A	103,307	-	103,307	-
Social, Behavioral, and Economic Sciences/Pass-through – Arizona State University	47.075	16-819	-	7,210	7,210	-
Social, Behavioral, and Economic Sciences/Pass-through – Cary Institute of Ecosystem Studies	47.075	3283/200201868	-	17,059	17,059	-
Social, Behavioral, and Economic Sciences/Pass-through – Molloy College	47.075	RF CUNY-BC 001	-	18,161	18,161	-
			<u>1,576,609</u>	<u>42,430</u>	<u>1,619,039</u>	<u>350,303</u>
Education and Human Resources	47.076	N/A	7,121,920	-	7,121,920	301,579
Education and Human Resources/Pass-through – American Educational Research Association	47.076	NSF-DRL#1749275	-	10,016	10,016	-
Education and Human Resources/Pass-through – American Museum of Natural History	47.076	675-2016-2	-	1,120	1,120	-
Education and Human Resources/Pass-through – Central Washington University	47.076	2222450001YR1	-	42,318	42,318	-
Education and Human Resources/Pass-through – Cold Spring Harbor Laboratory	47.076	71824-00 03	-	16,868	16,868	-
Education and Human Resources/Pass-through – Cold Spring Harbor Laboratory	47.076	42100215	-	20,629	20,629	-
Education and Human Resources/Pass-through – Collin County Community College	47.076	PO#P0053647	-	23,445	23,445	-
Education and Human Resources/Pass-through – Embry-Riddle Aeronautical University	47.076	63018-01	-	25,931	25,931	-

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Education and Human Resources/Pass-through – Hofstra University	47.076	25297-CUNY	\$ -	\$ 7,003	\$ 7,003	\$ -
Education and Human Resources/Pass-through – New Mexico State University	47.076	HUB338-20A01	-	12,500	12,500	-
Education and Human Resources/Pass-through – New York University	47.076	F1024-01	-	57,562	57,562	-
Education and Human Resources/Pass-through – Pace University	47.076	CD0006939	-	(10,000)	(10,000)	-
Education and Human Resources/Pass-through – Pace University	47.076	CD0006940	-	4,955	4,955	-
Education and Human Resources/Pass-through – Research Foundation of SUNY	47.076	79207-QCC	-	35,717	35,717	-
Education and Human Resources/Pass-through – Research Foundation at Stony Brook	47.076	82923/3/1150209	-	11,863	11,863	-
Education and Human Resources/Pass-through – The Center for Occupational Research & Development, Inc.	47.076	1839567	-	3,787	3,787	-
Education and Human Resources/Pass-through – University of Colorado	47.076	1553022	-	13,692	13,692	-
Education and Human Resources/Pass-through – University of Texas at Austin	47.076	UTA17-000764	-	85,735	85,735	-
			<u>7,121,920</u>	<u>363,141</u>	<u>7,485,061</u>	<u>301,579</u>
Polar Programs	47.078	N/A	9,683	-	9,683	-
Office of International Science and Engineering	47.079	N/A	1,043,662	-	1,043,662	-
Integrative Activities/Pass-through - Columbia University	47.083	1(GG015656)	-	4,609	4,609	-
Various/Pass-through - Innovbot LLC	47.U01	IIP-1915721	-	22,111	22,111	-
Various/Pass-through - Massachusetts Institute of Technology	47.U02	72564-00 01	-	(5,279)	(5,279)	-
Various/Pass-through - SIPPA Solutions LLC	47.U03	NSF-1831214-SUB-CUNY	-	15,367	15,367	-
Various/Pass-through - Vivos Biolabs, LLC	47.U04	NSF STTR GRANT	-	40,410	40,410	-
Total National Science Foundation			<u>27,645,106</u>	<u>2,033,116</u>	<u>29,678,222</u>	<u>2,392,324</u>
U.S. Office of Personnel Management						
Various	64.U01	N/A	78,619	-	78,619	-
Environmental Protection Agency:						
Long Island Sound Program/Pass-through - Research Foundation of SUNY	66.437	82931-1-1156439	-	147,035	147,035	18,489
Long Island Sound Program/Pass-through - Research Foundation of SUNY	66.437	2S193-7532	-	12,697	12,697	-
			<u>-</u>	<u>159,732</u>	<u>159,732</u>	<u>18,489</u>
Environmental Information Exchange Network Grant Program and Related Assistance/ Pass-through - Rutgers University	66.608	0237	-	14,231	14,231	-
Total Environmental Protection Agency:			<u>-</u>	<u>173,963</u>	<u>173,963</u>	<u>18,489</u>
Nuclear Regulatory Commission						
U. S. Nuclear Regulatory Commission Scholarship and Fellowship Program	77.008	N/A	229,480	-	229,480	-
U.S. Department of Energy:						
Office of Science Financial Assistance Program	81.049	N/A	8,425,869	-	8,425,869	1,021,676
Office of Science Financial Assistance Program/Pass-through – Case Western Reserve University	81.049	391078	-	28,363	28,363	-
Office of Science Financial Assistance Program/Pass-through – Case Western Reserve University	81.049	RES513722	-	126,066	126,066	-
			<u>8,425,869</u>	<u>154,429</u>	<u>8,580,298</u>	<u>1,021,676</u>
Conservation Research and Development	81.086	N/A	205,206	-	205,206	-
Nuclear Energy Research, Development and Demonstration	81.121	N/A	280,357	-	280,357	117,472
Advanced Research Projects Agency - Energy/Pass-through – Ionic Materials, Inc.	81.135	DE-AR0000780	-	166,912	166,912	-
Advanced Research Projects Agency - Energy/Pass-through – Ionic Materials, Inc.	81.135	DE-AR0001033	-	(2,800)	(2,800)	-
			<u>-</u>	<u>164,112</u>	<u>164,112</u>	<u>-</u>
Various/Pass-through – Alliance for Sustainable Energy, LLC	81.U01	AGR-2020-10202	-	8,413	8,413	-
Various/Pass-through – Alliance for Sustainable Energy, LLC	81.U02	SUB-2020-10354	-	17,108	17,108	-

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Various/Pass-through – Argonne National Laboratory	81.U03	IF-60384	\$ -	\$ 17,594	\$ 17,594	\$ -
Various/Pass-through – Brookhaven Science Associates, LLC	81.U04	DE-SC0012704	-	19,562	19,562	-
Various/Pass-through – Brookhaven Science Associates, LLC	81.U05	377141	-	56,873	56,873	-
Various/Pass-through – Fermi Research Alliance LLC	81.U06	622463	-	29,262	29,262	-
Various/Pass-through – Oak Ridge Institute for Science and Education	81.U07	DE-SC0014664	-	14,080	14,080	-
Various/Pass-through – Oak Ridge Institute for Science and Education	81.U08	72812-00 01	-	17,000	17,000	-
Various/Pass-through – Sandia National Laboratories	81.U09	1732243	-	357,160	357,160	-
Various/Pass-through – Sandia National Laboratories	81.U10	2047704	-	33,923	33,923	-
Various/Pass-through – UT-Batelle, LLC	81.U11	4000170248	-	82,839	82,839	-
Various/Pass-through – UT-Batelle, LLC	81.U12	4000170698	-	12,271	12,271	-
Various/Pass-through – UT-Batelle, LLC	81.U13	4000178284	-	25,381	25,381	-
Total U.S. Department of Energy			8,911,432	1,010,007	9,921,439	1,139,148
U.S. Department of Education:						
National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies Program and Foreign Language and Area Studies Fellowship Program/Pass-through - Columbia University	84.015	1(GG013995-13)	-	3,138	3,138	-
International Research and Studies	84.017	N/A	23,772	-	23,772	-
Fund for the Improvement of Postsecondary Education	84.116	N/A	7,537	-	7,537	-
Graduate Assistance in Areas of National Need	84.200	N/A	280,678	-	280,678	-
Education, Research, Development and Dissemination	84.305	N/A	285,824	-	285,824	94,570
COVID 19 Education, Research, Development and Dissemination	84.305	N/A	78,435	-	78,435	-
Education, Research, Development and Dissemination/Pass-through – MDRC	84.305	R305A160273	-	13,833	13,833	-
Education, Research, Development and Dissemination/Pass-through – MDRC	84.305	R305H40065	-	4,392	4,392	-
Education, Research, Development and Dissemination/Pass-through – New York University	84.305	F0959-01	-	20,662	20,662	-
Education, Research, Development and Dissemination/Pass-through – University of Virginia	84.305	GM10155-2108196	-	48,696	48,696	-
			364,259	87,583	451,842	94,570
Various/Pass-through – MDRC	84.U01	R305A170250	-	29,348	29,348	-
Total U.S. Department of Education			676,246	120,069	796,315	94,570
U.S. Department of Homeland Security:						
Cooperating Technical Partners/Pass-through - NYC Mayor's Office of Housing Recovery Operations	97.045	57436-00 01	-	1,214	1,214	-
Centers for Homeland Security/Pass-through – Michigan State University	97.061	RC110452-CUNY	-	5,723	5,723	-
Centers for Homeland Security/Pass-through – Michigan State University	97.061	RC111685	-	31,688	31,688	-
			-	37,411	37,411	-
Total U.S. Department of Homeland Security			-	38,625	38,625	-
Agency for International Development						
USAID Foreign Assistance for Programs Overseas/ Pass-through - American Institute for Research	98.001	D4253_RG-001	-	28,414	28,414	-
USAID Foreign Assistance for Programs Overseas/ Pass-through - ISA University	98.001	2020-HEPDR-03	-	30,856	30,856	-
USAID Foreign Assistance for Programs Overseas/ Pass-through - John Hopkins University	98.001	2004645265	-	163,776	163,776	-
USAID Foreign Assistance for Programs Overseas/ Pass-through - Pro Superación Familiar Neolonesa, A. C.	98.001	7H231-00 01	-	47,975	47,975	-

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USAID Foreign Assistance for Programs Overseas/ Pass-through - Seguridad y Justicia de Ciudad Juárez, A. C.	98.001	7H224-00 01	\$ -	\$ 92,228	\$ 92,228	\$ -
USAID Foreign Assistance for Programs Overseas/ Pass-through - University Research Co., LLC	98.001	FY17-A03-6024	-	829,363	829,363	-
Total Agency for International Development			-	1,192,612	1,192,612	-
Total Research and Development Cluster			97,807,134	21,811,534	119,618,668	14,411,796
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	C028436	-	11,176	11,176	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C028438	-	506	506	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C028735	-	304,228	304,228	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C028739	-	3,472	3,472	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C028748	-	312,651	312,651	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	CO29013	-	62,665	62,665	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C0229014	-	297,614	297,614	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	C0229015	-	1,682	1,682	-
Child Care and Development Block Grant/ Pass-through – NYS Office of Child and Family Services	93.575	MOU 2255	-	2,190,236	2,190,236	-
Total CCDF Cluster			-	3,184,230	3,184,230	-
Medicaid Cluster:						
U.S. Department of Health and Human Services:						
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C028436	-	1,545	1,545	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C028438	-	3,846	3,846	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C028735	-	32,590	32,590	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C028739	-	24,733	24,733	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C029014	-	22,520	22,520	-
Medical Assistance Program/Pass-through – NYS Office of Child and Family Services	93.778	C029015	-	10,651	10,651	-
Total Medicaid Cluster			-	95,885	95,885	-

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SNAP Cluster:						
U.S. Department of Agriculture:						
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C028436	\$ -	\$ 3,259	\$ 3,259	\$ -
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C028438	-	9,225	9,225	-
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C028735	-	66,236	66,236	-
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C028739	-	54,858	54,858	-
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C0229014	-	50,007	50,007	-
Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Child and Family Services	10.551	C0229015	-	25,481	25,481	-
			-	209,066	209,066	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Department of Agriculture and Markets	10.561	T00145GG	-	46,653	46,653	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Temporary & Disability Assistance	10.561	C00255GG-3410000	-	20,676	20,676	-
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program/Pass-through – NYS Office of Temporary & Disability Assistance	10.561	C00256GG	-	189,084	189,084	-
			-	256,413	256,413	-
Total SNAP Cluster			-	465,479	465,479	-
CDBG - Entitlement Grants Cluster:						
COVID 19 Community Development Block Grants/Entitlement Grants/Pass-through - NYC Mayor's Office of Housing Recovery Operations	14.218	57430-xx 01/02	-	4,820,701	4,820,701	-
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 06/07	-	21,403	21,403	-
WIOA Cluster:						
U.S. Department of Labor:						
WIOA Adult Program/Pass-through - NYS Department of Labor	17.258	C19326GG	-	40,048	40,048	-
WIA/WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.258	C19366GG	-	4,257	4,257	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57333-00 08	-	873,813	873,813	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57374-00 04/05	-	99,574	99,574	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57381-00 04	-	19,711	19,711	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57392-00 04	-	78,603	78,603	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57397-00 03	-	261,588	261,588	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57409-01 03/00 04	-	158,322	158,322	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57414-00 02	-	151,589	151,589	-

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WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57417-00 02	\$ -	\$ 328,167	\$ 328,167	\$ -
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57419-00 01/02	-	371,229	371,229	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57421-00 02	-	313,930	313,930	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57426-00 01/02	-	363,773	363,773	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57432-00 02	-	151,958	151,958	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57435-00 02	-	156,231	156,231	-
WIOA Adult Program/Pass-through - NYC Department of Small Business Services	17.258	57437-00 01	-	287,922	287,922	-
			-	3,660,715	3,660,715	-
WIA/WIOA Youth Activities/Pass-through – Eckerd Youth Initiative	17.259	90528	-	8,238	8,238	-
WIA/WIOA Youth Activities/Pass-through – Eckerd Youth Initiative	17.259	90528A	-	62,457	62,457	-
WIA/WIOA Youth Activities/Pass-through - NYS Department of Labor	17.259	C19326GG	-	40,048	40,048	-
WIA/WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.259	C19366GG	-	4,257	4,257	-
WIA/WIOA Youth Activities/Pass-through – NYC Department of Youth and Community Development	17.259	57242-00 04	-	33,460	33,460	-
WIA/WIOA Youth Activities/Pass-through – NYC Department of Youth and Community Development	17.259	90545	-	19,125	19,125	-
			-	167,585	167,585	-
WIA/WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.278	C18388GG	-	50,014	50,014	-
WIA/WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.278	C19326GG	-	40,048	40,048	-
WIA/WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.278	C19366GG	-	4,257	4,257	-
WIA/WIOA Dislocated Worker Formula Grants/Pass-through-NYS Department of Labor	17.278	C19371GG	-	50,946	50,946	-
			-	145,265	145,265	-
Total WIOA Cluster			-	3,973,565	3,973,565	-
Highway Planning and Construction Cluster:						
Highway Planning and Construction/Pass-through - NYS Department of Transportation	20.205	200167M	-	25,073	25,073	-
TRIO Cluster:						
U.S. Department of Education:						
TRIO – Student Support Services	84.042	N/A	1,521,121	-	1,521,121	-
TRIO – Talent Search	84.044	N/A	946,544	-	946,544	-
TRIO – Upward Bound	84.047	N/A	1,695,041	-	1,695,041	-
TRIO - Educational Opportunity Centers	84.066	N/A	230,772	-	230,772	-
TRIO - McNair Post-Baccalaureate Achievement	84.217	N/A	555,472	-	555,472	-
Total TRIO Cluster			4,948,950	-	4,948,950	-
Disability Insurance/SSI Cluster:						
Social Security Disability Insurance/Pass-through – NYS Office of Child and Family Services	96.001	C028436	-	132	132	-
Social Security Disability Insurance/Pass-through – NYS Office of Child and Family Services	96.001	C028735	-	352,320	352,320	-
Social Security Disability Insurance/Pass-through – NYS Office of Child and Family Services	96.001	C029014	-	3,811	3,811	-
Social Security Disability Insurance/Pass-through – NYS Office of Temporary and Disability Assistance	96.001	C022006	-	(1,628)	(1,628)	-
Social Security Disability Insurance/Pass-through – NYS Office of Temporary and Disability Assistance	96.001	C022041	-	89,168	89,168	-
Social Security Disability Insurance/Pass-through – NYS Office of Temporary and Disability Assistance	96.001	C022567	-	41,668	41,668	-
Total Disability Insurance/SSI Cluster			-	485,471	485,471	-

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U.S. Department of Health and Human Services:						
Guardianship Assistance/Pass-through - NYS Office of Children and Family Services	93.090	C028436	\$ -	\$ 309	\$ 309	\$ -
Guardianship Assistance/Pass-through - NYS Office of Children and Family Services	93.090	C028735	-	7,223	7,223	-
Guardianship Assistance/Pass-through - NYS Office of Children and Family Services	93.090	C029014	-	231	231	-
			-	7,763	7,763	-
Health Profession Opportunity Grants	93.093	N/A	1,796,800	-	1,796,800	-
Community Programs to Improve Minority Health Grant Program	93.137	N/A	302,647	-	302,647	-
Substance Abuse and Mental Health Services – Projects of Regional and National Significance	93.243	N/A	550,336	-	550,336	-
Every Student Succeeds Act/Preschool Development Grants/Pass-through - NYS Office of Children and Family Services	93.434	C028481	-	2,105,116	2,105,116	-
Pregnancy Assistance Fund Program/Pass-through - Health Research, Inc.	93.500	5877-02	-	4,003	4,003	-
Pregnancy Assistance Fund Program/Pass-through - Health Research, Inc.	93.500	5920-02	-	4,524	4,524	-
Pregnancy Assistance Fund Program/Pass-through - Health Research, Inc.	93.500	5954-02	-	8,897	8,897	-
			-	17,424	17,424	-
Temporary Assistance for Needy Families/Pass-through – NYC Human Resources Administration	93.558	57100-xx 31/32	-	994,214	994,214	-
Temporary Assistance for Needy Families/Pass-through – NYC Human Resources Administration	93.558	57121-xx 31/32	-	6,274,292	6,274,292	-
COVID 19 Temporary Assistance for Needy Families/Pass-through – NYC Human Resources Administration	93.558	57121-xx 31/32	-	97,741	97,741	-
			-	7,366,247	7,366,247	-
Child Support Enforcement/Pass-through – NYC Human Resource Administration	93.563	57180-00 14	-	1,823,335	1,823,335	-
Child Support Enforcement/Pass-through – NYC Human Resource Administration	93.563	57265-00 03/04	-	245,371	245,371	138,288
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	C022003	-	2,073	2,073	-
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	C022042	-	30,845	30,845	-
Child Support Enforcement/Pass-through – NYS Office of Temporary and Disability Assistance	93.563	C022568	-	19,445	19,445	-
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C028436	-	795	795	-
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C028438	-	2,283	2,283	-
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C028735	-	17,264	17,264	-

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Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C028739	\$ -	\$ 14,133	\$ 14,133	\$ -
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C0229014	-	12,242	12,242	-
Child Support Enforcement/Pass-through – NYS Office of Children and Family Services	93.563	C0229015	-	6,228	6,228	-
			-	2,174,014	2,174,014	138,288
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C028436	-	412	412	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C028438	-	1,186	1,186	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C028735	-	8,984	8,984	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C028739	-	7,371	7,371	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C0229014	-	6,814	6,814	-
Low-Income Home Energy Assistance/Pass-through - NYS Office of Children and Family Services	93.568	C0229015	-	3,473	3,473	-
			-	28,240	28,240	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	57272-00 02/03	-	269,826	269,826	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	766621A	-	85,859	85,859	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	766622A	-	100,024	100,024	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	766627A	-	97,194	97,194	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	810513A	-	27,584	27,584	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	810513B	-	79,227	79,227	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	811103B	-	186,286	186,286	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	820511A	-	7,673	7,673	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	820511B	-	114,388	114,388	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	820806A	-	33,589	33,589	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	820806B	-	51,680	51,680	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821108A	-	2,822	2,822	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821108B	-	44,341	44,341	-

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Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821410A	\$ -	\$ 6,669	\$ 6,669	\$ -
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821410B	-	67,033	67,033	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821411A	-	43,376	43,376	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821411B	-	61,243	61,243	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821705A	-	12,271	12,271	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	821705B	-	47,718	47,718	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	840309A	-	3,109	3,109	-
Community Services Block Grant/Pass-through – NYC Department of Youth and Community Development	93.569	840309B	-	68,022	68,022	-
Community Services Block Grant/Pass-through – NYS Department of State	93.569	C1001025	-	54,071	54,071	-
			-	1,464,005	1,464,005	-
Refugee and Entrant Assistance Discretionary Grants/ Pass-through – NYS Office of Child and Family Services	93.576	C028436	-	7	7	-
Refugee and Entrant Assistance Discretionary Grants/ Pass-through – NYS Office of Child and Family Services	93.576	C028735	-	176	176	-
Refugee and Entrant Assistance Discretionary Grants/ Pass-through – NYS Office of Child and Family Services	93.576	C029014	-	115	115	-
			-	298	298	-
Developmental Disabilities Basic Support and Advocacy Grants/ Pass-through - NYC Developmental Disabilities Planning Council	93.630	C024317	-	266,200	266,200	91,386
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C028436	-	1,736	1,736	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C028438	-	2,824	2,824	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C028735	-	347,035	347,035	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C028739	-	16,296	16,296	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C029014	-	38,342	38,342	-
Foster Care - Title IV-E/Pass-through - NYS Office of Children and Family Services	93.658	C029015	-	7,883	7,883	-
			-	414,116	414,116	-

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Adoption Assistance/Pass-through - NYS Office of Children and Family Services	93.659	C028436	\$ -	\$ 7,740	\$ 7,740	\$ -
Adoption Assistance/Pass-through - NYS Office of Children and Family Services	93.659	C028735	-	171,580	171,580	-
Adoption Assistance/Pass-through - NYS Office of Children and Family Services	93.659	C029014	-	72,065	72,065	-
			-	251,385	251,385	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C028436	-	8,917	8,917	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C028735	-	258,427	258,427	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C029014	-	22,751	22,751	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C028427	-	42,493	42,493	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C028744	-	341,088	341,088	-
Social Services Block Grants/Pass-through – NYS Office of Temporary and Disability Assistance	93.667	C029016	-	167,487	167,487	-
Social Services Block Grants/Pass-through – NYS Office of Temporary and Disability Assistance	93.667	C022001	-	3,957	3,957	-
Social Services Block Grants/Pass-through – NYS Office of Children and Family Services	93.667	C022038	-	120,087	120,087	-
Social Services Block Grants/Pass-through – NYS Office of Temporary and Disability Assistance	93.667	C022564	-	90,498	90,498	-
			-	1,055,705	1,055,705	-
Mental and Behavioral Health Education and Training Grants	93.732	N/A	976,192	-	976,192	-
Block Grants for Community Mental Health Services/Pass-through - NYC Department of Health and Mental Hygiene	93.958	4409	-	898,888	898,888	-
Total U.S. Department of Health and Human Services			3,625,975	16,049,401	19,675,376	229,674
U.S. Department of Defense:						
Procurement Technical Assistance for Business Firms	12.002	N/A	393,525	-	393,525	-
The Language Flagship Grants to Institutions of Higher Education/ Pass-through - Institute of International Education	12.550	0054-HC-4-CHN-280	-	333,924	333,924	-
The Language Flagship Grants to Institutions of Higher Education/ Pass-through - Institute of International Education	12.550	0054-HC-4-SSC-28	-	136,566	136,566	-
The Language Flagship Grants to Institutions of Higher Education/ Pass-through - Institute of International Education	12.550	0054-HC-LINK-280	-	14,322	14,322	-
The Language Flagship Grants to Institutions of Higher Education/ Pass-through - Institute of International Education	12.550	0054-HC-TWN-OS-2	-	622,040	622,040	282,034
The Language Flagship Grants to Institutions of Higher Education/ Pass-through - Institute of International Education	12.550	BOR21-HC-4-TWN-OS-PO	-	4,924	4,924	-
			-	1,111,776	1,111,776	282,034
Centers for Academic Excellence/Pass-through - Rutgers University	12.598	0691	-	14,768	14,768	-
Centers for Academic Excellence/Pass-through - Rutgers University	12.598	1087	-	1,608	1,608	-
Centers for Academic Excellence/Pass-through - Rutgers University	12.598	1745	-	18,448	18,448	-
Centers for Academic Excellence/Pass-through - Rutgers University	12.598	824777	-	7,952	7,952	-
Centers for Academic Excellence/Pass-through - Rutgers University	12.598	826235	-	14,430	14,430	-

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Centers for Academic Excellence/Pass-through - Rutgers University	12.598	829235	\$ -	\$ 279	\$ 279	\$ -
Centers for Academic Excellence/Pass-through - Syracuse University	12.598	SP-30991-1-05384-S01	-	14,450	14,450	-
Centers for Academic Excellence/Pass-through - Syracuse University	12.598	SP-30991-2-05667-S01	-	13,756	13,756	-
Centers for Academic Excellence/Pass-through - Syracuse University	12.598	SP-30991-2-05667-S02	-	1,765	1,765	-
			-	87,456	87,456	-
GenCyber Grants Program	12.903	N/A	26,051	-	26,051	-
Total U.S. Department of Defense			419,576	1,199,232	1,618,808	282,034
U.S. Department of Labor:						
WIOA Pilots, Demonstrations, and Research Projects	17.261	N/A	145,196	-	145,196	-
H-1B Job Training Grants	17.268	N/A	1,838,856	-	1,838,856	-
Job Corps Experimental Projects and Technical Assistance	17.287	N/A	338,862	-	338,862	-
Total U.S. Department of Labor			2,322,914	-	2,322,914	-
U.S. Department of State:						
International Programs to Support Democracy, Human Rights and Labor	19.345	N/A	315,749	-	315,749	-
U.S. Department of Transportation:						
Assistance to Small and Disadvantaged Businesses	20.910	N/A	187,943	-	187,943	-
Total U.S. Department of Transportation			187,943	-	187,943	-
U.S. Department of Treasury:						
COVID 19 Coronavirus State and Local Fiscal Recovery Funds/Pass-through - NYC Department of Youth And Community Development	21.027	57259-xx 04	-	212,754	212,754	-
			-	212,754	212,754	-
National Endowment for the Humanities:						
Promotion of the Arts Grants to Organizations and Individuals	45.024	N/A	7,000	-	7,000	-
Promotion of the Humanities Division of Preservation and Access	45.149	N/A	6,699	-	6,699	-
Promotion of the Humanities Fellowships and Stipends	45.160	N/A	64,669	-	64,669	-
Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development	45.162	N/A	45,929	-	45,929	-
COVID 19 Promotion of the Humanities-Teaching and Learning Resources and Curriculum Development	45.162	N/A	340,578	-	340,578	-
			386,507	-	386,507	-
Promotion of the Humanities Professional Development	45.163	N/A	223,371	-	223,371	-
Promotion of the Humanities Public Programs	45.164	N/A	17,595	-	17,595	-
Promotion of the Humanities - Office of Digital Humanities	45.169	N/A	77,489	-	77,489	7,200
Covid 19 Promotion of the Humanities - Office of Digital Humanities	45.169	N/A	89,460	-	89,460	-
			166,949	-	166,949	7,200
Laura Bush 21st Century Librarian Program	45.313	N/A	59,530	-	59,530	26,698
Total National Endowment for the Humanities:			932,320	-	932,320	33,898
Small Business Administration:						
Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	74135-00 24	-	171,335	171,335	-

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Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	82763	\$ -	\$ 146,354	\$ 146,354	\$ -
Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	86197	-	1,206,990	1,206,990	-
COVID 19 Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	88013	-	1,264,240	1,264,240	-
Small Business Development Centers/Pass-through – Research Foundation for the SUNY	59.037	89275	-	505,893	505,893	-
Total Small Business Administration:			-	<u>3,294,812</u>	<u>3,294,812</u>	-
U.S. Department of Education:						
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040202091	-	11,379	11,379	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040202098	-	12,089	12,089	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040202099	-	2,640	2,640	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040203000	-	26,958	26,958	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040203001	-	890	890	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040203005	-	4,657	4,657	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040203009	-	15,489	15,489	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040212091	-	133,328	133,328	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040212098	-	349,315	349,315	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040212099	-	161,303	161,303	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040213000	-	357,304	357,304	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040213001	-	124,763	124,763	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040213005	-	144,957	144,957	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0040213009	-	107,474	107,474	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0138202047	-	4,657	4,657	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	0138212047	-	100,223	100,223	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338193144	-	1,112	1,112	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338203120	-	19,646	19,646	10,800
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338203144	-	98,478	98,478	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338203190	-	10,431	10,431	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338203191	-	5,862	5,862	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338203218	-	2,010	2,010	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338203219	-	7,849	7,849	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338213120	-	101,269	101,269	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338213144	-	2,884,294	2,884,294	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338213190	-	120,675	120,675	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338213191	-	114,980	114,980	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338213218	-	109,836	109,836	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2338213219	-	113,827	113,827	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	2367-10-0027	-	263,775	263,775	-
Adult Education – Basic Grants to States/Pass-through – NYS Education Department	84.002	MOU#019-009	-	104,933	104,933	-
			-	<u>5,516,403</u>	<u>5,516,403</u>	<u>10,800</u>
Title I Grants to Local Educational Agencies/Pass-through - NYC Department of Education	84.010	57418-00 01	-	25,654	25,654	-
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 - Columbia University	84.015	1(GG013995-07)	-	5,430	5,430	-
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	-	29,066	29,066	-

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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	\$ -	\$ 15,301	\$ 15,301	\$ -
			-	49,797	49,797	-
Undergraduate International Studies and Foreign Language Programs	84.016	N/A	65,232	-	65,232	-
Higher Education – Institutional Aid	84.031	N/A	9,649,830	-	9,649,830	41,150
Higher Education – Institutional Aid/Pass-through - NYC Department of Education	84.031	WO160021475	-	1,030	1,030	-
Higher Education – Institutional Aid/Pass-through - NYC Department of Education	84.031	WO5043431	-	659	659	-
			9,649,830	1,689	9,651,519	41,150
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206030	-	45,121	45,121	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206040	-	87,380	87,380	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206120	-	6,798	6,798	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206260	-	48,833	48,833	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206330	-	157,259	157,259	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206340	-	76,095	76,095	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206360	-	120,851	120,851	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206410	-	21,515	21,515	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206460	-	157,688	157,688	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206470	-	5,007	5,007	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206571	-	17,515	17,515	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000206581	-	4,032	4,032	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000216030	-	1,316,758	1,316,758	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000216040	-	905,847	905,847	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000216120	-	257,280	257,280	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000216260	-	675,709	675,709	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000216330	-	691,942	691,942	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000216340	-	1,010,530	1,010,530	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000216360	-	37,554	37,554	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000216410	-	794,390	794,390	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000216460	-	909,629	909,629	-
Career and Technical Education – Basic Grants to States/ Pass-through – NYS Education Department	84.048	8000216571	-	125,986	125,986	-
			-	7,473,719	7,473,719	-

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Career and Technical Education - National Programs	84.051	N/A	\$ 62,697	\$ -	\$ 62,697	\$ -
Fund for the Improvement of Postsecondary Education	84.116	N/A	5,155	-	5,155	-
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Education Department	84.126	017-001	-	327,431	327,431	-
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Office of Children and Family Services	84.126	C028436	-	132	132	-
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Office of Children and Family Services	84.126	C028735	-	2,114	2,114	-
Rehabilitation Services Vocational Rehabilitation Grants to States/ Pass-through – NYS Office of Children and Family Services	84.126	C029014	-	1,501	1,501	-
			-	331,178	331,178	-
Rehabilitation Long-Term Training	84.129	N/A	75,906	-	75,906	-
Graduate Assistance in Areas of National Need	84.200	N/A	19,297	-	19,297	-
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325	N/A	834,498	-	834,498	-
Special Education-Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities	84.326	N/A	562,662	-	562,662	-
Gaining Early Awareness and Readiness for Undergraduate Programs	84.334	N/A	1,261,050	-	1,261,050	-
Gaining Early Awareness and Readiness for Undergraduate Programs/Pass-through - NYS Higher Education Services Corporation	84.334	HES01-C12333GG-3	-	195,763	195,763	25,000
Gaining Early Awareness and Readiness for Undergraduate Programs/Pass-through - NYS Higher Education Services Corporation	84.334	MOU#33	-	112,253	112,253	-
			1,261,050	308,016	1,569,066	25,000
Child Care Access Means Parents in School	84.335	N/A	2,629,053	-	2,629,053	-
Teacher Quality Partnership Grants	84.336	N/A	984,674	-	984,674	-
English Language Acquisition State Grants	84.365	N/A	1,032,330	-	1,032,330	183,963
Mathematics and Science Partnerships/Pass-through – NYC Department of Education	84.366	9059486	-	253,859	253,859	-
Supporting Effective Instruction State Grants /Pass-through – National Writing Project	84.367	92-NY02-SEED2019-REG	-	6,723	6,723	-
Supporting Effective Instruction State Grants /Pass-through – NYC Department of Education	84.367	9570362	-	362,843	362,843	-
Supporting Effective Instruction State Grants /Pass-through – NYS Education Department	84.367	MOU#018-006	-	262,569	262,569	-
Supporting Effective Instruction State Grants /Pass-through – Younkers Public Schools	84.367	2021-00006206	-	1,529	1,529	-
			-	633,664	633,664	-
Strengthening Minority-Serving Institutions	84.382	N/A	1,018,731	-	1,018,731	-
Transition Programs for Students with Intellectual Disabilities into Higher Education/Pass-through - University of Rochester	84.407	416881	-	93,572	93,572	-
Student Support and Academic Enrichment Program/Pass-through Mount Vernon City School District	84.424	71794-00 01	-	120,674	120,674	-
Various/Pass-through - MDRC	84.U01	R305A170250	-	515	515	-
Various/Pass-through - New Visions for Public Schools	84.U02	71774-01 01	-	10,920	10,920	-
Various/Pass-through - NYC Department of Education	84.U03	9173971	-	1,990	1,990	-
Total U.S. Department of Education			18,201,115	14,821,650	33,022,765	260,913
Corporation for National and Community Service						
AmeriCorps/Pass-through - NYS Office of Children and Family Services	94.006	C028562	-	34,235	34,235	-
AmeriCorps/Pass-through - NYS Office of Children and Family Services	94.006	C028964	-	128,444	128,444	-
			-	162,679	162,679	-
Total Corporation for National and Community Service				162,679	162,679	
Social Security Administration:						
Social Security - Work Incentives Planning and Assistance Program	96.008	N/A	295,070	-	295,070	-

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

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2021

Federal Grantor/Pass-Through, Grantor Program, or Cluster Title	Federal Assistance Listing Number	Pass-Through Identifying Number	Direct	Pass-Through	Total	Passed Through to Subrecipients
U.S. Department of Homeland Security:						
Citizenship Education and Training/Pass-through - Catholic Migration Services	97.010	7R615-00 03	\$ -	\$ 21,660	\$ 21,660	\$ -
Citizenship Education and Training/Pass-through - Catholic Migration Services	97.010	18CICET00067-01-00	-	35,827	35,827	-
			-	57,487	57,487	-
Scientific Leadership Awards	97.062	N/A	131,001	-	131,001	-
Total U.S. Department of Homeland Security			131,001	57,487	188,488	-
Agency for International Development						
USAID Foreign Assistance for Programs Overseas	98.001	N/A	315,121	-	315,121	97,445
Total Federal Awards			\$ 129,502,868	\$ 70,681,356	\$ 200,184,224	\$ 15,315,760

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

NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

For the year ended June 30, 2021

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 entity ("RF CUNY") for the year ended June 30, 2021. 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 ACCOUNTING 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 its 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 entity (collectively, "RF CUNY"), which comprise the consolidated balance sheet as of June 30, 2021, 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 21, 2021.

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") as a basis for designing 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 financial statements. 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.

Grant Thornton LLP

New York, New York
October 21, 2021

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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 entity (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, 2021. 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 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, 2021.

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.

Grant Thornton LLP

New York, New York
December 22, 2021

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

SCHEDULE OF FINDINGS AND QUESTIONED COSTS

For the year ended June 30, 2021

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

<u>Federal Grantor/Program or Cluster Title</u>	<u>Federal Assistance Listing Number</u>
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Research and Development Cluster	Various
U.S. Department of Housing and Urban Development:	
CDBG - Entitlement Grants Cluster	14.218
U.S. Department of Labor:	
WIOA Cluster	17.258/17.259/17.278
Small Business Administration:	
Small Business Development Centers Grant	59.037
U.S. Department of Education:	
Higher Education Institutional Aid	84.031

Dollar threshold used to distinguish between type A and type B programs: \$3,000,000

Auditee qualified as low-risk auditee? X yes _____ no

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

SCHEDULE OF FINDINGS AND QUESTIONED COSTS - CONTINUED

For the year ended June 30, 2021

SECTION II - FINANCIAL STATEMENT FINDINGS

None identified.

SECTION III - FEDERAL AWARD FINDINGS AND QUESTIONED COSTS

None identified.