



**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

OMB Circular A-133 Audit Report

Year ended June 30, 2011

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

OMB Circular A-133 Audit Report

Year ended June 30, 2011

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KPMG LLP  
515 Broadway  
Albany, NY 12207-2974

## Independent Auditors' Report

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

We have audited the accompanying balance sheets of The Research Foundation of State University of New York (the RF) as of June 30, 2011 and 2010, and the related statements of activities and cash flows for the years then ended. These financial statements are the responsibility of the RF's management. Our responsibility is to express an opinion on these 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 financial statements are free of material misstatement. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the RF's internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of The Research Foundation of State University of New York as of June 30, 2011 and 2010, and the changes in its net assets and its cash flows for the years then ended in conformity with U.S. generally accepted accounting principles.

In accordance with *Government Auditing Standards*, we have also issued a report dated September 16, 2011 on our consideration of the RF's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our 2011 audit.



Our audits were conducted for the purpose of forming an opinion on the basic financial statements taken as a whole. The accompanying schedule of expenditures of federal awards for the year ended June 30, 2011 is presented for purposes of additional analysis as required by the U.S. Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, and is not a required part of the basic financial statements. The schedule of expenditures of federal awards has been subjected to the auditing procedures applied in the audit of the 2011 basic financial statements and, in our opinion, is fairly stated, in all material respects, in relation to the 2011 basic financial statements taken as a whole.

KPMG LLP

September 16, 2011

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Balance Sheets

June 30, 2011 and 2010

| <b>Assets</b>                          | <b>2011</b>           | <b>2010</b>          |
|--|-----------------------|----------------------|
| Current assets:                        |                       |                      |
| Cash and cash equivalents              | \$ 1,076,799          | 2,010,783            |
| Accounts receivable, net               | 209,734,049           | 189,056,669          |
| Advances to others                     | 17,348,401            | 16,805,781           |
| Short-term investments                 | 200,328,317           | 157,224,453          |
| Other assets                           | 14,017,583            | 6,316,686            |
| Total current assets                   | <u>442,505,149</u>    | <u>371,414,372</u>   |
| Noncurrent assets:                     |                       |                      |
| Long-term investments                  | 64,939,976            | 37,705,833           |
| Fixed assets, net                      | 21,077,123            | 23,005,816           |
| Other assets                           | 3,839,442             | 3,106,830            |
| Total noncurrent assets                | <u>89,856,541</u>     | <u>63,818,479</u>    |
| Total assets                           | <u>\$ 532,361,690</u> | <u>435,232,851</u>   |
| <b>Liabilities and Net Deficit</b>     |                       |                      |
| Current liabilities:                   |                       |                      |
| Accounts payable and accrued expenses  | \$ 62,937,794         | 56,045,362           |
| Accrued compensation                   | 23,321,268            | 23,039,955           |
| Accrued vacation                       | 27,610,292            | 28,361,985           |
| Deferred revenue                       | 155,999,406           | 112,048,861          |
| Deposits held for others               | 45,444,785            | 47,186,375           |
| Current portion of long-term debt      | 188,666               | 199,712              |
| Line of credit                         | 29,200,000            | 10,429,052           |
| Total current liabilities              | <u>344,702,211</u>    | <u>277,311,302</u>   |
| Noncurrent liabilities:                |                       |                      |
| Deposits held for others               | 1,460,785             | 1,100,418            |
| Post-retirement benefit obligation     | 209,035,000           | 251,525,000          |
| Long-term debt, net of current portion | 5,205,000             | 5,393,666            |
| Other liabilities                      | 4,469,453             | 3,887,867            |
| Total noncurrent liabilities           | <u>220,170,238</u>    | <u>261,906,951</u>   |
| Total liabilities                      | 564,872,449           | 539,218,253          |
| Net deficit:                           |                       |                      |
| Unrestricted                           | <u>(32,510,759)</u>   | <u>(103,985,402)</u> |
| Total liabilities and net deficit      | <u>\$ 532,361,690</u> | <u>435,232,851</u>   |

See accompanying notes to financial statements.

**THE RESEARCH FOUNDATION OF  
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Statements of Activities

Years ended June 30, 2011 and 2010

|   | <u>2011</u>            | <u>2010</u>          |
|---|------------------------|----------------------|
| Revenues:   |                        |                      |
| Grants awarded for research and other sponsored activities:             |                        |                      |
| Federal   | \$ 414,507,021         | 390,166,895          |
| Federal flow through  | 163,790,800            | 168,462,052          |
| New York State  | 187,909,660            | 153,657,037          |
| Private and other   | <u>180,257,103</u>     | <u>180,259,974</u>   |
| Total grants awarded for research and other<br>sponsored activities     | 946,464,584            | 892,545,958          |
| Investment income, net  | 19,921,549             | 12,730,879           |
| Inventions and licenses income  | 11,924,304             | 10,957,870           |
| Other income  | <u>20,677,684</u>      | <u>20,049,036</u>    |
| Total revenues  | <u>998,988,121</u>     | <u>936,283,743</u>   |
| Expenses:   |                        |                      |
| Sponsored programs and other activities                                 | 800,345,290            | 747,605,346          |
| Administration and support  | <u>178,986,188</u>     | <u>174,595,876</u>   |
| Total expenses  | <u>979,331,478</u>     | <u>922,201,222</u>   |
| Change in net assets from revenues and expenses                         | 19,656,643             | 14,082,521           |
| Other changes:  |                        |                      |
| Post-retirement related change other than net periodic benefit<br>costs | <u>51,818,000</u>      | <u>(51,822,000)</u>  |
| Increase (decrease) in net assets                                       | 71,474,643             | (37,739,479)         |
| Net deficit at beginning of year  | <u>(103,985,402)</u>   | <u>(66,245,923)</u>  |
| Net deficit at end of year  | <u>\$ (32,510,759)</u> | <u>(103,985,402)</u> |

See accompanying notes to financial statements.

**THE RESEARCH FOUNDATION OF  
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Statements of Cash Flow

Years ended June 30, 2011 and 2010

|  | 2011           | 2010          |
|--|----------------|---------------|
| Cash flow from operating activities:   |                |               |
| Federal grants and contracts   | \$ 587,559,328 | 554,266,707   |
| State and local grants and contracts   | 213,878,937    | 84,045,921    |
| Private gifts and grants   | 176,385,796    | 165,270,974   |
| Other receipts   | 183,934,019    | 220,111,456   |
| Salaries and wages payments  | (405,401,916)  | (402,797,042) |
| Employee benefits payments   | (147,584,496)  | (135,909,399) |
| Payments to suppliers and vendors  | (494,867,718)  | (464,666,573) |
| Operating interest, dividends and investment gains   | 2,877,365      | 2,920,149     |
| Distribution from BSA partnership  | 1,919,825      | 2,750,003     |
| Interest payments on capital debt and notes  | (212,499)      | (235,296)     |
| Other payments   | (78,619,285)   | (88,774,629)  |
| Net cash provided (used) by operating activities   | 39,869,356     | (63,017,729)  |
| Cash flows from investing activities:  |                |               |
| Proceeds from sales of investments   | 313,948,062    | 320,856,044   |
| Purchases of investments   | (370,557,915)  | (271,558,756) |
| Cash paid for purchases of fixed assets  | (2,764,723)    | (2,871,112)   |
| Net cash (used) provided by investing activities   | (59,374,576)   | 46,426,176    |
| Cash flows from financing activities:  |                |               |
| Principal payments on long-term debt   | (199,712)      | (666,952)     |
| Proceeds from line of credit   | 110,770,693    | 22,656,811    |
| Payments on line of credit   | (91,999,745)   | (12,227,760)  |
| Net cash provided by financing activities  | 18,571,236     | 9,762,099     |
| Net decrease in cash and cash equivalents  | (933,984)      | (6,829,454)   |
| Cash and cash equivalents, beginning of year   | 2,010,783      | 8,840,237     |
| Cash and cash equivalents, end of year   | \$ 1,076,799   | 2,010,783     |
| Reconciliation of change in net assets to net cash provided (used) by operating activities:        |                |               |
| Change in net assets   | \$ 71,474,643  | (37,739,479)  |
| Adjustments to reconcile change in net assets to net cash provided (used) by operating activities: |                |               |
| Realized and unrealized gains on investments   | (13,448,858)   | (8,012,937)   |
| Change in fair value of interest rate swap   | (151,026)      | 237,767       |
| Net change in equity investment of BSA partnership   | (1,675,500)    | 952,210       |
| Depreciation   | 4,465,283      | 4,571,048     |
| Loss on disposal of fixed assets   | 243,133        | 344,709       |
| Donated fixed assets   | (15,000)       | (1,166,600)   |
| Change in assets and liabilities:  |                |               |
| Accounts receivable and other assets   | (29,110,889)   | (35,717,768)  |
| Accrued investment income  | 1,396,204      | 1,874,194     |
| Accounts payable and accrued expenses  | 6,892,432      | (4,999,558)   |
| Other accruals and other liabilities   | 262,232        | 3,959,826     |
| Deferred revenue   | 43,950,545     | (51,482,615)  |
| Deposits held for and advances to others   | (1,923,843)    | 276,474       |
| Post-retirement benefit obligation   | (42,490,000)   | 63,885,000    |
| Net cash provided (used) by operating activities   | \$ 39,869,356  | (63,017,729)  |

See accompanying notes to financial statements.

**THE RESEARCH FOUNDATION OF  
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Notes to Financial Statements

June 30, 2011 and 2010

**(1) Organization**

The Research Foundation of State University of New York (RF) exists to support SUNY. Serving SUNY for over 60 years, the RF is the largest, most comprehensive university-connected research foundation in the country, supporting over \$1 billion in SUNY research activity annually and facilitating university-industry-government partnerships to accelerate the growth of sponsored program and applied research opportunities. Areas of supported research encompass a vast range of disciplines including life sciences and medicine; engineering and nanotechnology; physical sciences and energy; social sciences; and computer and information sciences. Founded in 1951 as a private nonprofit educational corporation, the RF works with academic and business leadership to support essential research and discovery that translate into invention, innovation, entrepreneurship, economic opportunity and public benefit across New York and throughout the world. The RF is tax-exempt under Internal Revenue Code (IRC) Section 501(c)(3).

The RF comprises a central office and operating units at 30 campus locations across New York State. Sponsored program functions delegated to the campuses are conducted under the supervision of RF operations managers who are appointed by the RF's board of directors on the recommendation of the respective campus presidents.

The RF is governed by a board of directors composed of researchers, campus and system administrators, and representatives of business and industry.

**(2) Summary of Significant Accounting Policies**

**(a) Basis of Presentation**

The accompanying financial statements of the RF are presented consistent with the Financial Accounting Standards Board Accounting Standards Codification (ASC) 958, which addresses the presentation of financial statements for not-for-profit organizations. In accordance with the provisions of ASC 958, net assets and revenue, expenses, gains, and losses are classified based on the existence or absence of donor-imposed restrictions. Accordingly, unrestricted net assets are amounts not subject to donor-imposed stipulations and are available for operations.

**(b) Use of Estimates**

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make significant estimates and assumptions that affect the reported amounts of liabilities and net assets and disclosures of contingencies as of the date of the financial statements and the reported amount of change in net assets during the reporting period. The most significant areas which are affected by the use of estimates include balances for allowance for doubtful accounts, valuation of certain alternative investments, and the post-retirement benefit obligation. Actual results could differ from those estimates and the differences between estimates and actual results could be significant.



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**(c) Revenue Recognition**

Grants awarded for research and other sponsored activities represent exchange transactions derived from grants, cost reimbursement contracts, and cooperative agreements that provide for the recovery of direct and indirect costs, subject to audit. In the opinion of management, no material adjustments are expected as a result of such audits. Grants and contracts awarded for research and other sponsored activities are recognized only to the extent of costs incurred, in the year in which the costs are eligible for reimbursement. Amounts received in excess of expenses are recorded as deferred revenue. The RF funds its operations primarily from recoveries of indirect costs provided from grants and contracts. Such recoveries are recorded in the year in which the costs are eligible for reimbursement.

Investment income or loss is comprised of dividends and interest, realized and changes in unrealized gains and losses, and income from investment in the Brookhaven Science Associates partnership.

Inventions and licenses income include the total amount derived from inventions that result from sponsored research. The RF is responsible for protecting the intellectual property and commercializing these technologies as part of its technology transfer service. The RF follows the SUNY policy of apportioning up to 40% of the royalties to the inventors, with the rest apportioned to the campuses. The inventors' shares of the royalties are reflected in the RF's administration and support expenses. Campus portions are spent under the provisions of the Bayh-Dole Act and are also reflected in the RF's administration and support expenses.

Other income consists of third party service center revenue, nonsponsored income from activities such as fees for the use of the automated grants accounting system, and fees earned for administering agency funds such as fiscal and personnel staffing agreements.

**(d) Cash Equivalents**

For the purpose of presenting the statements of cash flows, cash equivalents include short-term, highly liquid investments with an original maturity of three months or less at the time of purchase, exclusive of amounts classified as short and long-term investments. As more fully described in note 5, cash equivalents are recorded at fair value using Level 1 inputs.

**(e) Investments**

Investments are reported at fair value pursuant to ASC 820, *Fair Value Measurements and Disclosures*. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between participants at the measurement date. See note 5 for a discussion of fair value measurements.

Purchases and sales of securities are recorded on a trade-date basis. Dividend income is recorded on the ex-dividend date. Interest income is recorded on the accrual basis of accounting. The average cost of securities sold is used to determine the basis for computing realized gains or losses.

Short-term investments reflect the RF's anticipated need to fulfill current obligations under sponsored awards and agency agreements, using approximately the amounts represented in the

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deferred revenue and current deposits held for others captions on the RF balance sheet. Investment holdings in excess of these needs are classified as long-term investments.

To minimize potential losses, the RF maintains a diversified investment portfolio. Investments are held with the investment custodian in the RF's name.

Under ASC 715-20-50 and 55, employers are required to disclose information about fair value measurements of plan assets similar to the disclosures required under ASC 820. See note 8.

**(f) Fixed Assets**

Fixed assets are stated at cost, net of accumulated depreciation, and are depreciated on a straight-line basis over the estimated useful life of the assets. Using historical and industry experience, estimated useful lives, with the exception of land, range from five to 50 years.

Upon sale or retirement of fixed assets, the cost and the related accumulated depreciation are removed from the accounts and the resulting gain or loss is recorded. Depreciation expense for the years ended June 30, 2011 and 2010 was \$4,465,283 and \$4,571,048, respectively. Generally, title to equipment purchased using sponsored funds is retained by the grantor institution until such time as final disposition is determined. Accordingly, purchases of equipment charged to the respective grant or contract are not capitalized.

**(g) Derivative Instruments and Hedging Activities**

The RF accounts for derivative investments in accordance with the ASC Topic 815, *Derivative and Hedging*, which requires that all derivative instruments be recognized in the financial statements and measured at fair value regardless of the purpose or intent for holding them. The RF currently has an interest rate swaps that is adjusted to fair value, through net assets. The RF also has a forward rate contract for a CNSE sponsored program which the difference between market and contract rates is borne by the sponsor; the forward rate contract is reflected at fair value on the RF balance sheet as equal asset and liability balances.

**(h) Deferred Revenue**

Deferred revenue represents three types of activities: (1) surplus amounts for sponsored program activity that occur when funds are received in advance of spending, (2) surplus amounts on balance awards that represent the balance of funds that remain after termination of a project (either grant or contract) supported by a fixed price award which can be used in the future to support research, and (3) surplus balances related to service centers that are established and maintained to provide a specific service and charge to sponsored programs and other users, in which billing rates are reviewed at a minimum of every two years and rates are adjusted prospectively to reduce surplus/deficit amounts.

**(i) Accrued Vacation**

RF employees are granted vacation and sick leave in varying amounts. In the event of termination, an employee is reimbursed for accumulated vacation up to a maximum of 30 days. Employees are

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not reimbursed for accumulated sick leave at termination; however, as described in note 9, upon retirement up to 200 days of accumulated sick leave is considered in the computation of retirement benefits.

**(j) Post-Retirement Benefit Obligation**

In May 2009, the RF established a Voluntary Employee Benefit Association (VEBA) trust for the post-retirement benefit plan. The assets held in the VEBA trust reduce the accumulated post-retirement benefit obligation, as reported on the RF's balance sheet. The VEBA trust held assets of \$101,424,000 and \$80,446,000 as of June 30, 2011 and 2010, respectively.

**(k) Other Information**

Accounts receivable as of June 30, 2011 and 2010 are reported net of an allowance for doubtful accounts of approximately \$7,146,000 and \$6,740,000, respectively.

Advances to others and deposits held for others represent amounts related to agency activity at the campus and affiliated organization locations. Agency activity refers to those university-related organizations, such as campus-based foundations or campus-based clinical practice plans that use RF-provided human resources, payroll and purchasing and payables administration services. Included in the noncurrent deposits held for others are planned gifts donated to RF to ultimately benefit the campus foundations of approximately \$1,461,000 and \$1,100,000 at June 30, 2011 and 2010, respectively. Included in the current portion of deposits held for others are approximately \$32,974,000 and \$35,807,000 of construction funds for an affiliated organization at June 30, 2011 and 2010 respectively.

Various SUNY employees perform work on RF sponsored grants. SUNY pays these employees directly, and is reimbursed by the RF on a monthly basis. The related amounts due to SUNY are included in accrued compensation and consist of both a known and estimated component. The total liability to SUNY at June 30, 2011 and 2010 is approximately \$5,735,000 and \$7,207,000, respectively.

The RF maintains a deferred compensation plan established in accordance with Section 457(b) of the IRC. Plan funds, totaling approximately \$3,839,000 and \$3,107,000 as of June 30, 2011 and 2010, respectively, are a part of the general assets of the RF, which are subject to claims of creditors of the RF.

The RF assisted in the creation and expansion of the University at Albany College of Nanoscale Science and Engineering facilities. The RF leases various areas of clean room space from Fuller Road Management Corporation to facilitate research and development related activities at the University at Albany in the field of nanotechnology (see note 3). The RF maintains a service center where costs are incurred for the operation of this facility and supported by recharges to sponsored programs or third-party use. Agreements have been executed between the RF and various third parties for the use of tools and facilities for which the revenue is included in other income in the statements of activities.

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**(l) Fair Value of Financial Instruments**

The carrying amounts of accounts receivable, other current assets, accounts payable and accrued expenses, and deposits held for others approximate fair value due to the short maturity of these financial instruments. The carrying amount of long-term debt and the line of credit approximate fair value because these loans bear interest at a variable rate that is not significantly different than current market rates for loans with similar maturities and credit quality. See note 5 for additional information regarding fair value considerations with respect to investments.

**(m) Tax Status**

The RF has been determined by the Internal Revenue Service to be an organization described in the Internal Revenue Code (the Code) Section 501(c)(3) and, therefore, is exempt from federal income taxes on related income pursuant to Section 501(a) of the Code. The RF follows the provisions of ASC 740-10, *Accounting for Uncertainty in Income Taxes*. Management has evaluated ASC 740-10 and there was no impact to the RF's financial statements for the years ended June 30, 2011 and 2010.

**(n) Reclassifications**

Certain 2010 amounts have been reclassified to conform to the 2011 presentation.

**(3) Affiliated Organization**

The RF has 17 affiliated organizations as of June 30, 2011 that have been established to facilitate university-industry-government partnerships and accelerate the growth of sponsored program and applied research opportunities at SUNY. These entities limit liability to the RF and SUNY, establish separate and distinct governance structures, and are often able to meet a variety of needs. The affiliated organizations are as follows:

**(a) Binghamton Technologies Corporation**

Binghamton Technologies Corporation is a private, not-for-profit corporation formed by the RF (acting on behalf of Binghamton University) to construct a high technology facility at the eastern edge of the Binghamton University campus to assist in the economic development of the region. This corporation was dissolved during fiscal year 2011.

**(b) BioBAT Holdings, Inc.**

BioBAT Holdings is a private, not-for-profit corporation formed by the RF (acting on behalf of SUNY Downstate Medical Center) and the New York City Economic Development Corporation (on behalf of the City of New York). It was established to provide further support for the development of the Brooklyn Army Terminal by providing a vehicle through which active development and construction could be facilitated in support of the mission and purpose of BioBAT, Inc.

**(c) BioBAT, Inc.**

BioBAT, Inc. is a private, not-for-profit corporation formed by the RF (acting on behalf of SUNY Downstate Medical Center) and the New York City Economic Development Corporation (on behalf

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of the City of New York) to develop the Brooklyn Army Terminal into a site for biotechnology expansion, manufacturing, and research. This facility will provide a committed location in New York City where new and growth stage biotechnology and biopharmaceutical companies can expand, create jobs, and manufacture products for market.

**(d) *Binghamton Center for Emerging Technologies***

Binghamton Center for Emerging Technologies is a private, not-for-profit corporation formed by the RF (acting on behalf of Binghamton University) and Endicott Interconnect Technologies, that will work in partnership with Endicott and the RF, with support from Binghamton University's Small Scale Systems Integration and Packaging (S<sup>3</sup>IP) Center to fulfill technical needs of the Department of Defense and other federal agencies at an accelerated pace.

**(e) *Broad Hollow Bioscience Park, Inc.***

Broad Hollow Bioscience Park, Inc. is a not-for-profit corporation formed by the RF (acting on behalf of Farmingdale State College) and Cold Spring Harbor Laboratory to operate an incubator facility on the Farmingdale State campus. Its purpose is to assist in the economic development of the region by attracting public and private funds to further biotechnology development through the commercialization of new technologies and the creation of new companies and new jobs.

**(f) *Brookhaven Science Associates, LLC***

Brookhaven Science Associates, LLC (BSA) is a not-for-profit limited liability company formed by the RF (acting on behalf of Stony Brook University) and Battelle Memorial Institute (Battelle). In a national competition against the country's leading research universities, the U.S. Department of Energy in 1998 selected BSA to operate Brookhaven National Laboratory. BSA profits and losses are allocated 50% each to Battelle and the RF; Battelle and the RF each made an initial capital contributions of \$125,000 in 1998.

The accompanying financial statements of the RF includes its share of the net earnings of BSA based on the operating results for the years ended June 30, 2011 and 2010. The RF records distributions received as a reduction of the investment balance.

**(g) *Buffalo 2020 Development Corporation***

Buffalo 2020 Development Corporation was formed by the RF (on behalf of University at Buffalo) in partnership with FNUB, Inc., a subsidiary of the University at Buffalo Foundation, in an effort to enable the purchase, development and construction of research-based facilities and infrastructure on University at Buffalo property on the downtown Buffalo, NY campus. These facilities will support the research, academic and economic development mission of the SUNY campus at Buffalo.

**(h) *CBN Connect, Inc.***

CBN Connect, Inc. was formed by the RF (on behalf of SUNY Plattsburgh) in partnership with the St. Regis Mohawk Tribe and the Adirondack North Country Association to promote and facilitate the development of high-speed communications networks throughout the eastern Adirondack Park and

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beyond. CBN Connect, Inc. will partner with regional, state, and federal entities to develop a network infrastructure through which broadband service providers will accommodate homes and business throughout the region. The RF withdrew as a corporate member of CBN Connect during fiscal year 2011

**(i) CUBRC, Inc.**

CUBRC, Inc. is a private, not-for-profit corporation formed by the RF (acting on behalf of the University at Buffalo) and, as of May 2006, the University at Buffalo Foundation Incubator, Inc. CUBRC, Inc.'s mission is to leverage the capabilities of scientists from academia and industry to expand capability and to provide economic and industrial growth opportunities in Western New York. Incorporated in 1983, CUBRC, Inc. competes for research programs that would not otherwise be available to the University at Buffalo.

**(j) Central New York Biotechnology Research Center**

Central New York Biotechnology Research Center (CNYBRC) is a private, not-for-profit corporation formed by the RF (acting on behalf of SUNY Upstate Medical University and SUNY College of Environmental Science and Forestry), Metropolitan Development Association of Syracuse and Central New York, Le Moyne College and Syracuse University. CNYBRC seeks to promote economic development in Central New York and across New York State by supporting technology transfer, workforce development, and a high-tech business incubator.

**(k) Downstate Technology Center, Inc.**

Downstate Technology Center, Inc is a private, not-for-profit corporation formed by the RF (acting on behalf of SUNY Downstate Medical Center) in partnership with the Health Science Center at Brooklyn Foundation, Inc. to provide a vehicle for the construction of an advanced biotechnology incubator to the SUNY Downstate Medical Center. The facility seeks to advance medical research, provide incubator space and assist in the economic development of the Borough of Brooklyn.

**(l) Fort Schuyler Management Corporation**

Fort Schuyler Management Corporation (FSMC) is a private, not-for-profit corporation, formed by the RF in partnership with the SUNYIT Foundation. FSMC will facilitate the construction of a nanotechnology and semiconductor development and manufacturing facility adjacent to the SUNY Institute of Technology (SUNYIT) campus in partnership with local economic development institutions. FSMC will advance the growth of an emerging nanotechnology and semiconductor research and development cluster in New York that includes the College of Nanoscale Science and Engineering at University at Albany.

**(m) Fuller Road Management Corporation**

Fuller Road Management Corporation (FRMC) is a private, not-for-profit corporation formed by the RF (acting on behalf of the University at Albany) and the University Albany Foundation. FRMC provides a vehicle for the construction of comprehensive research facilities at the College of Nanoscale Science and Engineering in an effort to promote the advancement of the research portfolio

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of the University at Albany, as well as to assist in the development of early and late stage companies, the creation of jobs and the development of the region's economy.

In May 2005, the RF, as tenant, and FRMC as landlord, executed an agreement for the lease of clean room facilities, which are used for nanotechnology-related research and development at the University at Albany. Rent payments made by the RF pursuant to the agreement for each of the years ended June 30, 2011 and 2010 were \$7,014,458. The annual rental payment may escalate annually at a rate not to exceed one percent. The term of the lease is from May 20, 2005 through September 30, 2035. Annual minimum lease payments are shown in note 13.

**(n) *Long Island High Technology Incubator***

Long Island High Technology Incubator (LIHTI) is a private, not-for-profit corporation incorporated in 1989 by the RF (acting on behalf of Stony Brook University) and the Stony Brook Foundation, Inc. LIHTI's mission is the development of new high-technology companies in a limited number of overlapping technology growth areas including biotechnology, environmental technologies, electronics, information technology and new materials technology.

**(o) *New York Maritime College Sailing Foundation, Inc.***

New York Maritime College Sailing Foundation, Inc. (NYMCSF) is a private, not-for-profit corporation formed by the RF to support sailing programs at the State University of New York Maritime College. The goal of NYMCSF is to advance the college's mission through the enhancement of the faculty, student and staff for the benefit of midshipmen and to facilitate the program's short and long-term excellence through donations of funds, equipment or boats. This corporation is inactive and will be dissolved during fiscal year 2012.

**(p) *Purchase College Advancement Corporation***

Purchase College Advancement Corporation is a private, not-for-profit corporation formed by the RF (on behalf of Purchase College) to operate facilities that will support the college's academic mission and spur economic development in the mid-Hudson region.

**(q) *Source Sentinel, LLC***

Source Sentinel, LLC is a limited liability company formed by the RF (acting on behalf of the College of Environmental Science and Forestry), O'Brien & Gere Limited, and Sensis Corporation. Its mission is to bring together scientists, engineers and resources from academia and industry to develop real-time detection and monitoring products for the protection of drinking water supplies, distribution systems and treatment facilities against chemical and biological threats.

**(r) *SUNY China International Corporation***

SUNY China International Corporation is a private, not-for-profit corporation formed by the RF, and, as of fiscal 2009, the Neil D. Levin Graduate Institute International Relations and Commerce Foundation, Inc., to foster and develop new academic and research collaborations, programs and initiatives between SUNY and Chinese universities. The organization was formerly known as State University of New York China Representative Office Inc., and was renamed during fiscal year 2009.

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**(s) SUNY Fredonia Technology Incubator, Inc**

SUNY Fredonia Technology Incubator, Inc. (SFTI) is a private not-for-profit corporation formed by the RF and the Fredonia College Foundation to develop and manage a technology incubator facility in Dunkirk, NY for the benefit of the State University of New York, SUNY Fredonia, and Western New York State. The incubator will house new technology companies in order to further the early stage business capacity of the region, create jobs and promote economic development.

**(4) Investments**

Investments by type consist of the following as of June 30:

|                               | <u>2011</u>           | <u>2010</u>        |
|-------------------------------|-----------------------|--------------------|
| Cash equivalents              | \$ 78,587,008         | 43,594,372         |
| U.S. government agency        | 7,995,840             | —                  |
| Mortgage backed assets        | —                     | 1,790,476          |
| Mutual funds                  | 75,476,401            | 80,997,201         |
| Electronically traded funds   | 10,727,437            | 6,461,803          |
| Alternative investments       | 87,914,281            | 59,886,556         |
| Other                         | 1,809,530             | 1,117,582          |
|                               | <u>262,510,497</u>    | <u>193,847,990</u> |
| Investment in BSA partnership | 2,757,796             | 1,082,296          |
| Total                         | <u>\$ 265,268,293</u> | <u>194,930,286</u> |

Alternative investments consist of diversified investments of hedge fund of funds, real estate, domestic and foreign equity funds, fixed income securities and private equity funds in various investment vehicles, such as limited liability partnerships and corporations. See note 5 for discussion of fair value measurements.

The RF's investments are kept in pools based on business needs. Short-term needs are covered by holdings in short-term and liquid pools, while the remainder of the investments are kept in medium-duration and long-duration investment pools depending on expected duration of funds and spending needs.

The strategy of the RF's medium-duration pool is based on a long-term annual return target of 7%. The goal is to minimize the probability of a decline in excess of 5% in any single year, while ensuring quarterly liquidity of 30% of the portfolio to meet possible withdrawal on relatively short notice. As a result of these diverse needs, the desired risk levels are below those typically encountered in longer-term restricted funds. The largest portfolio allocations in the medium-duration pool are fixed-income bond funds, absolute return hedge funds, hedged equities and equity funds.

The RF's long-duration pool is intended for funds that can be reasonably expected to remain unspent or consistently replenished over a long period of time. The long-duration strategy is a higher risk allocation with a long-term annual return target of 10%. The goal is to minimize the probability of a decline in excess of 15% in any single year, with 60% of the portfolio assumed to have a duration of three years or longer. The longest portfolio allocations in the long-duration pool are equity funds, hedged equities and real estate.



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The following is the composition of net investment income for the years ended June 30:

|   | <b>2011</b>   | <b>2010</b> |
|---|---------------|-------------|
| Dividends and interest                    | \$ 2,877,366  | 2,920,149   |
| Net realized and unrealized gains         | 13,448,858    | 8,012,937   |
| Income from investment in BSA partnership | 3,595,325     | 1,797,793   |
| Total return on investments               | \$ 19,921,549 | 12,730,879  |

**(5) Fair Value Measurements**

Fair value is measured with ASC 820, *Fair Value Measurements and Disclosures*. The three levels of the fair value hierarchy established under ASC 820 are described below:

Level 1: Input are unadjusted quoted market prices in active markets for identical assets or liabilities that are assessable at the measurement date.

Level 2: Inputs are other than quoted prices in active markets that are observable either directly or indirectly and fair value is determined through the use of models or other valuation methodologies.

Level 3: Inputs are unobservable and are used to measure fair value to the extent that observable inputs are not available.

The following is a description of the valuation methodologies used for investments measured at fair value:

Cash equivalents are valued at the net asset value (NAV) reported by the financial institution (Level 1 measurement).

U.S. government securities, mutual and electronically traded funds are valued based on quoted market prices or dealer quotes, where available (Level 1 measurement). When quoted market prices are not available, fair values are based on quoted market prices of comparable instruments. When necessary, the RF utilizes matrix pricing from a third party vendor to determine fair value pricing (Level 2 measurement).

The RF's various alternative investments are typically redeemable with the fund at NAV under the terms of the investment agreements. The estimation of fair value of alternative investments for which the underlying securities do not have readily determinable value is made using NAV per share or its equivalent as a practical expedient in accordance with Accounting Standards Update (ASU) 2009-12, *Investments in Certain Entities that Calculate Net Asset Value per Share (or its Equivalent)*. The RF owns interests in funds rather than in securities or assets underlying each fund. The NAV is derived primarily using market values of the underlying holdings. The level in the fair value hierarchy in which each investment's fair value is classified is based primarily on the RF's ability to redeem its interests in each account at or near the date of the balance sheet (Level 2 or 3 measurement).

The preceding methods may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, although RF believes its valuation methodologies are appropriate and consistent with other market participants, the use of different methodologies or

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assumptions to determine fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

Financial instruments are classified in their entirety based on the lowest level of input that is significant to the fair value measurement. The following tables summarize, as of June 30, 2011 and 2010, the RF's investments that are measured at fair value on a recurring basis as well as the liquidity redemption and notification provisions.

|                                     | 2011                  |                   |                  |                    | Redemption<br>frequency | Days<br>notice |
|-------------------------------------|-----------------------|-------------------|------------------|--------------------|-------------------------|----------------|
|                                     | Level 1               | Level 2           | Level 3          | Total              |                         |                |
| Investments:                        |                       |                   |                  |                    |                         |                |
| Cash equivalents                    | \$ 78,587,008         | —                 | —                | 78,587,008         | Daily                   | 1              |
| U.S. government agency              | 7,995,840             | —                 | —                | 7,995,840          | Daily                   | 4              |
| Mutual funds:                       |                       |                   |                  |                    |                         |                |
| U.S. government fixed income        | 43,681,869            | —                 | —                | 43,681,869         | Daily                   | 1              |
| U.S. corporate credit securities    | 2,578,870             | —                 | —                | 2,578,870          | Daily                   | 1              |
| U.S. equities                       | 10,362,250            | —                 | —                | 10,362,250         | Daily                   | 1              |
| Foreign equities                    | 14,500,836            | —                 | —                | 14,500,836         | Daily                   | 1              |
| Real estate                         | 4,352,576             | —                 | —                | 4,352,576          | Daily                   | 1              |
| Electronically traded funds:        |                       |                   |                  |                    |                         |                |
| Real estate                         | 4,688,424             | —                 | —                | 4,688,424          | Daily                   | 4              |
| Commodities                         | 3,990,514             | —                 | —                | 3,990,514          | Daily                   | 4              |
| Energy stocks                       | 2,048,499             | —                 | —                | 2,048,499          | Daily                   | 4              |
| Alternative investments:            |                       |                   |                  |                    |                         |                |
| Absolute multistrategy return       | —                     | 39,447,587        | —                | 39,447,587         | Quarterly               | 60 to 95       |
| Hedged equities                     | —                     | 24,450,164        | —                | 24,450,164         | Quarterly               | 65 to 95       |
| U.S. equities                       | —                     | 1,512,000         | —                | 1,512,000          | Quarterly               | 45             |
| Foreign equities                    | —                     | 4,046,431         | —                | 4,046,431          | Quarterly               | 90             |
| U.S. corporate credit securities    | —                     | 11,884,254        | —                | 11,884,254         | Monthly/<br>Quarterly   | 30 to 90       |
| Foreign corporate credit securities | —                     | 5,495,087         | —                | 5,495,087          | Monthly/<br>Quarterly   | 10 to 45       |
| Private equity                      | —                     | —                 | 1,078,758        | 1,078,758          | See (a) below           | N/A            |
| Other                               | 1,809,530             | —                 | —                | 1,809,530          | Daily                   | 4              |
| Total                               | <u>\$ 174,596,216</u> | <u>86,835,523</u> | <u>1,078,758</u> | <u>262,510,497</u> |                         |                |

- (a) Certain alternative investments include noncontrolling shares or interests in funds where the controlling general partner serves as the investments manager. Such investments are typically not eligible for redemption from the fund or general partner, but are typically sold to third party buyers in private transactions that typically can be completed in approximately 90 days. It is the intent of the RF to hold these investments until the fund has fully-distributed all proceeds to the investors.

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|                                  | <b>2010</b>           |                   |                |                    |                                 |                        |
|----------------------------------|-----------------------|-------------------|----------------|--------------------|---------------------------------|------------------------|
|                                  | <b>Level 1</b>        | <b>Level 2</b>    | <b>Level 3</b> | <b>Total</b>       | <b>Redemption<br/>frequency</b> | <b>Days<br/>notice</b> |
| Investments:                     |                       |                   |                |                    |                                 |                        |
| Cash equivalents                 | \$ 43,594,372         | —                 | —              | 43,594,372         | Daily                           | 1                      |
| Mortgage backed assets           | —                     | 1,790,476         | —              | 1,790,476          | Daily                           | 4                      |
| Mutual funds:                    |                       |                   |                |                    |                                 |                        |
| U.S. government fixed income     | 50,719,432            | —                 | —              | 50,719,432         | Daily                           | 1                      |
| U.S. corporate credit securities | 10,484,107            | —                 | —              | 10,484,107         | Daily                           | 1                      |
| U.S. equities                    | 7,175,849             | —                 | —              | 7,175,849          | Daily                           | 1                      |
| Foreign equities                 | 10,978,685            | —                 | —              | 10,978,685         | Daily                           | 1                      |
| Real estate                      | 1,639,128             | —                 | —              | 1,639,128          | Daily                           | 1                      |
| Electronically traded funds:     |                       |                   |                |                    |                                 |                        |
| Real estate                      | 2,083,999             | —                 | —              | 2,083,999          | Daily                           | 4                      |
| Commodities                      | 4,377,804             | —                 | —              | 4,377,804          | Daily                           | 4                      |
| Alternative investments:         |                       |                   |                |                    |                                 |                        |
| Absolute multistrategy return    | —                     | 30,428,499        | —              | 30,428,499         | Quarterly                       | 60 to 95               |
| Hedged equities                  | —                     | 19,557,289        | —              | 19,557,289         | Quarterly                       | 65 to 95               |
| Foreign equities                 | —                     | 2,731,822         | —              | 2,731,822          | Quarterly                       | 90                     |
| U.S. corporate credit securities | —                     | 5,165,126         | —              | 5,165,126          | Monthly                         | 30                     |
| Real estate                      | —                     | 2,003,820         | —              | 2,003,820          | Quarterly                       | 45                     |
| Other                            | 1,117,582             | —                 | —              | 1,117,582          | Daily                           | 4                      |
| Total                            | <u>\$ 132,170,958</u> | <u>61,677,032</u> | <u>—</u>       | <u>193,847,990</u> |                                 |                        |

A summary of activity for investments with Level 3 fair value measurements for the years ended June 30 follows:

|  | <b>2011</b>         | <b>2010</b>  |
|--|---------------------|--------------|
| Balance, beginning of year                   | \$ —                | 44,019,433   |
| Net realized and unrealized gains            | 51,351              | 2,767,151    |
| Net purchases                                | 1,027,407           | 13,099,973   |
| Transfers related to adoption of ASU 2009-12 | —                   | (59,886,557) |
| Balance, end of year                         | <u>\$ 1,078,758</u> | <u>—</u>     |

The RF has unfunded commitments to alternative investments at June 30, 2011 of approximately \$3.0 million.

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**(6) Other Assets and Other Liabilities**

Other assets and liabilities consist of the following at June 30:

|                                       | <b>2011</b>   | <b>2010</b> |
|---------------------------------------|---------------|-------------|
| Other assets:                         |               |             |
| Current:                              |               |             |
| Royalties receivable                  | \$ 3,068,140  | 2,698,771   |
| Loans receivable                      | 11,037,058    | 2,650,336   |
| Forward contract (payable) receivable | (101,561)     | 967,579     |
| Prepaid and other                     | 13,946        | —           |
| Total other current assets            | 14,017,583    | 6,316,686   |
| Noncurrent:                           |               |             |
| Section 457(b) assets                 | 3,839,442     | 3,106,830   |
| Total other assets                    | \$ 17,857,025 | 9,423,516   |
| Other liabilities – noncurrent:       |               |             |
| Section 457(b) obligation             | \$ 3,839,442  | 3,106,830   |
| Interest rate swap                    | 630,011       | 781,037     |
| Total other liabilities               | \$ 4,469,453  | 3,887,867   |

The RF records the forward contract and interest rate swap agreements at fair value using Level 2 inputs.

**(7) Fixed Assets**

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Fixed assets consist of the following at June 30:

| <u>Fixed asset classification</u> | <u>Fixed assets<br/>June 30,<br/>2010</u> | <u>Additions</u>   | <u>Dispositions/<br/>retirements</u> | <u>Fixed assets<br/>June 30,<br/>2011</u> |
|-----------------------------------|---|--------------------|--------------------------------------|---|
| Building                          | \$ 6,500,000                              | —                  | —                                    | 6,500,000                                 |
| Office furniture and equipment    | 43,272,201                                | 2,662,344          | 1,030,852                            | 44,903,693                                |
| Information systems               | 32,877,186                                | 117,379            | 74,974                               | 32,919,591                                |
| Total fixed assets                | <u>82,649,387</u>                         | <u>2,779,723</u>   | <u>1,105,826</u>                     | <u>84,323,284</u>                         |
| Less accumulated depreciation:    |   |                    |                                      |   |
| Building                          | 1,040,000                                 | 130,000            | —                                    | 1,170,000                                 |
| Office furniture and equipment    | 26,522,382                                | 3,640,122          | 787,719                              | 29,374,785                                |
| Information systems               | 32,081,189                                | 695,161            | 74,974                               | 32,701,376                                |
| Total accumulated depreciation    | <u>59,643,571</u>                         | <u>4,465,283</u>   | <u>862,693</u>                       | <u>63,246,161</u>                         |
| Fixed assets, net                 | <u>\$ 23,005,816</u>                      | <u>(1,685,560)</u> | <u>243,133</u>                       | <u>21,077,123</u>                         |

**(8) Post-Retirement Benefit Obligation**

The RF sponsors a defined benefit post-retirement plan that covers substantially all nonstudent employees. The plan provides post-retirement medical benefits and is contributory for employees hired after 1985. Retirees who were hired after 1985 are subject to the same cost sharing requirements as active employees, with respect to medical coverage. With respect to dental coverage, retirees must pay the full premium cost of the coverage selected.

On November 9, 2010 the RF board of directors approved a plan amendment increasing monthly participant (employee) contributions for all future retirees hired after 1985, and not eligible to retire as of January 1, 2012. The plan amendment reduced the post-retirement benefit obligation at June 30, 2011 by approximately \$38.8 million. In addition, the RF board of directors also approved a plan amendment eliminating a rule that a one-year break in service negated previous service. This plan amendment increased the post retirement obligation at June 30, 2011 by approximately \$1.7 million. The following table identifies the revised contribution percentages based on employees years of service and date of hire.

| <u>Years of service</u> | <u>Employees hired</u>                  |  | <u>Dependents</u>                        |
|-------------------------|---|--|--|
|                         | <u>Prior to<br/>January 1,<br/>2012</u> | <u>On or after<br/>January 1,<br/>2012</u> | <u>Effective<br/>January 1,<br/>2012</u> |
| 10 – 14                 | 40%                                     | 80%  | 85%                                      |
| 15 – 19                 | 20                                      | 35   | 50                                       |
| 20 or greater           | 10                                      | 10   | 25                                       |

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Participants who are retired or eligible to retire as of January 1, 2012 or were hired prior to January 1, 1986 are grandfathered under the pre-January 1, 2012 contribution percentages. Pre-January 1, 2012 contribution percentages for participants hired after 1985 are 10% of the individual coverage premium and for dependents 25% of the difference between individual and couple coverage premiums. No contributions are made by employees hired before January 1, 1986.

Annual allocations to fund the plan are made by management pursuant to a funding policy established by the Board of Directors.

For payment of benefits under the plan, as discussed in note 2(j) above, the RF established a VEBA trust in May 2009 with Bank of New York Mellon as the trustee. The VEBA trust held assets of \$101,424,000 and \$80,446,000 as of June 30, 2011 and 2010, respectively. The assets held in the VEBA trust reduce the accumulated post-retirement benefit obligation, as reported on the RF's balance sheets. As noted in the table below, current obligations are assumed to be paid out of the trust assets, with the remaining unfunded obligation to be reflected as a noncurrent liability. There were 6,827 participants in the plan as of July 1, 2010.

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The following table sets forth the plan's funded status reconciled with the amount shown in the RF's financial statements at June 30 (amounts rounded to nearest thousand):

|  | <u>2011</u>             | <u>2010</u>          |
|--|-------------------------|----------------------|
| Change in benefit obligation:                  |                         |                      |
| Benefit obligation at beginning of year        | \$ 331,971,000          | 253,936,000          |
| Service cost                                   | 10,762,000              | 11,572,000           |
| Interest cost                                  | 16,423,000              | 16,307,000           |
| Plan participants' contributions               | 398,000                 | 250,000              |
| Retiree drug subsidy receipts                  | 616,000                 | 336,000              |
| Plan amendments                                | (37,095,000)            | —                    |
| Actuarial (gain)loss                           | (4,942,000)             | 56,161,000           |
| Benefits paid                                  | (7,674,000)             | (6,591,000)          |
| Benefit obligation at end of year              | <u>310,459,000</u>      | <u>331,971,000</u>   |
| Change in plan assets:                         |                         |                      |
| Fair value of plan assets at beginning of year | 80,446,000              | 66,296,000           |
| Return on plan assets                          | 12,149,000              | 4,909,000            |
| Employer contributions                         | 15,489,000              | 15,246,000           |
| Plan participants' contributions               | 398,000                 | 250,000              |
| Retiree drug subsidy receipts                  | 616,000                 | 336,000              |
| Benefits paid                                  | (7,674,000)             | (6,591,000)          |
| Fair value of plan assets at end of year       | <u>101,424,000</u>      | <u>80,446,000</u>    |
| Funded status                                  | <u>\$ (209,035,000)</u> | <u>(251,525,000)</u> |
| Amount recognized in the balance sheet:        |                         |                      |
| Noncurrent liability                           | \$ (209,035,000)        | (251,525,000)        |
| Amount recognized in unrestricted net assets:  |                         |                      |
| Prior service credit                           | \$ 34,105,000           | 839,000              |
| Net actuarial loss                             | (99,102,000)            | (117,654,000)        |
| Total  | <u>\$ (64,997,000)</u>  | <u>(116,815,000)</u> |

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|   | <b>2011</b>   | <b>2010</b>  |
|---|---------------|--------------|
| Weighted average assumptions used to determine benefit obligation:                          |               |              |
| Discount rate at end of year  | \$ 5.60%      | 5.43%        |
| Components of net periodic benefit cost:  |               |              |
| Service cost  | 10,762,000    | 11,572,000   |
| Interest cost   | 16,423,000    | 16,307,000   |
| Expected return on plan assets  | (6,819,000)   | (5,704,000)  |
| Amortization of:  |               |              |
| Transition obligation   | —             | 552,000      |
| Prior service credit  | (3,829,000)   | (279,000)    |
| Actuarial loss  | 8,280,000     | 4,861,000    |
| Net periodic post-retirement benefit cost   | \$ 24,817,000 | 27,309,000   |
| Weighted average assumptions used to determine net periodic benefit cost:                   |               |              |
| Discount rate for the year  | 5.43%         | 6.27%        |
| Expected long term rate of return   | 8.00          | 8.00         |
|   | <b>2011</b>   | <b>2010</b>  |
| Other changes in plan assets and benefit obligations recognized in unrestricted net assets: |               |              |
| Net actuarial gain (loss)   | \$ 10,272,000 | (56,956,000) |
| Amortization of:  |               |              |
| Transition obligation   | —             | 552,000      |
| Prior service credit  | 33,266,000    | (279,000)    |
| Actuarial loss  | 8,280,000     | 4,861,000    |
| Total recognized as an increase (decrease) in unrestricted net assets                       | \$ 51,818,000 | (51,822,000) |



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Expected amounts amortized from unrestricted net assets into net periodic benefit cost for fiscal year ending 2012 include prior service credit of \$3,829,000 and actuarial loss of \$(6,806,000).

|  |              |
|--|--------------|
| Estimated gross benefit payments (net of participants' contributions): |              |
| Fiscal year ending 2012  | \$ 8,977,000 |
| Fiscal year ending 2013  | 10,226,000   |
| Fiscal year ending 2014  | 11,543,000   |
| Fiscal year ending 2015  | 12,941,000   |
| Fiscal year ending 2016  | 14,387,000   |
| Fiscal year ending 2017 – 2021   | 94,767,000   |
| Estimated gross amount of subsidy receipts:                            |              |
| Fiscal year ending 2012  | \$ 664,000   |
| Fiscal year ending 2013  | 797,000      |
| Fiscal year ending 2014  | 944,000      |
| Fiscal year ending 2015  | 1,094,000    |
| Fiscal year ending 2016  | 1,258,000    |
| Fiscal year ending 2017 – 2021   | 9,368,000    |
| Estimated net benefits payments:                                       |              |
| Fiscal year ending 2012  | \$ 8,313,000 |
| Fiscal year ending 2013  | 9,429,000    |
| Fiscal year ending 2014  | 10,599,000   |
| Fiscal year ending 2015  | 11,847,000   |
| Fiscal year ending 2016  | 13,129,000   |
| Fiscal year ending 2017 – 2021   | 85,399,000   |

For measurement purposes, the initial trend rates vary by coverage. The health maintenance organization rate is 7.50%, the preferred provider organization (PPO) Medical Pre-65 rate is 6.50%, the PPO Medical Post-65 rate is 6.50%, the PPO Rx rate is 7.50% and administrative fees are 5.0%. Trend rates grade down to an ultimate rate of 5.0% in 2018 and later.

Assumed health care cost trend rates have a significant effect on the amounts reported for the health care plans. A one-percentage point change in assumed health care cost trend rates would have the following effects:

|  | <b>One-percentage<br/>point increase</b> | <b>One-percentage<br/>point decrease</b> |
|--|--|--|
| Effect on total service and interest cost components | \$ 6,886,000                             | (5,414,000)                              |
| Effect on post-retirement benefit obligation         | 53,235,000                               | (43,052,000)                             |

The following tables summarize as of June 30, 2011 and 2010 the RF's defined benefit post-retirement plan's investments held in the VEBA trust, measured at fair value on a recurring basis including the liquidity redemption and notification provisions (amounts recorded to nearest thousand). The hierarchy and

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inputs to valuation techniques to measure fair value of the plan's investments are the same as outlined above in note 5.

| <b>2011</b>                         |                      |                   |                  |                    |                                 |                         |
|-------------------------------------|----------------------|-------------------|------------------|--------------------|---------------------------------|-------------------------|
|                                     | <b>Level 1</b>       | <b>Level 2</b>    | <b>Level 3</b>   | <b>Total</b>       | <b>Redemption<br/>frequency</b> | <b>Days'<br/>notice</b> |
| <b>Investments:</b>                 |                      |                   |                  |                    |                                 |                         |
| Cash equivalents                    | \$ 1,663,000         | —                 | —                | 1,663,000          | Daily                           | 1                       |
| <b>Mutual funds:</b>                |                      |                   |                  |                    |                                 |                         |
| U.S. government fixed income        | 15,533,000           | —                 | —                | 15,533,000         | Daily                           | 1                       |
| U.S. equities                       | 10,186,000           | —                 | —                | 10,186,000         | Daily                           | 1                       |
| Foreign equities                    | 12,194,000           | —                 | —                | 12,194,000         | Daily                           | 1                       |
| Real estate                         | 3,924,000            | —                 | —                | 3,924,000          | Daily                           | 1                       |
| <b>Electronically traded funds:</b> |                      |                   |                  |                    |                                 |                         |
| Real estate                         | 3,922,000            | —                 | —                | 3,922,000          | Daily                           | 4                       |
| Commodities                         | 3,017,000            | —                 | —                | 3,017,000          | Daily                           | 4                       |
| Energy stocks                       | 1,707,000            | —                 | —                | 1,707,000          | Daily                           | 4                       |
| <b>Alternative investments:</b>     |                      |                   |                  |                    |                                 |                         |
| Absolute multistrategy return       | —                    | 15,535,000        | —                | 15,535,000         | Quarterly                       | 95                      |
| Hedged equities                     | —                    | 24,180,000        | —                | 24,180,000         | Quarterly                       | 95                      |
| U.S. equities                       | —                    | 1,008,000         | —                | 1,008,000          | Quarterly                       | 45                      |
| Foreign equities                    | —                    | 4,816,000         | —                | 4,816,000          | Quarterly                       | 90                      |
| Real estate                         | —                    | —                 | 144,000          | 144,000            | See note 5(a)                   | N/A                     |
| Private equity                      | —                    | —                 | 3,595,000        | 3,595,000          | See note 5(a)                   | N/A                     |
|                                     | <u>\$ 52,146,000</u> | <u>45,539,000</u> | <u>3,739,000</u> | <u>101,424,000</u> |                                 |                         |
| <b>2010</b>                         |                      |                   |                  |                    |                                 |                         |
|                                     | <b>Level 1</b>       | <b>Level 2</b>    | <b>Level 3</b>   | <b>Total</b>       | <b>Redemption<br/>frequency</b> | <b>Days'<br/>notice</b> |
| <b>Investments:</b>                 |                      |                   |                  |                    |                                 |                         |
| Cash equivalents                    | \$ 417,000           | —                 | —                | 417,000            | Daily                           | 1                       |
| <b>Mutual funds:</b>                |                      |                   |                  |                    |                                 |                         |
| U.S. government fixed income        | 12,752,000           | —                 | —                | 12,752,000         | Daily                           | 1                       |
| U.S. equities                       | 9,657,000            | —                 | —                | 9,657,000          | Daily                           | 1                       |
| Foreign equities                    | 9,436,000            | —                 | —                | 9,436,000          | Daily                           | 1                       |
| Real estate                         | 2,135,000            | —                 | —                | 2,135,000          | Daily                           | 1                       |
| <b>Electronically traded funds:</b> |                      |                   |                  |                    |                                 |                         |
| Real estate                         | 2,039,000            | —                 | —                | 2,039,000          | Daily                           | 4                       |
| Commodities                         | 3,960,000            | —                 | —                | 3,960,000          | Daily                           | 4                       |
| <b>Alternative investments:</b>     |                      |                   |                  |                    |                                 |                         |
| Absolute multistrategy return       | —                    | 13,323,000        | —                | 13,323,000         | Quarterly                       | 95                      |
| Hedged equities                     | —                    | 20,128,000        | —                | 20,128,000         | Quarterly                       | 95                      |
| Foreign equities                    | —                    | 2,993,000         | —                | 2,993,000          | Quarterly                       | 90                      |
| Real estate                         | —                    | 1,713,000         | —                | 1,713,000          | Quarterly                       | 45                      |
| Private equity                      | —                    | —                 | 1,893,000        | 1,893,000          | See note 5(a)                   | N/A                     |
|                                     | <u>\$ 40,396,000</u> | <u>38,157,000</u> | <u>1,893,000</u> | <u>80,446,000</u>  |                                 |                         |

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A summary of activity for investments with Level 3 fair value measurements for the years ended June 30, follows (amounts rounded to nearest thousand):

|  | <b>2011</b>  | <b>2010</b>  |
|--|--------------|--------------|
| Balance, beginning of year                   | \$ 1,893,000 | 31,541,000   |
| Net realized and unrealized gains            | 412,000      | 2,051,000    |
| Net purchases                                | 1,434,000    | 6,459,000    |
| Transfers related to adoption of ASU 2009-12 | —            | (38,158,000) |
| Balance, end of year                         | \$ 3,739,000 | 1,893,000    |

The RF has unfunded commitments to the plan's alternative fund investments at June 30, 2011 of approximately \$7.1 million.

**(a) Investment Policies and Strategies**

The plan's primary investment goal is to meet the ongoing obligations while minimizing contributions and controlling risks. Ordinarily, the asset allocation plan would be structured such that short-term liabilities are primarily funded with lower volatility short-term assets, intermediate-term liabilities are funded with investments that exhibit moderate volatility and the longer-term liabilities are funded by long-term assets. In addition, the plan's asset allocation is structured to meet a long-term-targeted return. Borrowing from the diversification techniques developed under the modern portfolio theory, the plan's assets are invested so that total portfolio risk exposure and risk adjusted returns meet the plan's long-term total return goal.

The RF's investment managers under agreement to manage the plan assets kept in the VEBA trust, exercise full investment discretion within the investment policy approved by the RF board of directors, and guidelines as described in the respective investment agreements. However, assets must be managed with the care, skill, prudence and diligence that a prudent investment professional in similar circumstances would exercise. Investment practices must comply with the applicable laws and regulations.

**(b) Basis Used to Determine the Overall Expected Long-Term Rate of Return on Assets Assumption**

The RF works with a consultant to develop long-term rate of return assumptions used to model and determine the overall asset allocation. The return assumptions used in the asset allocation analysis are based on a building block approach in which risk premium is calculated for each asset class and adjusted for current market conditions including, but not limited to, current market valuations, yield, inflation and various economic indicators.

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The plan's asset allocation, utilizing various investment vehicles, as of June 30, 2011, as shown in the table below, is expected to meet the plan's expected return.

| <u>Asset class</u>  | <u>Target</u> | <u>Ranges</u> | <u>Actual</u> |
|---------------------|---------------|---------------|---------------|
| Cash                | 2%            | 0% – 10%      | 1.9%          |
| Fixed income        | 10            | 5% – 20%      | 10.0          |
| Equities:           |               |               |               |
| Global equities     | 25            | 20% – 33%     | 27.8          |
| Hedged equities     | 16            | 10% – 30%     | 23.8          |
| Private equity      | 10            | 0% – 10%      | 3.6           |
| Absolute return     | 15            | 5% – 25%      | 15.3          |
| Real assets:        |               |               |               |
| Inflation-protected | 5             | 3% – 10%      | 5.0           |
| Commodities         | 5             | 2% – 7%       | 4.7           |
| Global real estate  | 12            | 4% – 14%      | 7.9           |

**(9) Retirement Plan**

The RF maintains a noncontributory section 401(a) retirement plan for substantially all nonstudent employees. Contributions are based on a percentage of earnings and range from 8% to 15%, depending on date of hire. In addition, the RF provides an additional pension contribution if an employee retires and meets the age and service requirements for retiree health insurance. This additional contribution is calculated by multiplying the value of the employee's accrued sick leave, up to a maximum of 200 days, by the employee's contribution rate at the time of retirement. Employees become fully vested after completing one year of service (a one-year waiting period from their date of hire). At that time, contributions begin and they gain ownership of all future contributions made to their retirement accounts while employed by the RF.

Contributions are allocated to individual employee accounts. Vested participants have the option of having contributions to their accounts deposited in either the Teachers Insurance and Annuity Association (TIAA), which offers a guaranteed income account, the College Retirement Equities Fund (CREF), which offers an assortment mutual funds, stocks, bonds, real estate, and money market investments, or a selection of nonproprietary funds that are offered on TIAA-CREF's platform. The payroll for RF employees covered by TIAA-CREF for the years ended June 30, 2011 and 2010 was approximately \$361,045,000 and \$359,487,000 respectively. The RF pension contributions were approximately \$30,794,000 and \$31,041,000 for the years ended June 30, 2011 and 2010, respectively. These contributions are equal to 100% of the required contribution for the year.

**(10) Long-Term Debt and Other Long-Term Liabilities**

The RF entered into an agreement during 2002 with the City of Albany Industrial Development Agency (IDA) whereby the IDA issued both a taxable and a tax-exempt series of bonds for the purpose of providing funds to acquire a parcel of real estate together with the existing building thereon. The RF occupies and conducts most of its central office operations from this location. At June 30, 2011, the tax-exempt bond debt totaled \$5,375,000 with maturity in 2032 at an interest rate of 0.33% at June 30, 2011. The taxable bond debt was extinguished in 2009. Subsequent to June 30, 2011, the tax-exempt bonds

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bear interest at variable rates as established by the remarketing agent. The adjustable rate for the tax exempt-bonds will not exceed 12% per annum. The RF must meet certain liquidity requirements while the tax-exempt bonds are outstanding.

In January 2006, the RF entered into an interest rate swap agreement with the Bank of New York (BNY) wherein the RF agreed to pay BNY a fixed rate of interest equal to 3.615% on the original tax-exempt bond issuance total of \$5,600,000 and to receive from BNY a payment equal to 70% of the London Interbank Offered Rate (LIBOR) as published by the British Banker's Association (BBA). The monthly interest rate is calculated using the weighted average method applied to the daily USD-LIBOR-BBA rate. The agreement expires coincident with the maturity of the bonds in 2032. The RF's net benefit or obligation under the swap agreement is accounted for as an asset or liability at fair value in the financial statements. The estimated fair value of the swap at June 30, 2011 and 2010 was \$(630,011) and \$(781,037), respectively. The balances are included within other liabilities in the accompanying balance sheets.

A summary of long-term debt as well as other long-term liabilities is as follows:

|                                    | <u>Balance</u><br><u>June 30, 2010</u> | <u>Additions</u>  | <u>Reductions</u> | <u>Balance</u><br><u>June 30, 2011</u> | <u>Current</u><br><u>Portion</u> |
|------------------------------------|--|-------------------|-------------------|--|----------------------------------|
| Long-term debt:                    |  |                   |                   |  |                                  |
| Lease obligations                  | \$ 53,378                              | —                 | 34,712            | 18,666                                 | 18,666                           |
| Bonds payable                      | <u>5,540,000</u>                       | <u>—</u>          | <u>165,000</u>    | <u>5,375,000</u>                       | <u>170,000</u>                   |
| Total long-term debt               | <u>5,593,378</u>                       | <u>—</u>          | <u>199,712</u>    | <u>5,393,666</u>                       | <u>188,666</u>                   |
| Other long-term liabilities:       |  |                   |                   |  |                                  |
| Post-retirement benefit obligation | 251,525,000                            | 27,185,000        | 69,675,000        | 209,035,000                            | —                                |
| Deposits held for other            | 1,100,418                              | 376,527           | 16,160            | 1,460,785                              | —                                |
| Other liabilities                  | <u>3,887,867</u>                       | <u>732,607</u>    | <u>151,021</u>    | <u>4,469,453</u>                       | <u>—</u>                         |
| Total other long-term liabilities  | <u>256,513,285</u>                     | <u>28,294,134</u> | <u>69,842,181</u> | <u>214,965,238</u>                     | <u>—</u>                         |
| Total long-term liabilities        | <u>\$ 262,106,663</u>                  | <u>28,294,134</u> | <u>70,041,893</u> | <u>220,358,904</u>                     | <u>188,666</u>                   |

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Future payments of long-term debt as of June 30, 2011 are as follows:

|              | <u>Bonds payable-building</u> |                 | <u>Capital leases</u> |                 | <u>Total</u>     |                 |
|--------------|-------------------------------|-----------------|-----------------------|-----------------|------------------|-----------------|
|              | <u>Principal</u>              | <u>Interest</u> | <u>Principal</u>      | <u>Interest</u> | <u>Principal</u> | <u>Interest</u> |
| Fiscal year: |                               |                 |                       |                 |                  |                 |
| 2012         | \$ 170,000                    | 20,820          | 18,666                | 536             | 188,666          | 21,356          |
| 2013         | 175,000                       | 20,120          | —                     | —               | 175,000          | 20,120          |
| 2014         | 180,000                       | 19,400          | —                     | —               | 180,000          | 19,400          |
| 2015         | 185,000                       | 18,660          | —                     | —               | 185,000          | 18,660          |
| 2016         | 195,000                       | 17,880          | —                     | —               | 195,000          | 17,880          |
| 2017 – 2021  | 1,070,000                     | 76,860          | —                     | —               | 1,070,000        | 76,860          |
| 2022 – 2026  | 1,260,000                     | 53,220          | —                     | —               | 1,260,000        | 53,220          |
| 2027 – 2031  | 1,475,000                     | 25,500          | —                     | —               | 1,475,000        | 25,500          |
| 2032 – 2033  | 665,000                       | 1,360           | —                     | —               | 665,000          | 1,360           |
| Total        | <u>\$ 5,375,000</u>           | <u>253,820</u>  | <u>18,666</u>         | <u>536</u>      | <u>5,393,666</u> | <u>254,356</u>  |
|              | Interest rate 0.33%           |                 | Interest rate 9.78%   |                 |                  |                 |

***Line of Credit***

The RF maintains an unsecured line of credit in the amount of \$65,000,000 of which \$29,200,000 and \$10,429,051 were used as of June 30, 2011 and 2010 respectively. The terms of the line include the specification that each draw must be repaid within one year.

**(11) Revenues**

Revenues, by type, consist of the following for the years ended June 30:

|  | <u>2011</u>           | <u>2010</u>        |
|--|-----------------------|--------------------|
| Federal grants and contracts                     | \$ 578,297,821        | 558,628,947        |
| State grants and contracts                       | 176,536,960           | 153,657,037        |
| Local grants and contracts                       | 11,372,700            | 11,941,683         |
| Private grants and contracts                     | 180,257,103           | 168,318,291        |
| Investment income                                | 6,472,452             | 4,717,942          |
| Net realized and unrealized gains on investments | 13,449,097            | 8,012,937          |
| Gifts, capital gifts and grants                  | 20,116                | 1,166,631          |
| Inventions and licenses income                   | 11,924,304            | 10,957,870         |
| Other income                                     | 20,657,568            | 18,882,405         |
| Total revenues                                   | <u>\$ 998,988,121</u> | <u>936,283,743</u> |

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**(12) Expenses**

Expenses consist of the following for the years ended June 30:

|  | <u>2011</u>           | <u>2010</u>        |
|--|-----------------------|--------------------|
| Instruction                              | \$ 108,558,727        | 108,276,949        |
| Research                                 | 540,847,502           | 472,003,682        |
| Public service                           | 139,788,473           | 145,538,851        |
| Academic support                         | 19,916,954            | 19,736,392         |
| Student services                         | 1,797,126             | 2,507,844          |
| Operations and maintenance               | 37,610,336            | 43,046,194         |
| Institutional support                    | 122,907,791           | 123,215,113        |
| Scholarships and fellowships             | 2,971,875             | 2,703,015          |
| Auxiliary enterprises                    | 11,779                | 22,129             |
| Depreciation expense                     | 4,465,283             | 4,571,048          |
| Interest expense on capital related debt | 212,499               | 235,296            |
| Loss on disposal of fixed assets         | 243,133               | 344,709            |
| Total expenses                           | <u>\$ 979,331,478</u> | <u>922,201,222</u> |

**(13) Commitments and Contingencies**

*Lease Obligations*

In addition to that long-term lease with FRMC, described in note 3(m), the RF contracts with various entities to lease space as part of its mission to support SUNY research and university-industry-government partnerships. Future minimum payments, as of June 30, 2011, for lease terms in excess of one year are as follows:

| <u>Fiscal year</u> | <u>FRMC</u>           | <u>Other</u>      | <u>Total</u>       |
|--------------------|-----------------------|-------------------|--------------------|
| 2012               | \$ 7,014,458          | 8,227,379         | 15,241,837         |
| 2013               | 7,014,458             | 7,515,996         | 14,530,454         |
| 2014               | 7,014,458             | 6,321,009         | 13,335,467         |
| 2015               | 7,014,458             | 5,664,273         | 12,678,731         |
| 2016               | 7,014,458             | 2,732,752         | 9,747,210          |
| Thereafter         | 135,028,316           | 4,518,083         | 139,546,399        |
| Total              | <u>\$ 170,100,606</u> | <u>34,979,492</u> | <u>205,080,098</u> |

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***Contingencies***

The RF has certain contingencies resulting from litigation and claims, incident to the ordinary course of business. As of financial statement issuance date, there was an audit in progress by the New York State Office of the State Comptroller as well as an investigation by the New York State Inspector General. Additionally, there are open investigations relating to programs at Buffalo State College. Potential liability resulting from these matters cannot reasonably be determined at this time. However, management believes that the probable resolution of such contingencies will not likely materially affect the financial position or operations of the RF.

**(14) Subsequent Events**

The RF considers events or transactions that occur after the balance sheet date, but before the financial statements are issued, to provide additional evidence relative to certain estimates or to identify matters that require additional disclosure. These financial statements covering the year ended June 30, 2011 were available to be issued on September 16, 2011 and subsequent events have been evaluated through that date, including the following:

- On July 6, 2011, the RF agreed to provide collateral, in the form of a bank letter of credit that matures on December 31, 2011, for a \$10 million loan furnished by the Dormitory Authority of the State of New York to SUNY Upstate Medical University in order to facilitate the purchase of Community General Hospital. Management expects to replace the bank letter of credit with RF assets as collateral for the loan.
- On July 14, 2011, the RF filed with the New York State Department of Education an application to consolidate Infotonics Technology Center, Inc. (ITC) with the RF in order to enable the programmatic integration of ITC's programs located in Rochester, NY with the operations of the College of Nanoscale Science and Engineering (CNSE) at the University at Albany. This will result in a new center, named Smart Systems Technology and Commercialization Center (STC). Approval for this consolidation by the New York State Board of Regents is required under the New York Education Law, and is pending as of the financial statement issuance date.
- On September 7, 2011, the Executive Committee on behalf of the RF's board of directors approved management to execute a 15-year lease with Fuller Road Management Corporation (FRMC) for clean room space at the CNSE facility to be used for next-generation chip fabrication operations and process research and development. The lease payments of approximately \$15.7 million annually, to be paid to FRMC will begin in October 2012, which corresponds with the expected completion date of the new NanoFabXtension facility (NFX) at the University at Albany campus.

In addition, the RF has a facility improvement agreement with FRMC that will provide additional funding to FRMC for the support of NFX from fees received by RF from expanded educational and research and development partnerships that will be conducted at NFX once operational.



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Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor        | CFDA number | Pass-through number            | Direct expenditures | Pass-through expenditures | Total expenditures by CFDA and Federal grantor |
|--|-------------|--------------------------------|---------------------|---------------------------|--|
| <b>Research and Development Cluster:</b>                           |             |                                |                     |                           |  |
| <b>Department of Agriculture:</b>                                  |             |                                |                     |                           |  |
| Agricultural Research Service                                      | 10.000      | —                              | \$ 76,568           | —                         |  |
| Animal and Plant Health Inspection Service                         | 10.000      | —                              | 211,462             | —                         |  |
| Cooperative State Research Service                                 | 10.000      | —                              | 1,168,071           | —                         |  |
| Forest Service   | 10.000      | —                              | 654,927             | —                         |  |
| Natural Resources Conservation Service                             | 10.000      | —                              | 140,272             | —                         |  |
| Northeastern States Research Cooperative                           | 10.000      | —                              | 8,982               | —                         | 2,260,282                                      |
| Regents of the University of California, Riverside                 | 10.025      | S000377                        | —                   | 6,059                     |  |
| NYS Department of Environmental Conservation                       | 10.025      | AMO7795                        | —                   | 42,519                    |  |
| Regents of the University of California, Riverside                 | 10.025      | S000438                        | —                   | 5,500                     |  |
| Connecticut Agricultural Experiment Station                        | 10.025      | N/A                            | —                   | 3,538                     | 57,616   |
| University of Maine at Orono                                       | 10.200      | Z540601 UMS834                 | —                   | 34,929                    |  |
| Cornell University   | 10.200      | 553368964 Z520301              | —                   | 6,530                     | 41,459   |
| NYS Department of Environmental Conservation                       | 10.202      | AMO4981 #14                    | —                   | 1,998                     | 1,998  |
| Trustees of Indiana University                                     | 10.206      | IN4394211SUNY                  | —                   | 12,163                    | 12,163   |
| University of Vermont  | 10.215      | 22194                          | —                   | 2,013                     | 2,013  |
| University of Delaware   | 10.310      | 21924                          | —                   | 89,038                    |  |
| Connecticut Agricultural Experiment Station                        | 10.310      | CAESAC201103                   | —                   | 4,389                     | 93,427   |
| Kansas State University  | 10.500      | S09048                         | —                   | 50,394                    |  |
| Kansas State University  | 10.500      | S09047                         | —                   | 179,288                   |  |
| Kansas State University  | 10.500      | S10050                         | —                   | 115,233                   | 344,915  |
| Watershed Agricultural Council                                     | 10.652      | 349                            | —                   | 61,466                    |  |
| University of Vermont  | 10.652      | 22603                          | —                   | 29,088                    |  |
| University of Maine at Orono                                       | 10.652      | UMS727                         | —                   | 2,789                     |  |
| Consortium for Research on Renewable Industrial Materials (CORRIM) | 10.652      | 318                            | —                   | 1,420                     |  |
| University of Vermont  | 10.652      | 23281                          | —                   | 59,160                    |  |
| University of New Hampshire  | 10.652      | PZ100006                       | —                   | 54,312                    |  |
| University of Maine at Orono                                       | 10.652      | UMS751                         | —                   | 7,643                     |  |
| University of New Hampshire  | 10.652      | PZ11002                        | —                   | 18,870                    | 234,748  |
| Washington State University  | 10.664      | 112560G002550                  | —                   | 7,959                     |  |
| NYS Department of Environmental Conservation                       | 10.664      | AMOT7854                       | —                   | 79,914                    | 87,873   |
| New York Forest Owners Association                                 | 10.681      | N/A                            | —                   | 6,032                     | 6,032  |
| <b>Total Department of Agriculture</b>                             |             |                                | <b>2,260,282</b>    | <b>882,244</b>            | <b>3,142,526</b>                               |
| <b>Department of Commerce:</b>                                     |             |                                |                     |                           |  |
| National Institute of Standards and Technology                     | 11.000      | —                              | 739,761             | —                         |  |
| National Oceanic and Atmospheric Administration                    | 11.000      | —                              | 3,626,214           | —                         | 4,365,975                                      |
| ARRA – General Motors Corporation                                  | 11.609      | GV500978                       | —                   | 92,329                    | 92,329   |
| Nature Conservancy Long Island Chapter                             | 11.000      | 030110                         | —                   | 33,076                    |  |
| Nature Conservancy Long Island Chapter                             | 11.000      | LICNOAA8050310                 | —                   | 2,520                     | 35,596   |
| Fugro Earth Data Incorporated                                      | 11.008      | 2009                           | —                   | 6,233                     | 6,233  |
| Regents of the University of Michigan                              | 11.303      | 3001413893                     | —                   | 8,915                     | 8,915  |
| North Country Council Incorporated                                 | 11.307      | NA                             | —                   | 7,986                     | 7,986  |
| University of Illinois Urbana Champaign                            | 11.417      | 20100224704 A2287              | —                   | 2,827                     |  |
| University of Vermont  | 11.417      | 24374 Watzin/Mihuc             | —                   | 55,879                    |  |
| Board of Regents of the University of Wisconsin System             | 11.417      | 256K255                        | —                   | 18,979                    |  |
| University of Vermont  | 11.417      | NA                             | —                   | 32,517                    | 110,202  |
| University of North Carolina at Wilmington                         | 11.430      | 200904A                        | —                   | 25,605                    | 25,605   |
| University of Michigan   | 11.432      | 3001092444                     | —                   | 211,927                   |  |
| Woods Hole Oceanographic Inst                                      | 11.432      | A100707                        | —                   | 30,993                    | 242,920  |
| Rutgers University   | 11.455      | PO S972646/RU 4-21892Org 10255 | —                   | (241)                     | (241)  |
| University Corporation for Atmospheric Research                    | 11.467      | S0766811                       | —                   | 9,126                     |  |
| University Corporation for Atmospheric Research                    | 11.467      | S0981071                       | —                   | 8,036                     |  |
| University Corporation for Atmospheric Research                    | 11.467      | S1071092                       | —                   | 10,679                    |  |
| University Corporation for Atmospheric Research                    | 11.467      | Z1068146                       | —                   | 33,748                    |  |
| University Corporation for Atmospheric Research                    | 11.467      | S0766814                       | —                   | (943)                     |  |
| University Corporation for Atmospheric Research                    | 11.467      | Z1083405                       | —                   | 5,087                     | 65,733   |
| University of Rhode Island   | 11.472      | 0128070001224                  | —                   | (8)                       | (8)  |
| University of Delaware   | 11.473      | NA                             | —                   | 3                         | 3  |
| Woods Hole Oceanographic Inst                                      | 11.478      | A100654                        | —                   | 58,515                    |  |
| University of Tennessee  | 11.478      | OR863600101                    | —                   | (610)                     | 57,905   |
| Howard University  | 11.481      | 631017H040948                  | —                   | 5,822                     |  |
| Howard University  | 11.481      | 631017H040948                  | —                   | 26,606                    | 32,428   |
| Nanoelectronics Research Corporation (NERC)                        | 11.609      | 2006NE1463                     | —                   | 1,679,815                 | 1,679,815                                      |
| <b>Total Department of Commerce</b>                                |             |                                | <b>4,365,975</b>    | <b>2,365,421</b>          | <b>6,731,396</b>                               |
| <b>Department of Defense:</b>                                      |             |                                |                     |                           |  |
| Air Force Office of Scientific Research                            | 12.000      | —                              | 3,985,805           | —                         |  |
| Air Force Research Laboratory                                      | 12.000      | —                              | 1,100,768           | —                         |  |
| Air Force Rome Lab Griffis Air Force Base                          | 12.000      | —                              | 698,007             | —                         |  |
| Army Corps Engineers   | 12.000      | —                              | 518,636             | —                         |  |
| Army ERDC Cold Regions Research & Engineering                      | 12.000      | —                              | 6                   | —                         |  |
| Army Humphreys Engineer Center Support Activity                    | 12.000      | —                              | 96,809              | —                         |  |
| Army Medical Research Acquisition Activity                         | 12.000      | —                              | 3,422,930           | —                         |  |
| Army Medical Research and Material Command                         | 12.000      | —                              | 32,579              | —                         |  |
| Army Picatinny Arsenal   | 12.000      | —                              | 768,547             | —                         |  |
| Army Research Development & Engineering Command                    | 12.000      | —                              | 2,725,046           | —                         |  |
| Army Research Institute  | 12.000      | —                              | 238,279             | —                         |  |
| Army Research Laboratory   | 12.000      | —                              | 627,512             | —                         |  |
| Army Research Office   | 12.000      | —                              | 548,367             | —                         |  |
| Defense Advanced Research Projects Agency (DARPA)                  | 12.000      | —                              | 1,815,103           | —                         |  |
| Defense Threat Reduction Agency                                    | 12.000      | —                              | 212,531             | —                         |  |
| Department of Defense  | 12.000      | —                              | 337,637             | —                         |  |
| Department of Defense Advanced Res Project Agcy                    | 12.000      | —                              | 290,829             | —                         |  |
| Intelligence Advanced Research Projects Activity (IARPA)           | 12.000      | —                              | 563,245             | —                         |  |
| National Geospatial Intelligence Agency                            | 12.000      | —                              | 189,989             | —                         |  |
| National Security Agency   | 12.000      | —                              | 1,687,838           | —                         |  |
| Naval Sea Systems Command  | 12.000      | —                              | 8,492               | —                         |  |
| Navy Experimental Diving Unit                                      | 12.000      | —                              | 760,977             | —                         |  |
| Navy Office of Naval Research                                      | 12.000      | —                              | 3,679,258           | —                         |  |
| Navy Research Laboratory   | 12.000      | —                              | 485,000             | —                         |  |
| Navy Space& Naval Warfare Systems Ctr San Diego                    | 12.000      | —                              | 2,422,672           | —                         |  |
| CUBRC Incorporated   | 12.000      | 0763202                        | —                   | 70,799                    |  |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor | CFDA number | Pass-through number         | Direct expenditures | Pass-through expenditures | Total expenditures by CFDA and Federal grantor |
|---|-------------|-----------------------------|---------------------|---------------------------|--|
| CUBRC Incorporated  | 12.000      | 0763602                     | \$ —                | —                         | 32,619   |
| CUBRC Incorporated  | 12.000      | 0765401                     | —                   | —                         | 13,845   |
| CUBRC Incorporated  | 12.000      | 0765701                     | —                   | —                         | 7,369  |
| Health Research Inc   | 12.000      | 57-1132-01                  | —                   | —                         | 64,643   |
| CUBRC Incorporated  | 12.000      | 07676-01                    | —                   | —                         | 39,112   |
| Applied Media Analysis Incorporated                         | 12.000      | N/A                         | —                   | —                         | 59,567   |
| Lymntech Incorporated                                       | 12.000      | 2009-AF182-0001             | —                   | —                         | 7,545  |
| CUBRC Incorporated  | 12.000      | 0770601                     | —                   | —                         | 85,482   |
| Lockheed Martin Corporation                                 | 12.000      | 8100002763                  | —                   | —                         | 56,113   |
| CUBRC Incorporated  | 12.000      | 07719.02.02                 | —                   | —                         | 39,028   |
| Charles River Analytics Inc                                 | 12.000      | SC0907002 (ERMINE II)       | —                   | —                         | 83,713   |
| BBN Technologies Corporation                                | 12.000      | 9500009218                  | —                   | —                         | 346,735  |
| Creare Incorporated   | 12.000      | 55635                       | —                   | —                         | 54,565   |
| CUBRC Incorporated  | 12.000      | 07749-01                    | —                   | —                         | 24,204   |
| BerrieHill Research Corporation                             | 12.000      | n/a                         | —                   | —                         | 42,030   |
| Aegis Technology  | 12.000      | 57-TFPA-BUFF-0118           | —                   | —                         | 42,180   |
| Reaction Engineering International                          | 12.000      | REI 5118                    | —                   | —                         | 33,691   |
| CUBRC Incorporated  | 12.000      | 07774-04                    | —                   | —                         | 175,502  |
| Survive Engineering Company                                 | 12.000      | 10-33 & 040003.001.001.0107 | —                   | —                         | 17,986   |
| CUBRC Incorporated  | 12.000      | 07782-01                    | —                   | —                         | 42,528   |
| Charles River Analytics Inc                                 | 12.000      | SC1003801                   | —                   | —                         | 53,853   |
| Graphene Devices Limited                                    | 12.000      | N68335-10-C-0566            | —                   | —                         | 17,132   |
| Graphene Devices Limited                                    | 12.000      | W15QKN-11-C-0041            | —                   | —                         | 7,610  |
| UES Inc   | 12.000      | S-875-060-014               | —                   | —                         | 18,981   |
| SciTech Services Incorporated                               | 12.000      | 11-DOTC-09-01-INIT066-04    | —                   | —                         | 2,741  |
| Kitware Incorporated  | 12.000      | K000139-S02                 | —                   | —                         | 60   |
| UES Inc   | 12.000      | S-875-060-017               | —                   | —                         | 8,855  |
| CACI Technologies Inc                                       | 12.000      | S09100357                   | —                   | —                         | 98,861   |
| Power Photonic Corporation                                  | 12.000      | NA                          | —                   | —                         | 16,967   |
| Government of Israel Ministry of Defense                    | 12.000      | 4440158606                  | —                   | —                         | 32,505   |
| Dow Corning Corporation                                     | 12.000      | WASH68431831                | —                   | —                         | 25,820   |
| Power Photonic Corporation                                  | 12.000      | STTR2009                    | —                   | —                         | 53,378   |
| University of Minnesota                                     | 12.000      | D001450601                  | —                   | —                         | 26,531   |
| Quanterion Solutions Incorporated                           | 12.000      | 2010DACS02                  | —                   | —                         | 4,257  |
| Primet Precision Materials Incorporated                     | 12.114      | W15P71-10-C-A607            | —                   | —                         | 27,287   |
| ReliaCoat Technologies LLC                                  | 12.114      | 2010                        | —                   | —                         | 22,036   |
| Soar Technology Incorporated                                | 12.300      | 1016101                     | —                   | —                         | 26,729   |
| Pennsylvania State University                               | 12.300      | 4049RFSUNYONR1123           | —                   | —                         | 36,797   |
| Pennsylvania State University                               | 12.300      | 4147RFSUNYONR0557           | —                   | —                         | 31,683   |
| Virginia Polytechnic Institute and State Univ               | 12.300      | 45004419191                 | —                   | —                         | 110,912  |
| Arsenal Business & Technology Partnership                   | 12.300      | W15QKN0790001               | —                   | —                         | 806,224  |
| Salbec LLC  | 12.300      | 080109-1                    | —                   | —                         | (2,062)  |
| Dartmouth College   | 12.300      | 5009595000P00010            | —                   | —                         | 27,897   |
| Referentia Systems Incorporated                             | 12.300      | SBU0011039N07193            | —                   | —                         | 2  |
| Plasma Technology Inc                                       | 12.300      | NA                          | —                   | —                         | 114,300  |
| Florida Atlantic University                                 | 12.300      | SRH17                       | —                   | —                         | 13,638   |
| Pennsylvania State University                               | 12.300      | 3866SBUONR0557              | —                   | —                         | 26,424   |
| Hypres Incorporated   | 12.300      | HYPN0001409C0687            | —                   | —                         | 25,264   |
| Mesoscribe Technologies Inc                                 | 12.300      | FA955009C0142               | —                   | —                         | 47,028   |
| Hypres Incorporated   | 12.300      | HYPN0001409C0529            | —                   | —                         | 96,592   |
| Hypres Incorporated   | 12.300      | NA                          | —                   | —                         | 198,280  |
| Brookhaven Science Associates LLC                           | 12.300      | 162129                      | —                   | —                         | 199,965  |
| Massachusetts Institute of Technology                       | 12.300      | 5710002737                  | —                   | —                         | 10,397   |
| Hypres Incorporated   | 12.300      | NA                          | —                   | —                         | 46,906   |
| Arizona Board of Regents                                    | 12.351      | POY554529                   | —                   | —                         | 158,009  |
| Vanderbilt University                                       | 12.351      | 21243S1                     | —                   | —                         | 46,338   |
| Arizona State University                                    | 12.351      | Subagreement No. 09-205     | —                   | —                         | 64,476   |
| ZreyaTech LLC   | 12.420      | na                          | —                   | —                         | 9,507  |
| University of Puerto Rico                                   | 12.420      | W81XWH0710329               | —                   | —                         | 63,187   |
| Health Research Inc   | 12.420      | 57-8075-01                  | —                   | —                         | 1,064  |
| Daemen College  | 12.420      | 11-1 0082-UB-2              | —                   | —                         | 78,915   |
| Health Research Inc   | 12.420      | 57-8087-01                  | —                   | —                         | 5,580  |
| Health Research Inc   | 12.420      | 57-8088-01                  | —                   | —                         | 4,461  |
| Rutgers University  | 12.420      | S1031970                    | —                   | —                         | 580,524  |
| Research Corporation of Long Island                         | 12.420      | W81XWH1011032 Sub1          | —                   | —                         | 16,224   |
| Research Corporation of Long Island                         | 12.420      | SC090068                    | —                   | —                         | 22,633   |
| University of Mississippi                                   | 12.420      | 0804073                     | —                   | —                         | 49,134   |
| Neuren Pharmaceuticals Incorporated                         | 12.420      | Neu2566TB1001               | —                   | —                         | 16,953   |
| University of Mississippi                                   | 12.420      | 0804073                     | —                   | —                         | 80,000   |
| University of Mississippi                                   | 12.420      | 1101042                     | —                   | —                         | 83,449   |
| University of Dayton Research Institute                     | 12.420      | RSC10040 4407020001         | —                   | —                         | 13,912   |
| TRUE Research Foundation POC                                | 12.420      | W81XWH090163-15013A         | —                   | —                         | 105,025  |
| University of Wisconsin at Madison                          | 12.431      | 090K926                     | —                   | —                         | 46,441   |
| Hypres Incorporated   | 12.431      | HYPN0001409M0316            | —                   | —                         | 8,983  |
| HexaTech Incorporated                                       | 12.431      | 11022201                    | —                   | —                         | 6,975  |
| University of South Florida                                 | 12.599      | 0000162818                  | —                   | —                         | 6,066  |
| University of South Florida                                 | 12.599      | 6201110200A                 | —                   | —                         | 74,137   |
| Lockheed Martin Corporation                                 | 12.630      | BBMK86355                   | —                   | —                         | 242,324  |
| Lockheed Martin Corporation                                 | 12.630      | BBMK86355                   | —                   | —                         | 40,058   |
| Imperial Machine and Tool Company                           | 12.630      | MJ19082                     | —                   | —                         | 1,232  |
| Imperial Machine and Tool Company                           | 12.630      | 21069JS                     | —                   | —                         | 45,121   |
| Imperial Machine and Tool Company                           | 12.630      | 223099JS                    | —                   | —                         | 13,560   |
| Syracuse University   | 12.800      | 2368402248S01               | —                   | —                         | 106,460  |
| University of Maryland Baltimore                            | 12.800      | SR00001514                  | —                   | —                         | 44,474   |
| Altusys Corporation   | 12.800      | Prime # FA8750-11-C-0138    | —                   | —                         | 3,620  |
| ITT Corporation   | 12.800      | 200821J                     | —                   | —                         | 14,696   |
| University of Wisconsin at Madison                          | 12.800      | F308114                     | —                   | —                         | 27,790   |
| University of Virginia                                      | 12.800      | GG11221-133954              | —                   | —                         | 57,766   |
| University of Rochester                                     | 12.800      | 414917-G 5-89812            | —                   | —                         | 95,735   |
| Esensors Incorporated                                       | 12.800      | STTR Phase II               | —                   | —                         | 153,371  |
| Regents of the University of Minnesota                      | 12.800      | A001650201                  | —                   | —                         | 128,303  |
| Power Photonic Corporation                                  | 12.800      | NA                          | —                   | —                         | 3,937  |
| Sensor Electronic Technology Incorporated                   | 12.800      | NA                          | —                   | —                         | 76,530   |
| University of California Berkeley                           | 12.800      | 00006770                    | —                   | —                         | 147,175  |

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Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor | CFDA<br>number | Pass-through number      | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|---|----------------|--------------------------|------------------------|----------------------------------|---|
| University of Maryland                                      | 12.800         | Z809301                  | \$ —                   | 33,216                           |   |
| Wyle Laboratories Incorporated                              | 12.800         | RC00035522               | —                      | 7,449                            |   |
| Wyle Laboratories Incorporated                              | 12.800         | APSC01043 A10160-S049    | —                      | 65,238                           |   |
| Wyle Laboratories Incorporated                              | 12.800         | AP2336FY10 "TAT 0145"    | —                      | 8,050                            | 973,810   |
| University of Florida                                       | 12.910         | UFEIES1005013SNY         | —                      | 41,127                           |   |
| General Electric Global Research                            | 12.910         | PO400059756              | —                      | 91,963                           |   |
| Sekos Incorporated  | 12.910         | Protocol # 04-015-09     | —                      | 36,959                           |   |
| Spectral Energetics Incorporated                            | 12.910         | 0401509                  | —                      | 11,836                           | 181,885   |
| Total Department of Defense                                 |                |                          | 27,216,862             | 6,613,089                        | 33,829,951  |
| Central Intelligence Agency:                                |                |                          |                        |                                  |   |
| Central Intelligence Agency                                 | 13.000         |                          | 93,269                 | —                                |   |
| Science Applications International Corp                     | 13.000         | 4400167379               | —                      | 1,078                            | 94,347  |
| Total Central Intelligence Agency                           |                |                          | 93,269                 | 1,078                            | 94,347  |
| Department of Housing and Urban Development:                |                |                          |                        |                                  |   |
| Department of Housing and Urban Development                 | 14.000         | —                        | 525                    | —                                | 525   |
| Total Department of Housing and Urban Development           |                |                          | 525                    | —                                | 525   |
| Department of the Interior:                                 |                |                          |                        |                                  |   |
| ARRA – Geological Survey                                    | 15.818         | —                        | 2,520                  | —                                |   |
| Fish and Wildlife Service                                   | 15.000         | —                        | 82,728                 | —                                |   |
| Geological Survey   | 15.000         | —                        | 154,838                | —                                |   |
| National Park Service                                       | 15.000         | —                        | 386,687                | —                                |   |
| NYS Department of Environmental Conservation                | 15.000         | AMO6600                  | —                      | 310                              |   |
| NYS Department of Environmental Conservation                | 15.000         | AMO7821                  | —                      | 98,032                           | 725,115   |
| Canal Society of New York State Incorporated                | 15.224         | N/A                      | —                      | 21,720                           | 21,720  |
| Trustees of Princeton University                            | 15.423         | 00001636                 | —                      | 47,026                           | 47,026  |
| Central Michigan University                                 | 15.608         | NA                       | —                      | 553                              |   |
| Nature Conservancy  | 15.608         | VTFO 06/10/2010          | —                      | 4,000                            |   |
| National Fish and Wildlife Foundation                       | 15.608         | 200800580001             | —                      | 20,054                           |   |
| Duke University   | 15.608         | 11NFWF1049               | —                      | 2,462                            |   |
| National Fish and Wildlife Foundation                       | 15.608         | 20050129020              | —                      | 6,806                            | 33,875  |
| NYS Department of Environmental Conservation                | 15.611         | AMO5643                  | —                      | 153,140                          |   |
| NYS Department of Environmental Conservation                | 15.611         | AMO6396                  | —                      | 56,048                           |   |
| NYS Department of Environmental Conservation                | 15.611         | AMO7944                  | —                      | 27,777                           |   |
| NYS Department of Environmental Conservation                | 15.611         | AMO5643                  | —                      | 36,901                           | 273,866   |
| Texas Parks and Wildlife                                    | 15.615         | 407348                   | —                      | 10,448                           |   |
| Nature Conservancy  | 15.615         | DEC_ESF Botany_05-25-10  | —                      | 8,127                            | 18,575  |
| NYS Department of Environmental Conservation                | 15.630         | AM06757                  | —                      | 13,220                           | 13,220  |
| Florida Fish and Wildlife Conservation Commission           | 15.634         | 10068                    | —                      | 7,485                            |   |
| Texas Parks and Wildlife                                    | 15.634         | T-43                     | —                      | (373)                            |   |
| Texas Parks and Wildlife                                    | 15.634         | T43                      | —                      | 11,521                           |   |
| Texas Parks and Wildlife                                    | 15.634         | 407709                   | —                      | 13,385                           |   |
| NYS Department of Environmental Conservation                | 15.634         | AM07297                  | —                      | 29,313                           |   |
| NYS Department of Environmental Conservation                | 15.634         | C990147 AM06924          | —                      | 49,969                           |   |
| NYS Department of Environmental Conservation                | 15.634         | AM05770                  | —                      | (9)                              |   |
| NYS Department of Environmental Conservation                | 15.634         | AM05951                  | —                      | 24,827                           | 136,118   |
| NYS Water Resources Institute at Cornell Univ               | 15.805         | NA                       | —                      | 11,722                           |   |
| Cornell University  | 15.805         | 611039379                | —                      | 19,148                           |   |
| Trustees of Indiana University                              | 15.805         | IN4394210SUNY PO# 914456 | —                      | 20,175                           | 51,045  |
| University of Southern California                           | 15.807         | 146303                   | —                      | 9,126                            | 9,126   |
| University of Florida                                       | 15.808         | UF09148                  | —                      | 73,555                           | 73,555  |
| AmericaView   | 15.815         | N/A                      | —                      | 3,997                            | 3,997   |
| Total Department of the Interior                            |                |                          | 626,773                | 780,465                          | 1,407,238   |
| Department of Justice:                                      |                |                          |                        |                                  |   |
| Department of Justice                                       | 16.000         | —                        | 1,092,717              | —                                | 1,092,717   |
| University of Texas at El Paso                              | 16.300         | 2630016763               | —                      | 147,557                          | 147,557   |
| University of Colorado                                      | 16.540         | 0000059916               | —                      | 75,783                           | 75,783  |
| University of Maryland                                      | 16.541         | Z955101                  | —                      | 113,657                          | 113,657   |
| National Opinion Research Center                            | 16.550         | 6761SUNY01               | —                      | 25,273                           | 25,273  |
| University of Missouri – St Louis                           | 16.560         | 2006JVFX0011             | —                      | 50,766                           |   |
| Iowa State University                                       | 16.560         | SC-11-356                | —                      | 7,044                            | 57,810  |
| Broome Tioga BOCES  | 16.726         | 00106696-00              | —                      | 10,547                           | 10,547  |
| Total Department of Justice                                 |                |                          | 1,092,717              | 430,627                          | 1,523,344   |
| Department of Labor:  |                |                          |                        |                                  |   |
| Suffolk County Community College                            | 17.261         | NA                       | —                      | 1,371                            | 1,371   |
| Total Department of Labor                                   |                |                          | —                      | 1,371                            | 1,371   |
| Federal Reserve System:                                     |                |                          |                        |                                  |   |
| Federal Reserve Bank of New York                            | 18.000         | —                        | 17,685                 | —                                | 17,685  |
| Total Federal Reserve System                                |                |                          | 17,685                 | —                                | 17,685  |
| Department of State:  |                |                          |                        |                                  |   |
| Department of State   | 19.000         | —                        | 35,443                 | —                                |   |
| International Relief and Development Inc                    | 19.000         | IRDSUNY001               | —                      | 187,107                          |   |
| US Civilian Research and Development Foundation             | 19.000         | AZB220610BA08            | —                      | 5,010                            | 227,560   |
| Council for International Exchange of Scholars              | 19.401         | n/a                      | —                      | 980                              | 980   |
| Total Department of State                                   |                |                          | 35,443                 | 193,097                          | 228,540   |
| Department of Transportation:                               |                |                          |                        |                                  |   |
| Federal Aviation Administration                             | 20.000         | —                        | 3,486                  | —                                |   |
| Federal Highway Administration                              | 20.000         | —                        | 1,131,605              | —                                | 1,135,091   |
| Delta Engineers   | 20.007         | 2005.147.001             | —                      | 4,282                            | 4,282   |
| Rensselaer Polytechnic Institute                            | 20.200         | A90379                   | —                      | 25,496                           |   |
| PB Americas Incorporated                                    | 20.200         | N/A                      | —                      | 38,736                           |   |
| CUBRC Incorporated  | 20.200         | 7744-01                  | —                      | 8,678                            | 72,910  |
| NYS Education Department                                    | 20.205         | C008795                  | —                      | 1,647,687                        |   |
| NYS Education Department                                    | 20.205         | C008795                  | —                      | 240,548                          |   |
| CUBRC Incorporated  | 20.205         | 07605-03                 | —                      | 31,269                           |   |
| CUBRC Incorporated  | 20.205         | 07605-04                 | —                      | 5,712                            |   |
| CUBRC Incorporated  | 20.205         | 07605S05                 | —                      | 19,991                           | 1,945,207   |

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Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor | CFDA<br>number | Pass-through number | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|---|----------------|---------------------|------------------------|----------------------------------|---|
| Research Foundation of City University of New York          | 20.502         | 555050601           | \$ —                   | 65,806                           | 65,806  |
| National Academy of Sciences                                | 20.614         | NCHRP155            | —                      | 12,333                           | 12,333  |
| Research Foundation of City University of New York          | 20.701         | 491111821           | —                      | 30,401                           | 30,401  |
| Research Foundation of City University of New York          | 20.701         | 49111-17-20         | —                      | 30,651                           | 30,651  |
| Research Foundation of City University of New York          | 20.701         | 555050603A          | —                      | 47,977                           | 109,029   |
| Cornell University  | 20.761         | 521109290           | —                      | 3,634                            | 3,634   |
| Total Department of Transportation                          |                |                     | 1,135,091              | 2,213,201                        | 3,348,292   |
| Department of the Treasury:                                 |                |                     |                        |                                  |   |
| Department of the Treasury                                  | 21.000         | —                   | 45,998                 | —                                | 45,998  |
| Total Department of the Treasury                            |                |                     | 45,998                 | —                                | 45,998  |
| US Postal Service:  |                |                     |                        |                                  |   |
| Postal Service  | 22.000         | —                   | 872,684                | —                                | 872,684   |
| Lockheed Martin   | 22.000         | DW461522            | —                      | 237,631                          | 1,110,315   |
| Total US Postal Service                                     |                |                     | 872,684                | 237,631                          | 1,110,315   |
| Appalachian Regional Commission:                            |                |                     |                        |                                  |   |
| Appalachian Regional Commission                             | 23.000         | —                   | 370                    | —                                | 370   |
| Total Appalachian Regional Commission                       |                |                     | 370                    | —                                | 370   |
| Library of Congress:  |                |                     |                        |                                  |   |
| Library of Congress   | 42.000         | —                   | 80,991                 | —                                | 80,991  |
| Broome Tioga BOCES  | 42.002         | n/a                 | —                      | 1,528                            | 1,528   |
| Total Library of Congress                                   |                |                     | 80,991                 | 1,528                            | 82,519  |
| National Aeronautics and Space Administration:              |                |                     |                        |                                  |   |
| ARRA – Goddard Space Flight Center                          | 43.000         | —                   | 39,215                 | —                                | 39,215  |
| Ames Research Center  | 43.000         | —                   | (1,825)                | —                                | (1,825)   |
| Goddard Space Flight Center                                 | 43.000         | —                   | 2,796,797              | —                                | 2,796,797   |
| John H Glenn Research Center at Lewis Field                 | 43.000         | —                   | 196,931                | —                                | 196,931   |
| Langley Research Center                                     | 43.000         | —                   | 230,296                | —                                | 230,296   |
| Lunar and Planetary Institute                               | 43.000         | —                   | 86,178                 | —                                | 86,178  |
| Lyndon B Johnson Space Center                               | 43.000         | —                   | 407,964                | —                                | 407,964   |
| Marshall Space Flight Center                                | 43.000         | —                   | 8,747                  | —                                | 8,747   |
| Washington  | 43.000         | —                   | 128,346                | —                                | 128,346   |
| Autonomous Exploration Incorporated                         | 43.000         | NNX10CC95P          | —                      | 17,580                           | 17,580  |
| Howard University   | 43.000         | 00060811000012504   | —                      | 48,921                           | 48,921  |
| Howard University   | 43.000         | 00060811000012504   | —                      | 48,463                           | 48,463  |
| Howard University   | 43.000         | 00065011000029457   | —                      | 2,288                            | 2,288   |
| Jet Propulsion Laboratory                                   | 43.000         | 1388189             | —                      | 89,238                           | 89,238  |
| National Institute of Aerospace                             | 43.000         | X08-7040-BIN        | —                      | 57,475                           | 57,475  |
| Unisys Corporation  | 43.000         | RKR-000139          | —                      | 27,578                           | 27,578  |
| Cornell University  | 43.000         | 48240-7891          | —                      | 6,627                            | 6,627   |
| University of Pittsburgh                                    | 43.000         | 0005000 4042002     | —                      | 34,110                           | 34,110  |
| InnoSense LLC   | 43.000         | NA                  | —                      | 4,372                            | 4,372   |
| Space Telescope Science Institute                           | 43.000         | HST-GO-10556.03-A   | —                      | 2,639                            | 2,639   |
| Colorado State University                                   | 43.000         | G19191              | —                      | 23,972                           | 4,255,912   |
| Cornell University  | 43.001         | 61420-9293          | —                      | 12,796                           | 12,796  |
| Jpl Caltech   | 43.001         | 1242685             | —                      | 20,884                           | 20,884  |
| Jet Propulsion Laboratory                                   | 43.001         | 1250924             | —                      | 15,000                           | 15,000  |
| Metron Aviation Incorporated                                | 43.001         | SUNY000384C6B98     | —                      | 907                              | 907   |
| Metron Aviation Incorporated                                | 43.001         | SUNY000533CN706     | —                      | 26,418                           | 26,418  |
| Montana State University                                    | 43.001         | G25008W1818         | —                      | 93,098                           | 93,098  |
| Virginia Institute of Marine Science                        | 43.001         | 713635/712683       | —                      | 10,611                           | 10,611  |
| Jet Propulsion Laboratory                                   | 43.001         | 1371092             | —                      | 33,289                           | 33,289  |
| Jet Propulsion Laboratory                                   | 43.001         | 1373103             | —                      | 19,505                           | 19,505  |
| American Museum of Natural History                          | 43.001         | 12009               | —                      | 107,691                          | 107,691   |
| Smithsonian Astrophysical Observatory                       | 43.001         | G090014X            | —                      | 1,620                            | 1,620   |
| Southwest Research Institute                                | 43.001         | A99188JD            | —                      | 27,008                           | 27,008  |
| National Space Biomedical Research Institute                | 43.001         | SMST01603           | —                      | 206,370                          | 206,370   |
| Space Telescope Science Institute                           | 43.001         | HSTGO1161606A       | —                      | 15,521                           | 15,521  |
| National Space Biomedical Research Institute                | 43.001         | SMST01702           | —                      | 41,732                           | 41,732  |
| Metron Aviation Incorporated                                | 43.001         | SUNY000752CN109     | —                      | 31,309                           | 31,309  |
| National Space Biomedical Research Institute                | 43.001         | SMST01603           | —                      | 147,200                          | 147,200   |
| Planetary Science Institute                                 | 43.001         | 639                 | —                      | 17,331                           | 17,331  |
| Cornell University  | 43.001         | 614209295           | —                      | 4,500                            | 4,500   |
| National Space Biomedical Research Institute                | 43.001         | SMST01702           | —                      | 1,114                            | 1,114   |
| Cornell University  | 43.001         | 614209294           | —                      | 5,000                            | 5,000   |
| University of Houston                                       | 43.001         | N/A                 | —                      | 281                              | 839,185   |
| Rensselaer Polytechnic Institute                            | 43.002         | B10554              | —                      | 29,044                           | 29,044  |
| Unisys Corporation  | 43.002         | TSM-000280          | —                      | 68,978                           | 68,978  |
| Jet Propulsion Laboratory                                   | 43.002         | 1369094             | —                      | 12,836                           | 110,858   |
| Total National Aeronautics and Space Administration         |                |                     | 3,892,649              | 1,313,306                        | 5,205,955   |
| National Foundation on the Arts and Humanities:             |                |                     |                        |                                  |   |
| National Endowment for the Arts                             | 45.000         | —                   | 53,284                 | —                                | 53,284  |
| National Endowment for the Humanities                       | 45.000         | —                   | 90,129                 | —                                | 90,129  |
| Institute of Museum and Library Services                    | 45.000         | —                   | 57,348                 | —                                | 200,761   |
| University of Vermont                                       | 45.163         | 24579-SUNY Initial  | —                      | 27,793                           | 27,793  |
| Lincoln Park Zoo Neotropic Fund                             | 45.312         | LG-24-07-0056-07    | —                      | 48,264                           | 48,264  |
| Drexel University   | 45.312         | N/A                 | —                      | 4,224                            | 52,488  |
| Total National Foundation on the Arts and Humanities        |                |                     | 200,761                | 80,281                           | 281,042   |
| National Science Foundation:                                |                |                     |                        |                                  |   |
| ARRA – National Science Foundation                          | 47.082         | —                   | 7,855,594              | —                                | 7,855,594   |
| National Science Foundation                                 | 47.000         | —                   | 46,293,425             | —                                | 46,293,425  |
| ARRA – Trustees of Boston College                           | 47.082         | 13671               | —                      | 25,817                           | 25,817  |
| ARRA – NSC Technology                                       | 47.082         | 0930634             | —                      | 2,298                            | 2,298   |
| ARRA – ChromaDex Incorporated                               | 47.082         | 658019 v1/HN        | —                      | (9)                              | (9)   |
| ARRA – Georgetown University                                | 47.082         | RX2220491SUNY       | —                      | 54,669                           | 54,669  |
| ARRA – University of Vermont                                | 47.082         | 24143 DMR0959486    | —                      | 4,193                            | 4,193   |
| ARRA – California State University Fresno                   | 47.082         | SC3600251008        | —                      | 37,565                           | 124,533   |
| Hudson Valley Community College                             | 47.000         | 1003574             | —                      | 10,614                           | 10,614  |

**THE RESEARCH FOUNDATION OF  
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Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor         | CFDA<br>number | Pass-through number       | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|---|----------------|---------------------------|------------------------|----------------------------------|---|
| BBN Technologies Corporation  | 47.000         | 9500009444                | \$ —                   | 27,755                           | 38,369  |
| University of Illinois Urbana Champaign                             | 47.000         | 20100658206               | —                      | 90,544                           |   |
| North Carolina State University                                     | 47.041         | 2008113802                | —                      | 57,624                           |   |
| Hypres Incorporated   | 47.041         | N/A                       | —                      | 201                              |   |
| Ohio State University Research Foundation                           | 47.041         | NA                        | —                      | 40,183                           |   |
| Orthogonal Incorporated   | 47.041         | Agreement 10124210        | —                      | 2,470                            |   |
| Rensselaer Polytechnic Institute                                    | 47.041         | A11647                    | —                      | 8,283                            |   |
| University of Utah  | 47.041         | 07050402                  | —                      | 67,726                           |   |
| University of Nevada Reno   | 47.041         | CUREE Subcontract No 6    | —                      | 177,364                          |   |
| University of Washington  | 47.041         | 576722                    | —                      | 120,155                          |   |
| Regents of the University of California                             | 47.041         | 00006218                  | —                      | 64,802                           |   |
| William Marsh Rice University                                       | 47.041         | R3B592                    | —                      | 111,478                          |   |
| Rochester Institute of Technology                                   | 47.041         | 30950-01                  | —                      | 29,027                           |   |
| Purdue University   | 47.041         | NEES – 4101-31871         | —                      | 548,126                          |   |
| Eensors Incorporated  | 47.041         | N/A                       | —                      | 86,284                           |   |
| Board of Trustees of the Leland Stanford Junior University          | 47.041         | 24145260-46334-C          | —                      | 31,463                           |   |
| Purdue University   | 47.041         | NEES410131871             | —                      | 1,096,800                        |   |
| University of Nevada Reno   | 47.041         | UNR1169                   | —                      | 62,199                           |   |
| University of Alabama   | 47.041         | 10-077                    | —                      | 22,207                           |   |
| Cornell University  | 47.041         | 62101-9359                | —                      | 73,893                           | 2,690,829   |
| Syracuse University   | 47.049         | 2236101654S01             | —                      | 1,965                            |   |
| Purdue University   | 47.049         | 4101-27546                | —                      | 950                              |   |
| University of Massachusetts Dartmouth                               | 47.049         | 060105                    | —                      | 841                              |   |
| Tecona Technologies Incorporated                                    | 47.049         | NA                        | —                      | 31,965                           |   |
| Columbia University   | 47.049         | PHY0612811 Sub 11         | —                      | 57,955                           |   |
| Portland State University   | 47.049         | 208HAM122                 | —                      | 8,231                            |   |
| Regents of the University of California, Santa Cruz                 | 47.049         | S0183166                  | —                      | 2,941                            |   |
| Occidental College  | 47.049         | G478                      | —                      | 21,656                           | 126,504   |
| Pennsylvania State University                                       | 47.050         | 3638-SUNY-NSF-5019        | —                      | 3,516                            |   |
| Consortium for Ocean Leadership                                     | 47.050         | T331A46                   | —                      | 16,134                           |   |
| Colorado State University   | 47.050         | G304515                   | —                      | 38,389                           |   |
| University of Illinois Urbana Champaign                             | 47.050         | 20100658201               | —                      | 517,676                          |   |
| Columbia University   | 47.050         | 582219                    | —                      | 1,610                            |   |
| Syracuse University   | 47.050         | 16779S374101053           | —                      | (33)                             |   |
| Brown University  | 47.050         | 00000360 PO# P267976      | —                      | 16,208                           |   |
| Syracuse University   | 47.050         | 2189601523S02             | —                      | 5,364                            | 598,864   |
| Computing Research Association                                      | 47.070         | CIFB136                   | —                      | 88,563                           |   |
| Pennsylvania State University                                       | 47.074         | 4192-RFSUNY-NSF-2742      | —                      | 147,646                          |   |
| Washington State University   | 47.074         | 107476G002259             | —                      | 240,264                          |   |
| Purdue University   | 47.074         | 410129430                 | —                      | 25,954                           |   |
| Oregon State University   | 47.074         | S0991AA                   | —                      | 7,449                            |   |
| University of Rochester   | 47.074         | 414626G                   | —                      | 28,440                           |   |
| Cornell University  | 47.074         | 462228052                 | —                      | 58,070                           |   |
| University of Puerto Rico   | 47.074         | DEB0620910                | —                      | 27,169                           |   |
| University of Tennessee   | 47.074         | OR1288500101              | —                      | 8,675                            |   |
| Cornell University  | 47.074         | 614689518                 | —                      | 4,424                            | 636,654   |
| Montana State University  | 47.075         | G02307W0992               | —                      | 768                              |   |
| University of Maryland  | 47.075         | Z314801                   | —                      | 40,546                           |   |
| University of Arkansas  | 47.075         | SA0908001                 | —                      | (1,748)                          |   |
| Eastern Michigan University   | 47.075         | EMU 20080217              | —                      | 6,891                            |   |
| University of California at San Diego                               | 47.075         | PO#10295473-003           | —                      | 26,225                           |   |
| Trustees of Boston University                                       | 47.075         | GC207663NGD               | —                      | 102,694                          |   |
| Association for Institutional Research                              | 47.075         | RG11-35                   | —                      | 4,755                            | 180,131   |
| Rensselaer Polytechnic Institute                                    | 47.076         | B10500                    | —                      | 13,739                           |   |
| Illinois State University   | 47.076         | 07C210-01B                | —                      | 106,856                          |   |
| Eric Community College  | 47.076         | DUE0802062                | —                      | 78,327                           | 198,922   |
| Consortium for Ocean Leadership                                     | 47.079         | BA78                      | —                      | 18,551                           |   |
| William Marsh Rice University                                       | 47.079         | R3C75D                    | —                      | 51,838                           | 70,389  |
| <b>Total National Science Foundation</b>                            |                |                           | <b>54,149,019</b>      | <b>4,665,195</b>                 | <b>58,814,214</b>                                       |
| Small Business Administration:                                      |                |                           |                        |                                  |   |
| Small Business Administration                                       | 59.000         |                           | 103                    | —                                |   |
| Connecticut Center for Advanced Technology Incorporated             | 59.000         | 10K142                    | —                      | 7,896                            | 7,999   |
| <b>Total Small Business Administration</b>                          |                |                           | <b>103</b>             | <b>7,896</b>                     | <b>7,999</b>  |
| Department of Veterans Affairs:                                     |                |                           |                        |                                  |   |
| Veterans Admin Western New York Healthcare Systems                  | 64.000         | —                         | 386,336                | —                                |   |
| Veterans Administration Healthcare Network Upstate NY               | 64.000         | —                         | 29,339                 | —                                |   |
| Veterans Administration Medical Ctr at Northport                    | 64.000         | —                         | 307,248                | —                                |   |
| Veterans Affairs Medical Center                                     | 64.000         | —                         | 36,508                 | —                                | 759,431   |
| <b>Total Department of Veterans Affairs</b>                         |                |                           | <b>759,431</b>         | <b>—</b>                         | <b>759,431</b>  |
| Environmental Protection Agency:                                    |                |                           |                        |                                  |   |
| Environmental Protection Agency                                     | 66.000         | —                         | 1,608,244              | —                                |   |
| Environmental Protection Agency Great Lakes National Program Office | 66.000         | —                         | 44,725                 | —                                | 1,652,969   |
| ARRA – Center for Environmental Information                         | 66.454         | 2P972347090 – C304260     | —                      | 86                               | 86  |
| Regents of the University of Michigan                               | 66.000         | 3001524233                | —                      | 16,578                           |   |
| Battelle Memorial Institute   | 66.000         | 227310                    | —                      | 82,179                           |   |
| MACTEC Inc  | 66.000         | EPW09208                  | —                      | 8,113                            |   |
| NYS Department of Environmental Conservation                        | 66.000         | AMO7887                   | —                      | 228                              | 107,098   |
| Syracuse University   | 66.202         | 2235401668S03 EM833404010 | —                      | 230,841                          |   |
| Syracuse University   | 66.202         | 2235401668S04             | —                      | 121,647                          | 352,488   |
| University of Connecticut   | 66.437         | 7052                      | —                      | 8,155                            | 8,155   |
| Suffolk County Health Services                                      | 66.456         | HSV525823511100000001     | —                      | (42)                             | (42)  |
| Tioga County Soil and Water Conservation District                   | 66.461         | EPA-R2-09WPDG             | —                      | 25,820                           | 25,820  |
| Tioga County Soil and Water Conservation District                   | 66.466         | n/a                       | —                      | 28,000                           | 28,000  |
| Central Michigan University   | 66.469         | GLOOEOO6120               | —                      | 58,233                           |   |
| Indiana University  | 66.469         | GL00E766010/Hites4340133  | —                      | 6,581                            |   |
| Clarkson University   | 66.469         | 375327912 CLKSN61293      | —                      | 72,355                           |   |
| Clarkson University   | 66.469         | 375325302                 | —                      | 8,497                            |   |
| Clarkson University   | 66.469         | 375325741                 | —                      | 18,606                           |   |
| Clarkson University   | 66.469         | 375327911                 | —                      | 109,783                          |   |
| Clarkson University   | 66.469         | 375325742 PO CLKSN70630   | —                      | 72,723                           |   |
| Great Lakes Observing System  | 66.469         | EPA63606                  | —                      | 13,997                           | 360,775   |

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Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor        | CFDA<br>number | Pass-through number      | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|--------------------------|------------------------|----------------------------------|---|
| New England Interstate Water Pollution Cntrl Comm                  | 66.481         | X797187301               | \$ —                   | 3,753                            | 3,753   |
| Monroe County  | 66.600         | N/A                      | —                      | 38,076                           | 38,076  |
| NYS Department of Environmental Conservation                       | 66.600         | AM06907                  | —                      | 105,126                          | 143,202   |
| Syracuse University  | 66.606         | 1705801139S17            | —                      | 10,083                           | 10,083  |
| Onondaga Environmental Institute                                   | 66.606         | N/A                      | —                      | (288)                            | (288)   |
| Clarkson University  | 66.606         | 375328271 PO CLKSN-63766 | —                      | 6,677                            | 6,677   |
| Syracuse University  | 66.606         | 1705801139S31            | —                      | 20,048                           | 36,520  |
| Onondaga County  | 66.716         | 60709                    | —                      | 4,376                            | 4,376   |
| Total Environmental Protection Agency                              |                |                          | 1,652,969              | 1,070,231                        | 2,723,200   |
| Department of Energy:  |                |                          |                        |                                  |   |
| ARRA – Department of Energy  | 81.049         | —                        | 480,939                | —                                | 480,939   |
| Argonne National Laboratory  | 81.000         | —                        | 38,946                 | —                                | 38,946  |
| Bonneville Power Administration                                    | 81.000         | —                        | 284,687                | —                                | 284,687   |
| Department of Energy   | 81.000         | —                        | 13,812,490             | —                                | 13,812,490  |
| Fermi National Accelerator Laboratory                              | 81.000         | —                        | 17,845                 | —                                | 17,845  |
| Los Alamos National Laboratory                                     | 81.000         | —                        | 13,619                 | —                                | 13,619  |
| National Nuclear Security Administration                           | 81.000         | —                        | 176,031                | —                                | 176,031   |
| Rural Development  | 81.000         | —                        | 73,268                 | —                                | 73,268  |
| ARRA – NYS Energy Research and Development Authority               | 81.000         | 16751                    | —                      | 29,475                           | 29,475  |
| ARRA – NYS Energy Research and Development Authority               | 81.041         | 17689                    | —                      | 493,848                          | 493,848   |
| ARRA – Florida Power & Light Company                               | 81.049         | NA                       | —                      | 63,103                           | 63,103  |
| ARRA – Suffolk County Department of Public Works                   | 81.049         | CP1664                   | —                      | 15,311                           | 15,311  |
| ARRA – Cornell University  | 81.049         | 562879319                | —                      | 26,231                           | 26,231  |
| ARRA – Kansas State University                                     | 81.049         | S11017                   | —                      | 24,643                           | 24,643  |
| ARRA – Long Island Power Authority                                 | 81.122         | DEOE0000220              | —                      | 455,854                          | 455,854   |
| ARRA – Long Island Power Authority                                 | 81.122         | DEOE0000220              | —                      | 19,307                           | 19,307  |
| West Valley Nuclear Services Company Incorporated                  | 81.000         | PO# 000438               | —                      | 63,336                           | 63,336  |
| UT Battelle LLC  | 81.000         | 4000103107               | —                      | 487                              | 487   |
| Los Alamos National Security LLC                                   | 81.000         | Subcontract: 138559      | —                      | 209                              | 209   |
| Sandia National Laboratories                                       | 81.000         | 1111356                  | —                      | 711                              | 711   |
| University of South Carolina                                       | 81.000         | 101781 PO# 22142         | —                      | 4,874                            | 4,874   |
| Brookhaven Science Associates LLC                                  | 81.036         | 149979                   | —                      | 22,591                           | 22,591  |
| National Renewable Energy Laboratory                               | 81.049         | AEK88827001              | —                      | 3,498                            | 3,498   |
| Alliance for Sustainable Energy LLC                                | 81.049         | AGJ04029001              | —                      | 61,309                           | 61,309  |
| Alliance for Sustainable Energy LLC                                | 81.049         | AEA04103301              | —                      | 15,876                           | 15,876  |
| Hi Z Technology Incorporated                                       | 81.049         | DEFG02ER85066            | —                      | 60,297                           | 60,297  |
| Hi Z Technology Incorporated                                       | 81.049         | DEEE0003492              | —                      | 15,092                           | 15,092  |
| Aegis Technology   | 81.049         | Agreement 09061228       | —                      | 23,874                           | 23,874  |
| Faradox Energy Storage Incorporated                                | 81.049         | Agreement 10083057       | —                      | 24,203                           | 24,203  |
| Michigan Technological University                                  | 81.049         | Sub 050516Z20 P0072320   | —                      | 23,769                           | 23,769  |
| Rensselaer Polytechnic Institute                                   | 81.049         | A12141                   | —                      | 138,953                          | 138,953   |
| Lawrence Berkeley National Laboratory                              | 81.049         | 6807111                  | —                      | 414,460                          | 414,460   |
| Brookhaven Science Associates LLC                                  | 81.049         | 135462                   | —                      | 29,054                           | 29,054  |
| Brookhaven Science Associates LLC                                  | 81.049         | 144959                   | —                      | (195)                            | (195)   |
| Brookhaven Science Associates LLC                                  | 81.049         | 149518                   | —                      | 1,199                            | 1,199   |
| Battelle Energy Alliance LLC                                       | 81.049         | 00088495                 | —                      | 125,862                          | 125,862   |
| Lawrence Berkeley National Laboratory                              | 81.049         | 6890278                  | —                      | 36,743                           | 36,743  |
| Plasma Technology Inc  | 81.049         | NA                       | —                      | 29,624                           | 29,624  |
| Brookhaven Science Associates LLC                                  | 81.049         | 158463                   | —                      | 3,222                            | 3,222   |
| University of Houston  | 81.049         | DESC0001284              | —                      | 90,516                           | 90,516  |
| TreadStone Technologies Incorporated                               | 81.049         | DOEEERE01SBU01           | —                      | 54,171                           | 54,171  |
| Brookhaven Science Associates LLC                                  | 81.049         | 162689                   | —                      | 32,997                           | 32,997  |
| Brookhaven Science Associates LLC                                  | 81.049         | 160434                   | —                      | 27,883                           | 27,883  |
| Lawrence Berkeley National Laboratory                              | 81.049         | 6909679                  | —                      | 19,294                           | 19,294  |
| UT Battelle LLC  | 81.049         | 4000089468               | —                      | 37,810                           | 37,810  |
| Brookhaven Science Associates LLC                                  | 81.049         | 163564                   | —                      | 13,946                           | 13,946  |
| Brookhaven Science Associates LLC                                  | 81.049         | 157893                   | —                      | 10,638                           | 10,638  |
| Battelle Memorial Institute  | 81.049         | 113152                   | —                      | 41,409                           | 41,409  |
| Lawrence Livermore National Laboratory                             | 81.049         | B589924                  | —                      | 31,823                           | 31,823  |
| Brookhaven Science Associates LLC                                  | 81.049         | 162350                   | —                      | 37,693                           | 37,693  |
| UT Battelle LLC  | 81.049         | 4000092310               | —                      | 12,198                           | 12,198  |
| Brookhaven Science Associates LLC                                  | 81.049         | 168835                   | —                      | 20,235                           | 20,235  |
| University of Delaware   | 81.049         | 0000023044               | —                      | 12,492                           | 12,492  |
| Brookhaven Science Associates LLC                                  | 81.049         | 0000170951               | —                      | 32,557                           | 32,557  |
| Brookhaven Science Associates LLC                                  | 81.049         | 175551                   | —                      | 21,605                           | 21,605  |
| Brookhaven Science Associates LLC                                  | 81.049         | 169149                   | —                      | 4,136                            | 4,136   |
| Battelle Memorial Institute  | 81.049         | 136630                   | —                      | 62,220                           | 62,220  |
| Lawrence Livermore National Laboratory                             | 81.049         | B593287                  | —                      | 22,159                           | 22,159  |
| Brookhaven Science Associates LLC                                  | 81.049         | 181069                   | —                      | 14,886                           | 14,886  |
| Brookhaven Science Associates LLC                                  | 81.049         | 181030                   | —                      | 19,517                           | 19,517  |
| Trustees of Princeton University                                   | 81.049         | 00001909                 | —                      | 5,099                            | 5,099   |
| UT Battelle LLC  | 81.049         | 4000101997               | —                      | 15,694                           | 15,694  |
| University of Rochester  | 81.049         | 414091G                  | —                      | 402,445                          | 402,445   |
| South Dakota State University                                      | 81.079         | 3TD155                   | —                      | 79,962                           | 79,962  |
| Alliance for Sustainable Energy LLC                                | 81.087         | ZGB04064201              | —                      | 55,273                           | 55,273  |
| Cold Spring Harbor Laboratory                                      | 81.087         | 51030113                 | —                      | 44,541                           | 44,541  |
| Giner Electrochemical Systems                                      | 81.087         | N/A                      | —                      | 41,068                           | 41,068  |
| Consortium for Plant Biotechnology Research Incorporated           | 81.087         | GO12026288               | —                      | 86                               | 86  |
| Consortium for Plant Biotechnology Research Incorporated           | 81.087         | GO12026317               | —                      | 48,237                           | 48,237  |
| Consortium for Research on Renewable Industrial Materials (CORRIM) | 81.087         | 418                      | —                      | 19,956                           | 19,956  |
| Lawrence Berkeley National Laboratory                              | 81.117         | 6807148                  | —                      | 464,367                          | 464,367   |
| Lawrence Berkeley National Laboratory                              | 81.117         | 6951372                  | —                      | 33,317                           | 33,317  |
| Rensselaer Polytechnic Institute                                   | 81.121         | A11896 P0064186          | —                      | 38,917                           | 38,917  |
| Board of Trustees of the Leland Stanford Junior University         | 81.124         | 2175022040367A           | —                      | 161,643                          | 161,643   |
| C and S Engineering  | 81.214         | Job No. E16.022.004      | —                      | 8,837                            | 8,837   |
| Total Department of Energy   |                |                          | 14,897,825             | 4,266,447                        | 19,164,272  |
| Department of Education:   |                |                          |                        |                                  |   |
| Department of Education  | 84.000         | —                        | 5,077,401              | —                                | 5,077,401   |
| Arizona State University   | 84.116         | Subaward 08-923          | —                      | 2,308                            | 2,308   |
| Florida International University                                   | 84.116         | 29100051101              | —                      | 39,910                           | 39,910  |
| Michigan Technological University                                  | 84.116         | 090367Z1                 | —                      | 17,632                           | 17,632  |
| Duke University  | 84.133         | 141765-Buffalo           | —                      | 29,322                           | 29,322  |
| Duke University  | 84.133         | Subaward No: 343-0053    | —                      | 144,960                          | 144,960   |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**  
Schedule of Expenditures of Federal Awards  
Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor  | CFDA<br>number | Pass-through number            | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|--------------------------------|------------------------|----------------------------------|---|
| Carnegie Mellon University   | 84.133         | Subrecipient No 1100028-221807 | \$ —                   | 378,953                          | 553,235   |
| Albany City School District  | 84.165         | U165A100043                    | —                      | 54,082                           | 54,082  |
| Broome Tioga BOCES   | 84.184         | USDOE Q184L090208              | —                      | 1,381                            | —   |
| Broome Tioga BOCES   | 84.184         | USDOE Q184L090208              | —                      | 5,238                            | —   |
| Broome Tioga BOCES   | 84.184         | USDOE Q184L090208              | —                      | 555,730                          | —   |
| Broome Tioga BOCES   | 84.184         | USDOE Q184L090208              | —                      | 97,013                           | 659,362   |
| Schenectady City School District   | 84.293         | n/a                            | —                      | 1,862                            | 1,862   |
| Board of Trustees of the Leland Stanford Junior University   | 84.305         | 1968833038188A                 | —                      | 146,267                          | —   |
| Rutgers University   | 84.305         | Subaward No. 3585              | —                      | 131,163                          | —   |
| Arizona State University   | 84.305         | 10340                          | —                      | 67,824                           | 345,254   |
| Every Person Influences Children Incorporated  | 84.310         | U310A060031                    | —                      | 41,256                           | 41,256  |
| University of Missouri Columbia  | 84.324         | C00014897-3                    | —                      | 7,351                            | 7,351   |
| National Writing Project Corporation   | 84.928         | N/A                            | —                      | 12,603                           | 12,603  |
| Total Department of Education  |                |                                | 5,077,401              | 1,734,855                        | 6,812,256   |
| National Archives and Records Administration:<br>Natl Historical Publications & Records Commission                       | 89.000         | —                              | 75,736                 | —                                | 75,736  |
| Total National Archives and Records Administration   |                |                                | 75,736                 | —                                | 75,736  |
| Institute of Peace:<br>Institute of Peace  | 91.000         | —                              | 13,566                 | —                                | 13,566  |
| Total Institute of Peace   |                |                                | 13,566                 | —                                | 13,566  |
| Department of Health and Human Services:<br>ARRA – Eunice Kennedy Shriver National Institute of Child Health & Human Dev | 93.701         | —                              | 1,248,249              | —                                | —   |
| ARRA – Fogarty International Center  | 93.701         | —                              | 32,230                 | —                                | 1,280,479   |
| ARRA – Health Resources and Services Admin   | 93.411         | —                              | 292,050                | —                                | 292,050   |
| ARRA – National Cancer Institute   | 93.701         | —                              | 1,061,433              | —                                | 1,061,433   |
| ARRA – National Center for Research Resources  | 93.702         | —                              | 5,294,560              | —                                | 5,294,560   |
| ARRA – National Ctr on Minority Health&Health Disparities  | 93.701         | —                              | 1,929,456              | —                                | —   |
| ARRA – National Eye Institute  | 93.701         | —                              | 319,650                | —                                | —   |
| ARRA – National Heart Lung and Blood Institute   | 93.701         | —                              | 1,746,474              | —                                | —   |
| ARRA – National Inst of Arthritis Musculoskeletal & Skin   | 93.701         | —                              | 2,234,740              | —                                | —   |
| ARRA – National Inst of Biomedical Imaging and Bioenginee  | 93.701         | —                              | 268,535                | —                                | —   |
| ARRA – National Inst of Diabetes Digestive Kidney Disease  | 93.701         | —                              | 1,195,111              | —                                | —   |
| ARRA – National Inst of Environmental Health Sciences  | 93.701         | —                              | 709,610                | —                                | —   |
| ARRA – National Inst of Neurological Disorders & Stroke  | 93.701         | —                              | 1,612,818              | —                                | —   |
| ARRA – National Inst on Deafness & Other Comm Disorders  | 93.701         | —                              | 790,610                | —                                | —   |
| ARRA – National Institute for Alcohol Abuse & Alcoholism   | 93.701         | —                              | 1,936,569              | —                                | —   |
| ARRA – National Institute for Nursing Research   | 93.701         | —                              | 234,100                | —                                | —   |
| ARRA – National Institute of Allergy & InfectioDisease   | 93.701         | —                              | 7,436,952              | —                                | —   |
| ARRA – National Institute of Dental & Craniofacial Res   | 93.701         | —                              | 1,395,718              | —                                | —   |
| ARRA – National Institute of General Medical Sciences  | 93.701         | —                              | 1,947,009              | —                                | —   |
| ARRA – National Institute of Mental Health   | 93.701         | —                              | 159,128                | —                                | —   |
| ARRA – National Institute on Aging   | 93.701         | —                              | 60,421                 | —                                | —   |
| ARRA – National Institute on Drug Abuse  | 93.701         | —                              | 1,310,017              | —                                | —   |
| ARRA – Nat'I Center for Complementary & Alternative Medic  | 93.701         | —                              | 21,940                 | —                                | 25,308,858  |
| Administration for Children and Families   | 93.000         | —                              | 558,911                | —                                | —   |
| Administration for Children and Families   | 93.000         | —                              | 261,797                | —                                | —   |
| Agency for Healthcare Research and Quality   | 93.000         | —                              | 151,403                | —                                | —   |
| Agency for Toxic Substances and Disease Registry   | 93.000         | —                              | 170,306                | —                                | —   |
| Centers for Disease Control and Prevention   | 93.000         | —                              | 288,994                | —                                | —   |
| Eunice Kennedy Shriver National Institute of Child Health & Human Dev  | 93.000         | —                              | 6,044,242              | —                                | —   |
| Fogarty International Center   | 93.000         | —                              | 402,626                | —                                | —   |
| Health Resources and Services Admin  | 93.000         | —                              | 2,064,849              | —                                | —   |
| National Cancer Institute  | 93.000         | —                              | 11,190,861             | —                                | —   |
| National Center for Injury Prevention and Control  | 93.000         | —                              | 554,360                | —                                | —   |
| National Center for Research Resources   | 93.000         | —                              | 1,522,318              | —                                | —   |
| National Ctr on Minority Health&Health Disparities   | 93.000         | —                              | 1,893,833              | —                                | —   |
| National Eye Institute   | 93.000         | —                              | 9,917,932              | —                                | —   |
| National Heart Lung and Blood Institute  | 93.000         | —                              | 12,841,753             | —                                | —   |
| National Human Genome Research Institute   | 93.000         | —                              | 155,747                | —                                | —   |
| National Inst of Arthritis Musculoskeletal & Skin  | 93.000         | —                              | 4,073,192              | —                                | —   |
| National Inst of Biomedical Imaging and Bioenginee   | 93.000         | —                              | 2,121,311              | —                                | —   |
| National Inst of Diabetes Digestive Kidney Disease   | 93.000         | —                              | 9,821,406              | —                                | —   |
| National Inst of Environmental Health Sciences   | 93.000         | —                              | 4,589,760              | —                                | —   |
| National Inst of Neurological Disorders & Stroke   | 93.000         | —                              | 10,774,217             | —                                | —   |
| National Inst on Deafness & Other Comm Disorders   | 93.000         | —                              | 3,970,191              | —                                | —   |
| National Institute for Alcohol Abuse & Alcoholism  | 93.000         | —                              | 19,060,402             | —                                | —   |
| National Institute for Nursing Research  | 93.000         | —                              | 312,950                | —                                | —   |
| National Institute Occupational Safety & Health  | 93.000         | —                              | 950,503                | —                                | —   |
| National Institute of Allergy & InfectioDisease  | 93.000         | —                              | 13,809,153             | —                                | —   |
| National Institute of Dental & Craniofacial Res  | 93.000         | —                              | 8,020,042              | —                                | —   |
| National Institute of General Medical Sciences   | 93.000         | —                              | 20,838,151             | —                                | —   |
| National Institute of Health   | 93.000         | —                              | 1,011,064              | —                                | —   |
| National Institute of Mental Health  | 93.000         | —                              | 8,820,113              | —                                | —   |
| National Institute on Aging  | 93.000         | —                              | 2,326,016              | —                                | —   |
| National Institute on Drug Abuse   | 93.000         | —                              | 8,854,771              | —                                | —   |
| National Library of Medicine   | 93.000         | —                              | 166,218                | —                                | —   |
| Nat'I Center for Complementary & Alternative Medic   | 93.000         | —                              | 1,236,448              | —                                | —   |
| Natl Ctr on Minority Health & Health Disparities   | 93.000         | —                              | 16,047                 | —                                | —   |
| Office of Public Health and Science  | 93.000         | —                              | 191,548                | —                                | —   |
| Substance Abuse & Mental Health Services Admin   | 93.000         | —                              | 93,626                 | —                                | —   |
| Women's Health Initiative  | 93.000         | —                              | 148,673                | —                                | 169,225,734   |
| ARRA – Feinstein Institute for Medical Research  | 93.000         | HHSN271200900019C/PO GRT286028 | —                      | 57,429                           | 57,429  |
| ARRA – Harvard Pilgrim Health Care Incorporated  | 93.701         | AR001000                       | —                      | 26,668                           | —   |
| ARRA – Health Research Inc   | 93.701         | 35000901                       | —                      | 10,398                           | —   |
| ARRA – Stanford University   | 93.701         | PY-2580-25176-A                | —                      | 41,599                           | —   |
| ARRA – Oregon Health & Science University  | 93.701         | ABMCS0010AST                   | —                      | 110,635                          | —   |
| ARRA – Health Research Inc   | 93.701         | 75-5004-01                     | —                      | 10,570                           | —   |
| ARRA – Regents of the University of Minnesota  | 93.701         | N001051401                     | —                      | 615                              | —   |
| ARRA – University of California at San Francisco   | 93.701         | 5733sc                         | —                      | 153,754                          | —   |
| ARRA – McLean Hospital Corporation   | 93.701         | 1RC2NS070276-01                | —                      | 131,180                          | —   |
| ARRA – Health Research Inc   | 93.701         | 75-5006-01                     | —                      | 10,378                           | —   |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor                  | CFDA<br>number | Pass-through number            | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|--------------------------------|------------------------|----------------------------------|---|
| ARRA – Health Research Inc   | 93.701         | 75-5007-01                     | \$ —                   | —                                | 106   |
| ARRA – Board of Regents of the University of Oklahoma Health Sciences Center | 93.701         | RS20090553-02                  | —                      | —                                | 50,605  |
| ARRA – Georgia State University  | 93.701         | SP00010152-01                  | —                      | —                                | 27,234  |
| ARRA – Institute for Matching Person and Technology                          | 93.701         | 2272010                        | —                      | —                                | 57,059  |
| ARRA – University of Missouri at Kansas City                                 | 93.701         | Sub #:23011; UMKC #:00026505   | —                      | —                                | 15,338  |
| ARRA – Board of Regents of the University of Oklahoma Health Sciences Center | 93.701         | RS20090553-07                  | —                      | —                                | 137,218   |
| ARRA – Regents of the University of Michigan                                 | 93.701         | 3001603962                     | —                      | —                                | 4,517   |
| ARRA – University of Rochester   | 93.701         | 100049-N                       | —                      | —                                | 34,862  |
| ARRA – John Wayne Cancer Institute   | 93.701         | CA029605                       | —                      | —                                | 1,045   |
| ARRA – Colorado State University   | 93.701         | G76221                         | —                      | —                                | 85,853  |
| ARRA – Palmer Chiropractic University Foundation                             | 93.701         | 3U19AT00413703S1               | —                      | —                                | 20,277  |
| ARRA – Social and Scientific Systems Incorporated                            | 93.701         | BRSIMPCTQ0600114T004           | —                      | —                                | (803)   |
| ARRA – Social and Scientific Systems Incorporated                            | 93.701         | BRSIMPCTQ0600114T005ARRA/P1089 | —                      | —                                | 71  |
| ARRA – Social and Scientific Systems Incorporated                            | 93.701         | BRSIMPCTQ0600114T003           | —                      | —                                | 236   |
| ARRA – Social and Scientific Systems Incorporated                            | 93.701         | BRSIMPCTQ0600114T006           | —                      | —                                | 17,664  |
| ARRA – Duke University   | 93.701         | 08200                          | —                      | —                                | 14,308  |
| ARRA – Colorado State University   | 93.701         | G76821                         | —                      | —                                | 287,322   |
| ARRA – Hospital for Special Surgery  | 93.701         | NA                             | —                      | —                                | 83,162  |
| ARRA – Trustees of the University of Pennsylvania                            | 93.701         | 55339/2517528                  | —                      | —                                | 37,524  |
| ARRA – Montefiore Hospital and Medical Center                                | 93.701         | 5U01A13500418                  | —                      | —                                | 110,865   |
| ARRA – University of Florida   | 93.701         | UF11052                        | —                      | —                                | 19,078  |
| ARRA – University of Miami   | 93.701         | PO#M155209-C0.01               | —                      | —                                | 2,930   |
| ARRA – Harvard School of Public Health                                       | 93.701         | 114050.0012                    | —                      | —                                | 74,030  |
| ARRA – University of Pittsburgh  | 93.701         | 9004641                        | —                      | —                                | 62  |
| ARRA – Bio-Signal Group Corporation  | 93.701         | 1RC3NS0765801                  | —                      | —                                | 7,950   |
| ARRA – University of Michigan  | 93.701         | 3001340169                     | —                      | —                                | 166,304   |
| ARRA – Oklahoma Medical Research Foundation                                  | 93.701         | 1RC2HL10149901 PB090522009     | —                      | —                                | 8,762   |
| ARRA – George Washington University  | 93.701         | 10D08                          | —                      | —                                | 4,042   |
| ARRA – Brigham and Womens Hospital   | 93.701         | 106261                         | —                      | —                                | 71,327  |
| ARRA – Oklahoma Medical Research Foundation                                  | 93.701         | 5RC2HL10149902 PG190522009     | —                      | —                                | 26,091  |
| ARRA – University of Rochester   | 93.701         | 100050D 1DPGM09685001          | —                      | —                                | 71,494  |
| ARRA – Cary Institute of Ecosystem Studies                                   | 93.701         | 3094200201194                  | —                      | —                                | 19,325  |
| ARRA – Health Research Inc   | 93.708         | 1R21A07842901A1 / 75-5001-01   | —                      | —                                | 9,046   |
| ARRA – Health Research Inc   | 93.715         | 35004101                       | —                      | —                                | 9,464   |
| ARRA – Board of Regents of the University of Oklahoma Health Sciences Center | 93.715         | 20101741                       | —                      | —                                | 7,212   |
| ARRA – Health Research Inc   | 93.723         | 35003201                       | —                      | —                                | 51,984  |
| ARRA – Mayo Clinic Rochester Minnesota                                       | 93.728         | 90TR000201                     | —                      | —                                | 114,148   |
| ARRA – Mayo Clinic Rochester Minnesota                                       | 93.728         | N/A                            | —                      | —                                | 2,482   |
| ARRA – Social and Scientific Systems Incorporated                            | 93.855         | CRBDCR01S0900304               | —                      | —                                | 4,773   |
| ARRA – St Lukes Roosevelt Institute for Health Science                       | 93.867         | NA                             | —                      | —                                | 1,315   |
| Children's National Medical Center   | 93.000         | 79280408                       | —                      | —                                | 25,501  |
| Mount Sinai Medical Center   | 93.000         | N/A                            | —                      | —                                | 8,288   |
| Health Research Inc  | 93.000         | 2R01CA0851426A2                | —                      | —                                | 108   |
| Health Research Inc  | 93.000         | CA108888-01A1                  | —                      | —                                | 2,594   |
| Health Research Inc  | 93.000         | P01 CA103985                   | —                      | —                                | (8)   |
| Health Research Inc  | 93.000         | 1R01CA117108-02                | —                      | —                                | 975   |
| Columbia University  | 93.000         | N/A                            | —                      | —                                | 64,769  |
| Westat Corporation   | 93.000         | Subcontract #- 8489-S-02       | —                      | —                                | 12,495  |
| University of California at San Francisco                                    | 93.000         | 444653-30690-01                | —                      | —                                | 4,103   |
| Axio Research Corporation  | 93.000         | NHL243-02                      | —                      | —                                | 63,838  |
| Wake Forest University Health Sciences                                       | 93.000         | N01-WH-4-4221                  | —                      | —                                | 133   |
| University of South Florida  | 93.000         | PO 0000145782                  | —                      | —                                | 69,650  |
| Frontline Foundation   | 93.000         | ABestUB20092010                | —                      | —                                | 33,214  |
| Northwestern University  | 93.000         | 610 5421910 60025181           | —                      | —                                | (19,647)  |
| Stanford University  | 93.000         | TBD                            | —                      | —                                | 1,895   |
| Materials Development Incorporated   | 93.000         | MDISBU101001                   | —                      | —                                | 32,753  |
| Auxagen Incorporated   | 93.000         | 2079363                        | —                      | —                                | 9,271   |
| University of Alabama Birmingham   | 93.000         | CASG114                        | —                      | —                                | 1,200   |
| University of Alabama Birmingham   | 93.000         | CASG112                        | —                      | —                                | 4,813   |
| Washington University  | 93.000         | 2911966A WU-10-95              | —                      | —                                | 30,627  |
| New York University School of Medicine                                       | 93.000         | 05-0864 PO UM341511            | —                      | —                                | 60,392  |
| University of South Florida  | 93.000         | 1U01DK61055                    | —                      | —                                | 13,557  |
| North Carolina Agricultural and Technical State University                   | 93.103         | 240535A                        | —                      | —                                | 16,099  |
| Orange County Dept of Mental Health  | 93.104         | N/A                            | —                      | —                                | 60,433  |
| Orange County Dept of Mental Health  | 93.104         | N/A                            | —                      | —                                | 183,378   |
| Chautauqua County Department of Mental Hygiene                               | 93.104         | N/A                            | —                      | —                                | 157,356   |
| Health Research Inc  | 93.110         | 3941-02 15-0453-02             | —                      | —                                | 19,603  |
| Health Research Inc  | 93.110         | 4170-01                        | —                      | —                                | 35,522  |
| Health Research Inc  | 93.110         | 4156-01                        | —                      | —                                | 422   |
| Yale University  | 93.113         | A07626M10A10363                | —                      | —                                | 28,915  |
| Princeton Technologies Advisers Incorporated                                 | 93.113         | 1R41ES01904701                 | —                      | —                                | 10,056  |
| University of Illinois Urbana Champaign                                      | 93.113         | 2007-00634-01                  | —                      | —                                | 52,686  |
| Regents of the University of California                                      | 93.113         | Sub0700256                     | —                      | —                                | 309   |
| Oregon Health & Science University   | 93.113         | GCROE0137A                     | —                      | —                                | 230,535   |
| Oregon Health & Science University   | 93.113         | GCROE0160A                     | —                      | —                                | 19,270  |
| Columbia University  | 93.113         | 537761 1R01ES01634801A2        | —                      | —                                | 25  |
| University of Medicine & Dentistry of New Jersey                             | 93.113         | 3R01ES0101599104S1             | —                      | —                                | 43,897  |
| University of New England  | 93.113         | 2300017145                     | —                      | —                                | 10,284  |
| University of Minnesota  | 93.114         | S6526115102                    | —                      | —                                | 152,780   |
| Regents of the University of Michigan  | 93.121         | 300164250 – 7R21ED018820-03    | —                      | —                                | 53,823  |
| University of Louisville   | 93.121         | OGMB060534                     | —                      | —                                | 35,550  |
| University of Nebraska   | 93.121         | 34-0920-2002001                | —                      | —                                | (20,519)  |
| University of Bristol  | 93.121         | 5R01DE01669004                 | —                      | —                                | 178,866   |
| University of Missouri at Kansas City  | 93.121         | 10039 00015290                 | —                      | —                                | 20,341  |
| University of Pittsburgh   | 93.121         | Subaward 0011393 114897-1      | —                      | —                                | 27,653  |
| First Wave Technologies Incorporated   | 93.121         | N/A                            | —                      | —                                | 913   |
| University of Louisville   | 93.121         | OGMB060534S1                   | —                      | —                                | 2,929   |
| University of North Carolina at Chapel Hill                                  | 93.121         | 5-51216                        | —                      | —                                | 74,508  |
| University of Miami  | 93.121         | PO M155397                     | —                      | —                                | 17,198  |
| University of North Carolina at Chapel Hill                                  | 93.121         | 5-51216                        | —                      | —                                | 422,252   |
| New York University  | 93.121         | F678802                        | —                      | —                                | 73,081  |
| University of Louisville   | 93.121         | OGMB1007988                    | —                      | —                                | 59,244  |
| Enzo Therapeutics  | 93.121         | NA                             | —                      | —                                | 552   |
| Columbia University  | 93.127         | 5(Acct#5-36137)                | —                      | —                                | 34,469  |
| Childrens Research Institute   | 93.127         | 3278-10-05                     | —                      | —                                | 25,776  |



**THE RESEARCH FOUNDATION OF  
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| Federal grantor/federal subdivision or pass-through grantor | CFDA number | Pass-through number          | Direct expenditures | Pass-through expenditures | Total expenditures by CFDA and Federal grantor |
|---|-------------|------------------------------|---------------------|---------------------------|--|
| Columbia University   | 93.127      | 1(Acct.#5-36138)             | \$ —                | 1,547                     | 61,792   |
| Upstate New York Transplant Services Inc                    | 93.134      | N/A                          | —                   | 2,001                     |  |
| NY Alliance for Donation                                    | 93.134      | N/A                          | —                   | 24,093                    |  |
| NY Alliance for Donation                                    | 93.134      | D71HS09611                   | —                   | 10,625                    |  |
| Upstate New York Transplant Services Inc                    | 93.134      | R390T150610101               | —                   | 130,955                   |  |
| NY Alliance for Donation                                    | 93.134      | D71HS09611                   | —                   | 40,136                    | 207,810  |
| Mount Sinai Medical Center                                  | 93.135      | SC6102563                    | —                   | 16,686                    |  |
| Mount Sinai School of Medicine                              | 93.135      | U01DD00019504 SM6138415      | —                   | 13,866                    |  |
| Mount Sinai Medical Center                                  | 93.135      | SC6272424                    | —                   | 7,709                     |  |
| Mount Sinai School of Medicine                              | 93.135      | U01DD00019505 SC6345686      | —                   | 10,496                    | 48,757   |
| Health Research Inc   | 93.136      | 15046401                     | —                   | 28,710                    |  |
| University of Maryland                                      | 93.136      | Z022901                      | —                   | 198,546                   |  |
| Research Foundation of City University of New York          | 93.136      | 41717A                       | —                   | 13,124                    |  |
| University of Rochester                                     | 93.136      | UR Account 415411-G          | —                   | 11,624                    | 252,004  |
| Columbia University   | 93.145      | 10 (Acct # 5-37119)          | —                   | 8,384                     |  |
| Columbia University   | 93.145      | 10 (Acct. # 5-39396)         | —                   | 91,727                    |  |
| Albany Medical College                                      | 93.145      | CC#428552CNY                 | —                   | 465                       |  |
| Albany Medical College                                      | 93.145      | CC#428567CNY                 | —                   | 815                       | 101,391  |
| Westat Corporation  | 93.153      | N01HD33345                   | —                   | 21,476                    |  |
| Westat Corporation  | 93.153      | 8530S030                     | —                   | 450,625                   |  |
| Westat Corporation  | 93.153      | 8530S030                     | —                   | 10,328                    | 482,429  |
| Stanford University   | 93.172      | 15889690-33465-D             | —                   | 55,874                    | 55,874   |
| Cornell University  | 93.173      | Subaward 59774-9213          | —                   | 33,440                    |  |
| Jackson Laboratory  | 93.173      | P.O. 647819                  | —                   | 54,940                    |  |
| Purdue University   | 93.173      | 4102-22866                   | —                   | 158,750                   |  |
| University of California at San Diego                       | 93.173      | 10293738                     | —                   | 27,558                    |  |
| University of Maryland Baltimore                            | 93.173      | SR00000302                   | —                   | 80,907                    | 355,595  |
| Palmer Chiropractic University Foundation                   | 93.213      | 1U19A T00413701              | —                   | 148,972                   | 148,972  |
| University of Florida                                       | 93.226      | UF JAX10925                  | —                   | 27,192                    | 27,192   |
| Yale University   | 93.242      | A07383M10A10441              | —                   | 56,916                    |  |
| University of Chicago                                       | 93.242      | 30181                        | —                   | 23,124                    |  |
| University of Rochester                                     | 93.242      | 414977-G                     | —                   | 20,332                    |  |
| Trustees of Boston University                               | 93.242      | 76665/RA528935BAJ            | —                   | 67,462                    |  |
| Trustees of Columbia University                             | 93.242      | 527696                       | —                   | 26,851                    |  |
| University of Southern California                           | 93.242      | H40038                       | —                   | 57,361                    |  |
| McLean Hospital Corporation                                 | 93.242      | 5RO1MH07152305               | —                   | 69,525                    |  |
| Social and Scientific Systems Incorporated                  | 93.242      | BRSIMPCTQ0600114T007         | —                   | 33,984                    |  |
| University of Southern California                           | 93.242      | H46585                       | —                   | 118,771                   |  |
| Social and Scientific Systems Incorporated                  | 93.242      | BRSIMPCTS10000012000742      | —                   | 10,288                    |  |
| Social and Scientific Systems Incorporated                  | 93.242      | BRSIMPCTS11000012001048      | —                   | 34,195                    |  |
| Mount Sinai School of Medicine                              | 93.242      | 0255-2543-4609               | —                   | 57,093                    |  |
| University of Illinois at Chicago                           | 93.242      | 1R01MH089830                 | —                   | 50,683                    |  |
| Research Foundation for Mental Hygiene                      | 93.242      | 9031742B PO#95006            | —                   | 66,400                    |  |
| Mount Sinai School of Medicine                              | 93.242      | NA                           | —                   | 7,227                     |  |
| University of Southern California                           | 93.242      | H39738                       | —                   | 158,834                   |  |
| University of California at San Diego                       | 93.242      | 10293040001                  | —                   | 7,380                     |  |
| University of California at San Diego                       | 93.242      | PO10279541003                | —                   | 5,118                     |  |
| Harvard School of Public Health                             | 93.242      | 23590114337                  | —                   | 46,328                    |  |
| Harvard School of Public Health                             | 93.242      | 23590114352 1R01MH08759001   | —                   | 103,616                   |  |
| University of California at San Diego                       | 93.242      | 10300308001                  | —                   | 12,249                    |  |
| University of California at San Diego                       | 93.242      | 10293040002                  | —                   | 27,023                    |  |
| University of California at San Diego                       | 93.242      | 10279541004                  | —                   | 40,785                    |  |
| University of Rochester                                     | 93.242      | PO 413461-G/UR 5-29870       | —                   | 30,759                    | 1,132,304                                      |
| Addictions Care Center of Albany Incorporated               | 93.243      | N/A                          | —                   | 10,529                    | 10,529   |
| University of Cincinnati                                    | 93.262      | 005180                       | —                   | 57,531                    | 57,531   |
| University of Rochester                                     | 93.273      | UR Account 5-29022           | —                   | 13,243                    |  |
| Emory University  | 93.273      | S371735(formerly 5-40860-G1) | —                   | 81,626                    |  |
| University of Mississippi                                   | 93.273      | 66951-01                     | —                   | 12,463                    | 107,332  |
| Skidmore College  | 93.279      | 32135UA                      | —                   | 11,957                    |  |
| University of Maryland                                      | 93.279      | Z016101                      | —                   | 325,656                   |  |
| Dartmouth College   | 93.279      | 862                          | —                   | 33,626                    |  |
| Regents of the University of California, San Francisco      | 93.279      | 5437sc                       | —                   | 79,562                    |  |
| Trustees of the University of Pennsylvania                  | 93.279      | 554671                       | —                   | 145,760                   |  |
| Pacific Institute for Research and Evaluation               | 93.279      | 303018                       | —                   | 48,330                    |  |
| University of Miami   | 93.279      | 66608K                       | —                   | 63,099                    |  |
| University of Miami   | 93.279      | 5P50DA02458404 M161655       | —                   | 191,599                   |  |
| Northern California Institute for Research and Education    | 93.279      | BAT1327b                     | —                   | 5,538                     | 905,127  |
| Health Research Inc   | 93.283      | 14056602                     | —                   | 6,207                     |  |
| Health Research Inc   | 93.283      | 15023150                     | —                   | 35,441                    |  |
| Health Research Inc   | 93.283      | 15043902                     | —                   | 81,918                    |  |
| University of Medicine & Dentistry of New Jersey            | 93.283      | 551789                       | —                   | 7,082                     |  |
| Health Research Inc   | 93.283      | 15043903                     | —                   | 117,852                   |  |
| Health Research Inc   | 93.283      | 3152-04                      | —                   | 518                       |  |
| Health Research Inc   | 93.283      | 003152-05                    | —                   | 13,647                    |  |
| Health Research Inc   | 93.283      | 3152-06                      | —                   | 26,468                    | 289,133  |
| Illinois Institute of Technology                            | 93.286      | SA42404296512                | —                   | 38,291                    |  |
| Washington University St Louis                              | 93.286      | n/a                          | —                   | 28,906                    |  |
| University of Tennessee                                     | 93.286      | UTSI08002                    | —                   | 133,562                   |  |
| Louisiana State University                                  | 93.286      | 54957 R01EB01008701          | —                   | 15,637                    | 216,396  |
| University of Delaware                                      | 93.310      | 24730                        | —                   | 62,910                    |  |
| Board of Trustees of the Leland Stanford Junior University  | 93.310      | 26491520-33465-L             | —                   | 80,184                    | 143,094  |
| Medical Conservation Devices LLC                            | 93.361      | NA                           | —                   | 24,963                    | 24,963   |
| University of Rochester                                     | 93.389      | 415035-G                     | —                   | 5,948                     |  |
| University of Rochester                                     | 93.389      | 415289G                      | —                   | 23,059                    |  |
| University of Rochester                                     | 93.389      | 415359-G                     | —                   | 35,969                    |  |
| Stony Brook Biotechnology                                   | 93.389      | 1R41RR03211201A1             | —                   | 55,086                    |  |
| University of Rochester                                     | 93.389      | 415358G SUL1RR02416005       | —                   | 22,247                    |  |
| Oregon State University                                     | 93.389      | P0274AA                      | —                   | 31,093                    | 173,402  |
| Massachusetts Institute of Technology                       | 93.393      | 5710002095                   | —                   | 80,590                    |  |
| Health Research Inc   | 93.393      | R01CA119358-01               | —                   | 44,671                    |  |
| University of Pennsylvania                                  | 93.393      | 547791                       | —                   | 61,723                    |  |
| Health Research Inc   | 93.393      | 5R01CA11667402               | —                   | 6,186                     |  |
| Health Research Inc   | 93.393      | 55-7704-04                   | —                   | 34,789                    |  |
| University of Utah  | 93.393      | 10001746 PO 0000144038       | —                   | 251,278                   |  |
| Health Research Inc   | 93.393      | 55-0947-03                   | —                   | 10,130                    |  |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor      | CFDA<br>number | Pass-through number          | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|------------------------------|------------------------|----------------------------------|---|
| Henry M Jackson Fdn for Adv of Military Med Inc                  | 93.393         | Subaward No. 661990          | \$ —                   | 1,936                            |   |
| Health Research Inc  | 93.393         | 55-0980-01                   | —                      | 6,397                            |   |
| Health Research Inc  | 93.393         | 55-0975-01                   | —                      | (27,776)                         |   |
| Health Research Inc  | 93.393         | 1R21CA14118701A1             | —                      | 7,234                            |   |
| Health Research Inc  | 93.393         | 55-7901-01                   | —                      | 34,331                           |   |
| Health Research Inc  | 93.393         | 55098901                     | —                      | 102,268                          |   |
| American College of Surgeons Oncology Group                      | 93.393         | SITE 094                     | —                      | 9,061                            |   |
| Eastern Cooperative Oncology Group                               | 93.393         | PSASBUAK00                   | —                      | 204                              |   |
| University of Miami  | 93.393         | 66615E POM155492             | —                      | 18,507                           | 641,529   |
| Health Research Inc  | 93.394         | 55-0894-04                   | —                      | 8,322                            |   |
| Trustees of Columbia University                                  | 93.394         | 2 (Acct. #5-30079)           | —                      | 7,379                            |   |
| Vitax Inc  | 93.394         | 1R44CA14004701               | —                      | 103,684                          |   |
| Advanced BioMedical Machines Incorporated                        | 93.394         | NA                           | —                      | 19,651                           |   |
| Purdue University  | 93.394         | 410238842                    | —                      | 18,335                           |   |
| Memorial Sloan Kettering Cancer Center                           | 93.394         | BD513259                     | —                      | 6,129                            |   |
| Memorial Sloan Kettering Cancer Center                           | 93.394         | BD513795                     | —                      | 7,596                            | 171,096   |
| Cornell University   | 93.395         | 576119120                    | —                      | 181,266                          |   |
| Virginia Polytechnic Institute and State Univ                    | 93.395         | 19191-431438                 | —                      | 1,085                            |   |
| University of Rochester  | 93.395         | 414224-G 5-29070             | —                      | 20,260                           |   |
| Health Research Inc  | 93.395         | 55094101                     | —                      | 93,522                           |   |
| Health Research Inc  | 93.395         | 55-0815-08                   | —                      | 9,070                            |   |
| Health Research Inc  | 93.395         | 55700716                     | —                      | 38,234                           |   |
| Health Research Inc  | 93.395         | 55-0839-06                   | —                      | 7,031                            |   |
| Health Research Inc  | 93.395         | 2R01CA067267-15A2 55-0818-15 | —                      | 47,194                           |   |
| Health Research Inc  | 93.395         | 55090502                     | —                      | 723                              |   |
| Health Research Inc  | 93.395         | 55-0971-01                   | —                      | 11,497                           |   |
| Health Research Inc  | 93.395         | 55-0978-01                   | —                      | 26,958                           |   |
| Health Research Inc  | 93.395         | 55-0523-26                   | —                      | 99,410                           |   |
| Health Research Inc  | 93.395         | 57-0912-08                   | —                      | 59,925                           |   |
| NSABP Foundation Incorporated                                    | 93.395         | PFED25STO01                  | —                      | 9,791                            |   |
| Gynecologic Oncology Group                                       | 93.395         | 02522530 218IRF CTSU 2746970 | —                      | 176,613                          |   |
| NSABP Foundation Incorporated                                    | 93.395         | TFED36 37 38 39-345          | —                      | 105                              |   |
| National Childhood Cancer Foundation                             | 93.395         | 14052 985431158              | —                      | 45,097                           |   |
| National Childhood Cancer Foundation                             | 93.395         | 14052 985431158              | —                      | 6,855                            |   |
| Weill Medical College of Cornell University                      | 93.395         | CN43302WMC08WA7              | —                      | 13,574                           |   |
| Gynecologic Oncology Group                                       | 93.395         | 27469070                     | —                      | 27,422                           |   |
| Chem-Master International Incorporated                           | 93.395         | 2R44CA13239602A1             | —                      | 146,443                          |   |
| Weill Medical College of Cornell University                      | 93.395         | 1N01CN43302WA22              | —                      | 144,960                          |   |
| Gynecologic Oncology Group                                       | 93.395         | 27469056                     | —                      | 46,666                           |   |
| Frontier Science and Technology Research Foundation Incorporated | 93.395         | PSASUDWS00 CA21115           | —                      | 194                              |   |
| University of Chicago  | 93.395         | CA31946                      | —                      | 5,076                            |   |
| American College of Surgeons Oncology Group                      | 93.395         | 309                          | —                      | 5,140                            |   |
| University of Chicago  | 93.395         | N/A                          | —                      | 83,748                           |   |
| National Childhood Cancer Foundation                             | 93.395         | 19578                        | —                      | 444                              |   |
| National Childhood Cancer Foundation                             | 93.395         | 19578                        | —                      | 29,505                           |   |
| University of Chicago  | 93.395         | RESCINDED                    | —                      | —                                |   |
| National Childhood Cancer Foundation                             | 93.395         | 19900                        | —                      | 7,124                            |   |
| West Virginia University   | 93.395         | 10376SUNY 1D43CA153707       | —                      | 70,458                           |   |
| Brigham and Womens Hospital                                      | 93.395         | 7U10CA03194629 105562        | —                      | 47,637                           | 1,463,027   |
| Albert Einstein College of Medicine                              | 93.396         | 95262969                     | —                      | (3,444)                          |   |
| Albert Einstein College of Medicine                              | 93.396         | 95263574                     | —                      | 29,949                           |   |
| Albert Einstein College of Medicine                              | 93.396         | 95263574                     | —                      | 111,033                          |   |
| Health Research Inc  | 93.396         | 55094801                     | —                      | 3,193                            |   |
| Health Research Inc  | 93.396         | 55096301                     | —                      | 4,978                            |   |
| Health Research Inc  | 93.396         | 57-0983-06                   | —                      | 21,923                           |   |
| Advanced BioMedical Machines Incorporated                        | 93.396         | NA                           | —                      | 37,237                           | 204,869   |
| Health Research Inc  | 93.397         | P30CA016056-32               | —                      | 302,329                          |   |
| Cornell University   | 93.397         | 58407-9121                   | —                      | 77,797                           |   |
| Health Research Inc  | 93.397         | 55-7755-01                   | —                      | 27,287                           |   |
| Health Research Inc  | 93.397         | 55-7753-01                   | —                      | 5,077                            | 412,490   |
| Southwest Oncology Group   | 93.399         | CA37429                      | —                      | 108,106                          |   |
| American College of Radiology                                    | 93.399         | NA                           | —                      | 1,102                            |   |
| Southwest Oncology Group   | 93.399         | CA37429                      | —                      | (1,466)                          |   |
| Natl Surgical Adj for Breast Bowel Cancer                        | 93.399         | PFED25USY01                  | —                      | 17,172                           |   |
| Natl Surgical Adj for Breast Bowel Cancer                        | 93.399         | N/A                          | —                      | 893                              | 125,807   |
| NYS Office of Children and Family Services                       | 93.558         | C002264                      | —                      | 342,209                          |   |
| NYS Office of Children and Family Services                       | 93.558         | C003076                      | —                      | 570,600                          | 912,809   |
| Weill Medical College of Cornell University                      | 93.583         | 223 5U01NS5032403            | —                      | 124                              | 124   |
| NYS Office of Children and Family Services                       | 93.590         | C002228                      | —                      | 3,061                            |   |
| NYS Office of Children and Family Services                       | 93.590         | C003035                      | —                      | 117,100                          | 120,161   |
| Syracuse University  | 93.630         | 25011 02739 SO1              | —                      | 6,840                            | 6,840   |
| University of Southern Maine                                     | 93.652         | UMS0663770042060100016481122 | —                      | 6,727                            | 6,727   |
| Brigham and Womens Hospital                                      | 93.704         | n/a                          | —                      | 9,232                            |   |
| Brigham and Womens Hospital                                      | 93.704         | 106458                       | —                      | 60,911                           | 70,143  |
| New England Research Institute                                   | 93.837         | N/A                          | —                      | 10,698                           |   |
| University of Iowa   | 93.837         | W000154011                   | —                      | 7,270                            |   |
| University of Iowa   | 93.837         | 1000831238                   | —                      | 24,739                           |   |
| University of Iowa   | 93.837         | 1000894731                   | —                      | 5,554                            |   |
| Rhode Island Hospital  | 93.837         | U01HL077221                  | —                      | 106                              |   |
| University of Rochester  | 93.837         | 529437                       | —                      | 2,088                            |   |
| University of California Berkeley                                | 93.837         | SA550321628                  | —                      | 23,400                           |   |
| University of Toledo   | 93.837         | IDEG040181                   | —                      | 89                               |   |
| Columbia University  | 93.837         | HL67101                      | —                      | 126,913                          |   |
| Wake Forest University   | 93.837         | N01WH44221                   | —                      | 140                              |   |
| Wake Forest University   | 93.837         | N01WH44221                   | —                      | 5,315                            |   |
| Columbia University  | 93.837         | 537766                       | —                      | 197,017                          |   |
| Columbia University  | 93.837         | 538301                       | —                      | 995                              |   |
| Columbia University  | 93.837         | 586636                       | —                      | 124,023                          |   |
| Columbia University  | 93.837         | 586630                       | —                      | 501,224                          |   |
| Trustees of the University of Pennsylvania                       | 93.837         | 548973/2611337               | —                      | 89,527                           |   |
| Columbia University  | 93.837         | P01HL047540                  | —                      | 85,799                           |   |
| Columbia University  | 93.837         | 1 579819                     | —                      | 1,180                            |   |
| Columbia University  | 93.837         | NA                           | —                      | 5,842                            |   |
| Columbia University  | 93.837         | NA                           | —                      | 22,190                           |   |
| Albert Einstein College of Medicine                              | 93.837         | 95262529                     | —                      | 39,760                           |   |

**THE RESEARCH FOUNDATION OF  
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Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| <u>Federal grantor/federal subdivision or pass-through grantor</u>      | <u>CFDA number</u> | <u>Pass-through number</u>     | <u>Direct expenditures</u> | <u>Pass-through expenditures</u> | <u>Total expenditures by CFDA and Federal grantor</u> |
|---|--------------------|--------------------------------|----------------------------|----------------------------------|---|
| Provid Pharmaceuticals Incorporated                                     | 93.837             | Grant Number:1R43HL103037-01   | \$                         | —                                | 35,086  |
| New England Research Institute  | 93.837             | TOPCAT1006                     | —                          | —                                | 1,617   |
| University of Michigan  | 93.837             | 3001128195                     | —                          | —                                | 250,396   |
| Transonic System Incorporated   | 93.837             | 2R44HL08202202                 | —                          | —                                | 11,072  |
| Albert Einstein College of Medicine                                     | 93.837             | 95263899                       | —                          | —                                | 87,650  |
| University of Chicago   | 93.837             | R01HL059199 44709              | —                          | —                                | 49,360  |
| University of Rochester   | 93.837             | 451288G 5R21HL09280103         | —                          | —                                | 168,710   |
| Northwestern University   | 93.838             | 0600 370 Q218 1327             | —                          | —                                | 29,896  |
| Regents of the University of California, San Francisco                  | 93.838             | 5913sc                         | —                          | —                                | 44,634  |
| Northwestern University   | 93.838             | 60026866 RF SUNY               | —                          | —                                | 90,503  |
| University of Rochester   | 93.838             | 415362-G                       | —                          | —                                | 49,214  |
| Regents of the University of Colorado                                   | 93.838             | FY11.102.002                   | —                          | —                                | 15,955  |
| Johns Hopkins University  | 93.838             | PO2001123424                   | —                          | —                                | 42,429  |
| Johns Hopkins University  | 93.838             | PO2001124561                   | —                          | —                                | 41,364  |
| University of Rochester   | 93.838             | 415459-G/ 5-26026              | —                          | —                                | 15,839  |
| Regents of the University of California                                 | 93.838             | 5912sc                         | —                          | —                                | 3,806   |
| Regents of the University of California                                 | 93.838             | 5912sc                         | —                          | —                                | 9,770   |
| Regents of the University of California                                 | 93.838             | na                             | —                          | —                                | 2,520   |
| Columbia Presbyterian Medical Center                                    | 93.838             | ACCORD                         | —                          | —                                | 83,648  |
| University of Pittsburgh  | 93.838             | 0001933 114362-6               | —                          | —                                | 2,041   |
| Henry Ford Health System  | 93.838             | R01HL09257603                  | —                          | —                                | 103,062   |
| University of Michigan  | 93.838             | 3001128187                     | —                          | —                                | 25,334  |
| Fred Hutchinson Cancer Research Center                                  | 93.839             | 0000683987                     | —                          | —                                | 30,084  |
| Saint Louis University  | 93.839             | 1-R01HL101917-01               | —                          | —                                | 104,764   |
| Fred Hutchinson Cancer Research Center                                  | 93.839             | 0000704275                     | —                          | —                                | 26,777  |
| Saint Judes Childrens Research Hospital                                 | 93.839             | Patient Care costs             | —                          | —                                | 657   |
| Saint Judes Childrens Research Hospital                                 | 93.839             | 111270050-7348403              | —                          | —                                | 17,616  |
| Saint Judes Childrens Research Hospital                                 | 93.839             | 111270051-7402353              | —                          | —                                | 16,913  |
| University of Rochester   | 93.846             | PO# 414067- 001-G              | —                          | —                                | 18,596  |
| University of Washington  | 93.846             | Subaward 514465                | —                          | —                                | 4,255   |
| Neomatrix   | 93.846             | NA                             | —                          | —                                | 65  |
| New York University School of Medicine                                  | 93.846             | 06-0181                        | —                          | —                                | 6,613   |
| Medical University of South Carolina                                    | 93.846             | MUSCO8128                      | —                          | —                                | 41,064  |
| Rensselaer Polytechnic Institute  | 93.847             | A12224                         | —                          | —                                | 71,125  |
| Oregon Research Institute   | 93.847             | 1 R01 DK080760                 | —                          | —                                | 52,555  |
| Children's Hospital of Philadelphia                                     | 93.847             | 950805RSUB #320786             | —                          | —                                | 34,957  |
| George Washington University  | 93.847             | 08D08                          | —                          | —                                | (6,430)   |
| George Washington University  | 93.847             | 10D08                          | —                          | —                                | 260,731   |
| George Washington University  | 93.847             | NA                             | —                          | —                                | 68,038  |
| Duke University   | 93.849             | 06SCNIH1046                    | —                          | —                                | 9,026   |
| Brigham and Womens Hospital   | 93.853             | 105111                         | —                          | —                                | 16,091  |
| Skybridge Pharmaceuticals Incorporated                                  | 93.853             | SBIR Sub 1R43NS64706-01        | —                          | —                                | 18,113  |
| University of Medicine & Dentistry of New Jersey                        | 93.853             | 99-705                         | —                          | —                                | 14,620  |
| Cincinnati Childrens Hospital Research Foundation                       | 93.853             | CHMC 504 - 100089              | —                          | —                                | 5,136   |
| Mayo Clinic Rochester Minnesota   | 93.853             | SWISS Ferguson                 | —                          | —                                | 569   |
| Columbia University   | 93.853             | 7U01NS04397507                 | —                          | —                                | 57,182  |
| University of Miami   | 93.853             | M121189                        | —                          | —                                | 32,760  |
| Mayo Clinic Jacksonville  | 93.853             | Swiss                          | —                          | —                                | 1,055   |
| Lasmed LLC  | 93.853             | Prime2R44NS04695102            | —                          | —                                | (5,930)   |
| Medical University of South Carolina                                    | 93.853             | MUSCO8-140                     | —                          | —                                | 124,312   |
| Yale University   | 93.853             | A07223 (M09A10103)             | —                          | —                                | 9,596   |
| University of Southern California                                       | 93.853             | H41008                         | —                          | —                                | 860   |
| University of British Columbia  | 93.853             | F09-04855                      | —                          | —                                | 26,944  |
| Washington University   | 93.853             | WU-10-251                      | —                          | —                                | 6,987   |
| Yale University   | 93.853             | A07593 (M10A10547)             | —                          | —                                | 17,784  |
| Meharry Medical College   | 93.853             | 100223HK035                    | —                          | —                                | 148,736   |
| Regents of the University of California, San Francisco                  | 93.853             | 5845sc                         | —                          | —                                | 4,391   |
| Medical University of South Carolina                                    | 93.853             | MUSCO8110                      | —                          | —                                | 14,316  |
| Medical University of South Carolina                                    | 93.853             | MUSCO09-057                    | —                          | —                                | 67,206  |
| Population Diagnostics  | 93.853             | NA                             | —                          | —                                | 81,808  |
| Photon Migration Technologies Corporation                               | 93.853             | 2R44NS049734-02                | —                          | —                                | 32,503  |
| Weill Medical College of Cornell University                             | 93.853             | 135 5U01NS05032404             | —                          | —                                | 1,512   |
| University of California at Los Angeles                                 | 93.853             | 1580GNB752 4441437JS29167      | —                          | —                                | 21,187  |
| Mount Sinai School of Medicine  | 93.853             | 1U01NS045719                   | —                          | —                                | 9,822   |
| Massachusetts General Hospital  | 93.853             | 5U01NS049640                   | —                          | —                                | 113,749   |
| Massachusetts General Hospital  | 93.853             | U01 NS04964005                 | —                          | —                                | 7,933   |
| University of Cincinnati  | 93.853             | 5U01NS05222004                 | —                          | —                                | 21,282  |
| University of Cincinnati  | 93.853             | 5U01NS0522205 COEUS003525      | —                          | —                                | 21,616  |
| Transonic System Incorporated   | 93.853             | 5R44NS04968003                 | —                          | —                                | 39,254  |
| Massachusetts General Hospital  | 93.853             | 219314 U01NS05259205           | —                          | —                                | 60,136  |
| Massachusetts General Hospital  | 93.853             | U01NS04964006 216785           | —                          | —                                | 640,239   |
| University of California at San Francisco                               | 93.853             | U01NS058634 6163sc             | —                          | —                                | 40,313  |
| University of Pittsburgh  | 93.855             | 0000898                        | —                          | —                                | 45,998  |
| Monash University   | 93.855             | R01AI079330-01                 | —                          | —                                | 260,402   |
| Duke University   | 93.855             | 147692                         | —                          | —                                | 53,707  |
| Social and Scientific Systems Incorporated                              | 93.855             | BRS-ACURE-Q-06-00140-T004      | —                          | —                                | 247,308   |
| Los Angeles Biomedical Research Institute at Harbor-UCLA Medical Center | 93.855             | 111000-06-01                   | —                          | —                                | 5,676   |
| University of Rochester   | 93.855             | 415145-G                       | —                          | —                                | 22,486  |
| University of Massachusetts Worcester                                   | 93.855             | 6119734/RFS2011010             | —                          | —                                | 70,418  |
| Los Angeles Biomedical Research Institute at Harbor-UCLA Medical Center | 93.855             | Project: 011000-07; PO#2031060 | —                          | —                                | 21,079  |
| Stanford University   | 93.855             | 25973560-140-A                 | —                          | —                                | 65,775  |
| University of Rochester   | 93.855             | 415316-G                       | —                          | —                                | 240,557   |
| Social and Scientific Systems Incorporated                              | 93.855             | BRS-ACURE-Q-06-00140-T006      | —                          | —                                | 11,897  |
| University of Rochester   | 93.855             | 415282G                        | —                          | —                                | 25,398  |
| University of Rochester   | 93.855             | 415378G                        | —                          | —                                | 25,040  |
| University of Pittsburgh  | 93.855             | 0017471 118010-1               | —                          | —                                | 45,887  |
| University of Texas Southwestern Medical Center at Dallas               | 93.855             | GMO111201                      | —                          | —                                | 54,834  |
| Social and Scientific Systems Incorporated                              | 93.855             | BRS-ACURE-S-11-000039-001225   | —                          | —                                | 10,462  |
| Social and Scientific Systems Incorporated                              | 93.855             | TBN                            | —                          | —                                | 2,082   |
| Brookhaven Science Associates LLC                                       | 93.855             | 78364                          | —                          | —                                | (751)   |
| Saint Louis University  | 93.855             | N01AI45250                     | —                          | —                                | 421   |
| Social and Scientific Systems Incorporated                              | 93.855             | BRSIMPCTQ0600114T002           | —                          | —                                | 4,634   |
| Social and Scientific Systems Incorporated                              | 93.855             | BRSIMPCTQ0600114T001001        | —                          | —                                | 166,101   |
| Columbia University   | 93.855             | 537761                         | —                          | —                                | (1,092)   |
| Regents of the University of California                                 | 93.855             | 07000751SUNYSB                 | —                          | —                                | 91,859  |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor   | CFDA number | Pass-through number            | Direct expenditures | Pass-through expenditures | Total expenditures by CFDA and Federal grantor |
|---|-------------|--------------------------------|---------------------|---------------------------|--|
| Columbia University   | 93.855      | 537762                         | \$ —                | —                         | 227,859  |
| Parexel International Corporation   | 93.855      | DAS181201                      | —                   | —                         | (5,999)  |
| Albert Einstein College of Medicine   | 93.855      | 95264885                       | —                   | —                         | 139,187  |
| NexBio Incorporated   | 93.855      | DASA181203                     | —                   | —                         | 2,500  |
| Columbia University   | 93.855      | 537762                         | —                   | —                         | 68,304   |
| Brigham and Womens Hospital   | 93.855      | 104684                         | —                   | —                         | 190,769  |
| University of Massachusetts Worcester   | 93.855      | 5P01AI034533176119796RFS201101 | —                   | —                         | 73,149   |
| Social and Scientific Systems Incorporated  | 93.856      | BRS ACURE Q 06 00140 T001      | —                   | —                         | 337,780  |
| Colorado State University   | 93.856      | G78131                         | —                   | —                         | 120,180  |
| Colorado State University   | 93.856      | G78131                         | —                   | —                         | 30,261   |
| Saint Louis University  | 93.856      | N/A                            | —                   | —                         | 45,678   |
| Regents of the University of California   | 93.859      | 6914226                        | —                   | —                         | 23,120   |
| Regents of the University of California   | 93.859      | 6914226                        | —                   | —                         | 22,099   |
| Brigham and Womens Hospital   | 93.859      | 106823                         | —                   | —                         | 17,216   |
| Albany Medical College  | 93.859      | 5R01GM09032507                 | —                   | —                         | 11,195   |
| University of Arkansas  | 93.859      | ARIA 31078                     | —                   | —                         | 19,966   |
| Ohio State University Research Foundation   | 93.859      | RF01098313                     | —                   | —                         | 35,671   |
| University of Illinois Urbana Champaign   | 93.859      | 20080169801                    | —                   | —                         | 181,070  |
| Rutgers University  | 93.859      | 00003823                       | —                   | —                         | 42,860   |
| Massachusetts Institute of Technology   | 93.859      | 5710002606                     | —                   | —                         | 162,686  |
| University of Delaware  | 93.859      | 20511                          | —                   | —                         | 39,873   |
| Hauptman Woodward Medical Research Institute Inc  | 93.859      | 6200                           | —                   | —                         | 83,178   |
| Rutgers University  | 93.859      | S1408938                       | —                   | —                         | 376,140  |
| Q Chem, Inc   | 93.859      | R44GM081928-02                 | —                   | —                         | 37,394   |
| Scripps Research Institute  | 93.859      | 5-21779                        | —                   | —                         | 55,902   |
| Rutgers University  | 93.859      | S1479920                       | —                   | —                         | 20,283   |
| Q Chem, Inc   | 93.859      | 2R44GM084555-02                | —                   | —                         | 11,863   |
| University of Connecticut   | 93.859      | 100276                         | —                   | —                         | 1,974  |
| Regents of the University of California   | 93.859      | 6814817                        | —                   | —                         | 113,131  |
| University of California at Davis   | 93.859      | SUB06002896SBAMD1              | —                   | —                         | 66,421   |
| University of Chicago   | 93.859      | 38083                          | —                   | —                         | 5,802  |
| Nanoprobes Incorporated   | 93.859      | 1R43EB00862101A2               | —                   | —                         | 452  |
| University of Washington  | 93.859      | 662223                         | —                   | —                         | 38,790   |
| Mount Sinai School of Medicine  | 93.859      | 025477134609                   | —                   | —                         | 36,270   |
| Mount Sinai School of Medicine  | 93.859      | 025477534609                   | —                   | —                         | 25,740   |
| Mount Sinai School of Medicine  | 93.859      | 025477734609                   | —                   | —                         | 35,005   |
| University of Pittsburgh  | 93.859      | 0012097                        | —                   | —                         | 24,335   |
| RES Group Inc   | 93.859      | 1R41GM09051301                 | —                   | —                         | 16,451   |
| Bowling Green State University  | 93.859      | 103800975UNYSB                 | —                   | —                         | 96,872   |
| Mount Sinai School of Medicine  | 93.859      | 025477744609                   | —                   | —                         | 67,160   |
| Mount Sinai School of Medicine  | 93.859      | 025477544609                   | —                   | —                         | 52,877   |
| Mount Sinai School of Medicine  | 93.859      | 025477144609                   | —                   | —                         | 48,951   |
| University of Pittsburgh  | 93.859      | 0012097 118026-4               | —                   | —                         | 42,062   |
| Mount Sinai School of Medicine  | 93.859      | 025500624609                   | —                   | —                         | 7,469  |
| University of Texas at Austin   | 93.864      | UTA09-001175                   | —                   | —                         | 32,621   |
| InvoTek Incorporated  | 93.865      | N/A                            | —                   | —                         | 16,139   |
| Georgia State University  | 93.865      | SP00010461                     | —                   | —                         | 71,286   |
| Harvard School of Public Health   | 93.865      | SU01HD05210204                 | —                   | —                         | 612  |
| University of Alabama Birmingham  | 93.865      | 249533T1005140065              | —                   | —                         | 49,776   |
| Oregon Health & Science University  | 93.865      | GCOLL0275A                     | —                   | —                         | 127,601  |
| New York University   | 93.865      | F607707/UW408786               | —                   | —                         | 17,036   |
| Harvard University  | 93.865      | SMARTT Grant No: HD052102-05   | —                   | —                         | 117,986  |
| Harvard University  | 93.865      | 114074.0676                    | —                   | —                         | 593,728  |
| University of Michigan  | 93.866      | 3000728195                     | —                   | —                         | 30,841   |
| Albany Medical College  | 93.866      | SC0906002                      | —                   | —                         | 27,514   |
| University of California at San Francisco   | 93.866      | 5992SC                         | —                   | —                         | 10,410   |
| Regents of the University of California, San Francisco  | 93.866      | 5993sc                         | —                   | —                         | 104,043  |
| Hebrew Rehabilitation Center for the Aged   | 93.866      | 5R01AG02548903                 | —                   | —                         | 21,836   |
| Duke University   | 93.866      | HHSN260200500010C              | —                   | —                         | 32,283   |
| University of Rochester   | 93.866      | 415142G                        | —                   | —                         | 10,444   |
| Judge Baker Childrens Center  | 93.866      | NA                             | —                   | —                         | 94,171   |
| Trustees of Princeton University  | 93.866      | 00001792                       | —                   | —                         | 118,623  |
| Oregon Health & Science University  | 93.866      | ANEUR0558A                     | —                   | —                         | 11,081   |
| Board of Regents of the University of Wisconsin System  | 93.866      | 269K964                        | —                   | —                         | 55,168   |
| Columbia University   | 93.866      | 1(Acct #5-35062)               | —                   | —                         | 10,920   |
| Board of Regents of the University of Oklahoma Health Sciences Center                                 | 93.867      | RS20091440-01                  | —                   | —                         | 13,135   |
| Emmes Corporation   | 93.867      | SITE 045 HHSN260200500007C     | —                   | —                         | 10,435   |
| Mount Sinai School of Medicine  | 93.867      | 0255-5081-4609                 | —                   | —                         | 100,400  |
| Mount Sinai School of Medicine  | 93.867      | 0255-5081-4609                 | —                   | —                         | 21,381   |
| St Lukes Roosevelt Institute for Health Science   | 93.867      | NORDIC01                       | —                   | —                         | 2,505  |
| Board of Regents of the University of Oklahoma Health Sciences Center                                 | 93.867      | RS006234802                    | —                   | —                         | 48,412   |
| Indiana University  | 93.867      | IUB4635527SUNY                 | —                   | —                         | 74,814   |
| University of Illinois at Chicago   | 93.879      | Sub Under 1R01LM01081701       | —                   | —                         | 23,768   |
| New York University School of Medicine  | 93.879      | N/A                            | —                   | —                         | 14,835   |
| New York University School of Medicine  | 93.879      | NA                             | —                   | —                         | 14,949   |
| Hunters Hope Foundation   | 93.888      | na                             | —                   | —                         | 198,147  |
| Erie County Medical Center  | 93.917      | N/A                            | —                   | —                         | 35,031   |
| Erie County Medical Center  | 93.917      | NA                             | —                   | —                         | 8,750  |
| Health Research Inc   | 93.917      | 357404                         | —                   | —                         | 122,901  |
| Health Research Inc   | 93.917      | 357405                         | —                   | —                         | 32,235   |
| Health Research Inc   | 93.994      | 14046201                       | —                   | —                         | 227,394  |
| <b>Total Department of Health and Human Services</b>  |             |                                | <b>202,463,114</b>  | <b>25,405,837</b>         | <b>227,868,951</b>                             |
| Corporation for National and Community Service:<br>Research Foundation of City University of New York | 94.007      | 498530001A                     | —                   | 380                       | 380  |
| <b>Total Corporation for National and Community Service</b>   |             |                                | <b>—</b>            | <b>380</b>                | <b>380</b>                                     |
| Social Security Administration:<br>Regents of the University of Michigan                              | 96.007      | 3001657985UM1107               | —                   | 24,126                    | 24,126   |
| <b>Total Social Security Administration</b>   |             |                                | <b>—</b>            | <b>24,126</b>             | <b>24,126</b>                                  |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**  
Schedule of Expenditures of Federal Awards  
Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor | CFDA<br>number | Pass-through number | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|---|----------------|---------------------|------------------------|----------------------------------|---|
| Department of Homeland Security:                            |                |                     |                        |                                  |   |
| Department of Homeland Security                             | 97.000         | —                   | \$ 396,190             | —                                | 396,190   |
| University of Maryland                                      | 97.061         | Z930121             | —                      | 53,550                           |   |
| University of Maryland                                      | 97.061         | Z941302             | —                      | 17,228                           |   |
| University of Southern California                           | 97.061         | 152401              | —                      | 6,779                            |   |
| University of Maryland                                      | 97.061         | Z930301             | —                      | 24,742                           | 102,299   |
| Syracuse University   | 97.065         | 23912-02161-SO1     | —                      | 102,992                          | 102,992   |
| Total Department of Homeland Security                       |                |                     | 396,190                | 205,291                          | 601,481   |
| Agency for International Development:                       |                |                     |                        |                                  |   |
| National Academy of Sciences                                | 98.001         | PGAP281491          | —                      | 50,106                           |   |
| Higher Education for Development                            | 98.001         | EPPA00090000500     | —                      | 64,480                           | 114,586   |
| Total Agency for International Development                  |                |                     | —                      | 114,586                          | 114,586   |
| Total Research and Development Cluster                      |                |                     | 321,423,429            | 52,608,183                       | 374,031,612   |
| Other Programs:   |                |                     |                        |                                  |   |
| Department of Agriculture:                                  |                |                     |                        |                                  |   |
| Higher Education Multicultural Scholars Program             | 10.220         | —                   | 27,000                 | —                                | 27,000  |
| NYS Office of Children and Family Services                  | 10.551         | C02267              | —                      | 211,713                          |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | C002233             | —                      | 474,072                          |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | C002224             | —                      | 510,084                          |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | C002226             | —                      | 238,900                          |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | C002231             | —                      | 1,140,427                        |   |
| NYS Office of Children and Family Services                  | 10.551         | C002281             | —                      | 33,671                           |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | N/A                 | —                      | 99,601                           |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | C003065             | —                      | 677,562                          |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | C003071             | —                      | 358,102                          |   |
| NYS Office of Children and Family Services                  | 10.551         | C003087             | —                      | 26,393                           |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | C003070             | —                      | 294,739                          |   |
| NYS Office of Children and Family Services                  | 10.551         | C003085             | —                      | 88,153                           |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | C003069             | —                      | 31,639                           |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | N/A                 | —                      | 4,453                            |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | N/A                 | —                      | 60,914                           |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | 261                              |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | 2,213                            |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | (217)                            |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | (24)                             |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | (1,852)                          |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | (412)                            |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | (840)                            |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | N/A                 | —                      | 9,798                            |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | N/A                 | —                      | 25,005                           |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | 27,867                           |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | 49,081                           |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | 2,773                            |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | 27,231                           |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | NA                  | —                      | 452,023                          |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | NA                  | —                      | 1,208,671                        |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | 21,256                           |   |
| NYS Office of Children and Family Services                  | 10.551         | N/A                 | —                      | 41,223                           |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | NA                  | —                      | 368,690                          |   |
| NYS Office of Temporary & Disability Assistance             | 10.551         | NA                  | —                      | 991,696                          |   |
| NYS Office of Children and Family Services                  | 10.551         | C025768             | —                      | 200                              |   |
| NYS Office of Children and Family Services                  | 10.551         | C025999             | —                      | 18,238                           |   |
| NYS Office of Children and Family Services                  | 10.551         | C026267             | —                      | 9,966                            | 7,503,270   |
| NYS Department of Health                                    | 10.557         | C025788             | —                      | 380,100                          |   |
| NYS Department of Health                                    | 10.557         | C025788             | —                      | 721,242                          | 1,101,342   |
| NYS Office of Temporary & Disability Assistance             | 10.561         | C002227             | —                      | 159,269                          |   |
| NYS Office of Temporary & Disability Assistance             | 10.561         | C003068             | —                      | 108,886                          | 268,155   |
| Total Department of Agriculture                             |                |                     | 27,000                 | 8,872,767                        | 8,899,767   |
| Department of Commerce:                                     |                |                     |                        |                                  |   |
| Consortium for Ocean Leadership                             | 11.011         | SA1014              | —                      | 14,961                           | 14,961  |
| Measures and Analyses of the U.S. Economy                   | 11.025         | —                   | 6,399                  | —                                | 6,399   |
| Trade Adjustment Assistance for Firms                       | 11.313         | —                   | 1,135,759              | —                                | 1,135,759   |
| Sea Grant Support   | 11.417         | —                   | 30,760                 | —                                | 30,760  |
| Coastal Zone Management Estuarine Research Reserves         | 11.420         | —                   | 20,212                 | —                                |   |
| Coastal Zone Management Estuarine Research Reserves         | 11.420         | —                   | 19,233                 | —                                |   |
| Coastal Zone Management Estuarine Research Reserves         | 11.420         | —                   | 15,925                 | —                                | 55,370  |
| Measurement and Engineering Research and Standards          | 11.609         | —                   | 2,864                  | —                                |   |
| Measurement and Engineering Research and Standards          | 11.609         | —                   | 4,271                  | —                                |   |
| Measurement and Engineering Research and Standards          | 11.609         | —                   | 2,864                  | —                                |   |
| Measurement and Engineering Research and Standards          | 11.609         | —                   | 8,736                  | —                                | 18,735  |
| Total Department of Commerce                                |                |                     | 1,247,023              | 14,961                           | 1,261,984   |
| Department of Defense:                                      |                |                     |                        |                                  |   |
| Analytic Services Incorporated (ANSER)                      | 12.114         | 10381               | —                      | 419,516                          | 419,516   |
| Academy of Applied Sciences                                 | 12.300         | 0950 0951           | —                      | 737                              |   |
| Academy of Applied Sciences                                 | 12.300         | 0949                | —                      | 111                              |   |
| Academy of Applied Sciences                                 | 12.300         | 0948                | —                      | 1,069                            |   |
| Academy of Applied Sciences                                 | 12.300         | 09108109110         | —                      | 2,222                            |   |
| Academy of Applied Sciences                                 | 12.300         | W911NF0410001       | —                      | 4,207                            |   |
| Academy of Applied Sciences                                 | 12.300         | W911NF0410226       | —                      | 2,600                            |   |
| Academy of Applied Sciences                                 | 12.300         | 1039 1077           | —                      | 6,060                            | 17,006  |
| Military Medical Research and Development                   | 12.420         | —                   | 81,636                 | —                                |   |
| Military Medical Research and Development                   | 12.420         | —                   | 13,922                 | —                                |   |
| Military Medical Research and Development                   | 12.420         | —                   | 18,755                 | —                                |   |
| Military Medical Research and Development                   | 12.420         | —                   | 41,301                 | —                                |   |
| Military Medical Research and Development                   | 12.420         | —                   | 75,718                 | —                                |   |
| Military Medical Research and Development                   | 12.420         | —                   | 32,526                 | —                                |   |
| Military Medical Research and Development                   | 12.420         | —                   | 27,774                 | —                                | 291,632   |
| Academy of Applied Sciences                                 | 12.431         | N/A                 | —                      | 162                              |   |
| Academy of Applied Sciences                                 | 12.431         | N/A                 | —                      | 12,730                           | 12,892  |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor  | CFDA<br>number | Pass-through number          | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|------------------------------|------------------------|----------------------------------|---|
| Academy of Applied Sciences  | 12.630         | W911NF1020076                | \$ —                   | 8,799                            |   |
| Basic, Applied, and Advanced Research in Science and Engineering                                     | 12.630         | —                            | 7,902                  | —                                | 16,701  |
| Air Force Defense Research Sciences Program  | 12.800         | —                            | 7,500                  | —                                | 7,500   |
| Mathematical Sciences Grants Program   | 12.901         | —                            | 11,036                 | —                                | 11,036  |
| Total Department of Defense  |                |                              | 318,070                | 458,213                          | 776,283   |
| Department of Housing and Urban Development:   |                |                              |                        |                                  |   |
| Nassau County  | 14.000         | N/A                          | —                      | 4,252                            | 4,252   |
| Economic Development Initiative-Special Project, Neighborhood Initiative<br>and Miscellaneous Grants | 14.251         | —                            | 22,333                 | —                                |   |
| Economic Development Initiative-Special Project, Neighborhood Initiative<br>and Miscellaneous Grants | 14.251         | —                            | 11,167                 | —                                | 33,500  |
| Total Department of Housing and Urban Development  |                |                              | 33,500                 | 4,252                            | 37,752  |
| Department of the Interior:  |                |                              |                        |                                  |   |
| National Fish and Wildlife Foundation  | 15.608         | 20100074015                  | —                      | 18,338                           |   |
| Town of New Paltz Historic Preservation Commission   | 15.904         | N/A                          | —                      | 5,183                            | 23,521  |
| Total Department of the Interior   |                |                              | —                      | 23,521                           | 23,521  |
| Department of Justice:   |                |                              |                        |                                  |   |
| Violence Against Women Act Court Training and Improvement Grants                                     | 16.013         | —                            | 128,131                | —                                | 128,131   |
| Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and<br>Stalking on Campus       | 16.525         | —                            | 78,801                 | —                                |   |
| Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and<br>Stalking on Campus       | 16.525         | —                            | 82,147                 | —                                | 160,948   |
| National Institute of Justice Research, Evaluation, and Development Project Grants                   | 16.560         | —                            | 22,101                 | —                                |   |
| National Institute of Justice Research, Evaluation, and Development Project Grants                   | 16.560         | —                            | 15,604                 | —                                |   |
| Syracuse University  | 16.560         | 2375002354SO1                | —                      | 25,239                           | 62,944  |
| New York State Coalition Against Sexual Assault  | 16.575         | N/A                          | —                      | 1,003                            |   |
| New York State Coalition Against Sexual Assault  | 16.575         | N/A                          | —                      | 4,759                            | 5,762   |
| Center for Problem Oriented Policing   | 16.710         | n/a                          | —                      | 11,985                           |   |
| Center for Problem Oriented Policing   | 16.710         | n/a                          | —                      | 10,510                           | 22,495  |
| Total Department of Justice  |                |                              | 326,784                | 53,496                           | 380,280   |
| Department of Labor:   |                |                              |                        |                                  |   |
| Workforce Investment Board   | 17.258         | Q37 ETWT001                  | —                      | 38,739                           |   |
| CNY Works Incorporated   | 17.258         | S242                         | —                      | 142,216                          | 180,955   |
| GLOW Workforce Investment Board  | 17.259         | N/A                          | —                      | 5,007                            |   |
| GLOW Workforce Investment Board  | 17.259         | PY2010-GLOW-1                | —                      | 12,051                           | 17,058  |
| WIA Pilots, Demonstrations, and Research Projects  | 17.261         | —                            | 543                    | —                                | 543   |
| Chemung Schulyer Steuben Workforce New York (CSSWFNY)  | 17.266         | n/a                          | —                      | 36,512                           | 36,512  |
| Community Based Job Training Grants  | 17.269         | —                            | 74,263                 | —                                |   |
| Community Based Job Training Grants  | 17.269         | —                            | 894,564                | —                                |   |
| Communication Incorporated   | 17.269         | N/A                          | —                      | 21,500                           |   |
| Hudson Valley Community College  | 17.269         | CB 18229-09-60-A-36          | —                      | 10,374                           | 1,000,701   |
| Total Department of Labor  |                |                              | 969,370                | 266,399                          | 1,235,769   |
| Department of State:   |                |                              |                        |                                  |   |
| Department of State  | 19.000         | —                            | 17,093                 | —                                |   |
| Department of State  | 19.000         | —                            | 2,273                  | —                                |   |
| Department of State  | 19.000         | —                            | 1,762                  | —                                |   |
| Georgetown University  | 19.000         | SUNYCOBRX205090810L          | —                      | 16,604                           | 37,732  |
| Total Department of State  |                |                              | 21,128                 | 16,604                           | 37,732  |
| Department of Transportation:  |                |                              |                        |                                  |   |
| NYS Department of Transportation   | 20.218         | C003101                      | —                      | 38,085                           | 38,085  |
| NYS Governors Traffic Safety Committee   | 20.600         | C001864                      | —                      | 223,524                          |   |
| NYS Governors Traffic Safety Committee   | 20.600         | C001865                      | —                      | 61,915                           |   |
| NYS Governors Traffic Safety Committee   | 20.600         | C001866                      | —                      | 59,630                           |   |
| NYS Governors Traffic Safety Committee   | 20.600         | C001867                      | —                      | 59,198                           |   |
| Health Research Inc  | 20.600         | 14056002                     | —                      | 113,331                          |   |
| NYS Governors Traffic Safety Committee   | 20.600         | C001923                      | —                      | 515,438                          |   |
| NYS Governors Traffic Safety Committee   | 20.600         | C001922                      | —                      | 162,044                          |   |
| NYS Governors Traffic Safety Committee   | 20.600         | C001924                      | —                      | 229,972                          |   |
| NYS Governors Traffic Safety Committee   | 20.600         | C001921                      | —                      | 158,568                          |   |
| NYS Governors Traffic Safety Committee   | 20.600         | C001873                      | —                      | 57,785                           |   |
| NYS Governors Traffic Safety Committee   | 20.600         | C001960                      | —                      | 113,355                          | 1,754,760   |
| NYS Governors Traffic Safety Committee   | 20.602         | CPS2010RFSUNY00342052        | —                      | 9,574                            |   |
| NYS Governors Traffic Safety Committee   | 20.602         | CPS2011RFSUNY00263052        | —                      | 1,714                            | 11,288  |
| NYS Governors Traffic Safety Committee   | 20.609         | BUNY 2011 SUNY RF00269 (015) | —                      | 4,300                            |   |
| NYS Governors Traffic Safety Committee   | 20.609         | 2011RF00303015               | —                      | 2,236                            | 6,536   |
| Research Foundation of City University of New York   | 20.701         | 491110322                    | —                      | 8,287                            |   |
| Research Foundation of City University of New York   | 20.701         | 491110323                    | —                      | 23,807                           |   |
| Research Foundation of City University of New York   | 20.701         | 491110623                    | —                      | 11,031                           | 43,125  |
| Total Department of Transportation   |                |                              | —                      | 1,853,794                        | 1,853,794   |
| Department of Treasury:  |                |                              |                        |                                  |   |
| Corporation for Public Broadcasting  | 21.000         | N/A                          | —                      | 10,413                           | 10,413  |
| Total Department of Treasury   |                |                              | —                      | 10,413                           | 10,413  |
| Appalachian Regional Commission:   |                |                              |                        |                                  |   |
| Appalachian Regional Development (See individual Appalachian Programs)                               | 23.001         | —                            | 22,805                 | —                                |   |
| Appalachian Regional Development (See individual Appalachian Programs)                               | 23.001         | —                            | 55,855                 | —                                | 78,660  |
| Appalachian Area Development   | 23.002         | —                            | 29,521                 | —                                | 29,521  |
| East Tennessee State University  | 23.011         | 220010-15                    | —                      | 4,000                            | 4,000   |
| Total Appalachian Regional Commission  |                |                              | 108,181                | 4,000                            | 112,181   |
| National Aeronautics and Space Administration:   |                |                              |                        |                                  |   |
| National Aeronautics and Space Administration  | 43.000         | —                            | 27,266                 | —                                |   |
| National Aeronautics and Space Administration  | 43.000         | —                            | 22,579                 | —                                | 49,845  |
| Science  | 43.001         | —                            | 27,592                 | —                                |   |
| Science  | 43.001         | —                            | 111,172                | —                                |   |
| Greater Syracuse Chamber of Commerce   | 43.001         | RTA 3357                     | —                      | 4,926                            |   |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor     | CFDA number | Pass-through number | Direct expenditures | Pass-through expenditures | Total expenditures by CFDA and Federal grantor |
|---|-------------|---------------------|---------------------|---------------------------|--|
| Cornell University  | 43.001      | 61420-9292          | \$ —                | 10,000                    |  |
| Institute for Application of Geospatial Technology              | 43.001      | N/A                 | —                   | 1,111                     | 154,801  |
| Total National Aeronautics and Space Administration             |             |                     | 188,609             | 16,037                    | 204,646  |
| National Foundation on the Arts and Humanities:                 |             |                     |                     |                           |  |
| Arts Midwest  | 45.024      | 60287               | —                   | 3,815                     |  |
| Promotion of the Arts_Grants to Organizations and Individuals   | 45.024      | —                   | 30,000              | —                         |  |
| Promotion of the Arts_Grants to Organizations and Individuals   | 45.024      | —                   | 9,889               | —                         |  |
| Promotion of the Arts_Grants to Organizations and Individuals   | 45.024      | —                   | 17,520              | —                         |  |
| Promotion of the Arts_Grants to Organizations and Individuals   | 45.024      | —                   | 25,000              | —                         |  |
| Promotion of the Arts_Grants to Organizations and Individuals   | 45.024      | —                   | (11,799)            | —                         |  |
| Promotion of the Arts_Grants to Organizations and Individuals   | 45.024      | —                   | 106,957             | —                         |  |
| Promotion of the Arts_Grants to Organizations and Individuals   | 45.024      | —                   | 11,170              | —                         | 192,552  |
| Mid Atlantic Arts Foundation                                    | 45.025      | 21752               | —                   | 5,800                     | 5,800  |
| New York Council for the Humanities                             | 45.129      | 6297                | —                   | 2,500                     |  |
| New York Council for the Humanities                             | 45.129      | 6023                | —                   | 3,875                     | 6,375  |
| Promotion of the Humanities_Challenge Grants                    | 45.130      | —                   | 122,550             | —                         | 122,550  |
| Promotion of the Humanities_Division of Preservation and Access | 45.149      | —                   | 74,113              | —                         |  |
| Promotion of the Humanities_Division of Preservation and Access | 45.149      | —                   | 3,878               | —                         | 77,991   |
| Promotion of the Humanities_Fellowships and Stipends            | 45.160      | —                   | 8,400               | —                         | 8,400  |
| Promotion of the Humanities_Professional Development            | 45.163      | —                   | 10,715              | —                         |  |
| Promotion of the Humanities_Professional Development            | 45.163      | —                   | 11,775              | —                         |  |
| Promotion of the Humanities_Professional Development            | 45.163      | —                   | 345                 | —                         | 22,835   |
| Promotion of the Humanities_Public Programs                     | 45.164      | —                   | 84                  | —                         | 84   |
| Promotion of the Humanities_Office of Digital Humanities        | 45.169      | —                   | 9,701               | —                         | 9,701  |
| Museums for America   | 45.301      | —                   | 11,751              | —                         | 11,751   |
| Conservation Project Support                                    | 45.303      | —                   | 2,991               | —                         | 2,991  |
| 21st Century Museum Professionals                               | 45.307      | —                   | 44,819              | —                         | 44,819   |
| Total National Foundation on the Arts and Humanities            |             |                     | 489,859             | 15,990                    | 505,849  |
| National Science Foundation:                                    |             |                     |                     |                           |  |
| ARRA – Trans-NSF Recovery Act Research Support                  | 47.082      | —                   | 300,000             | —                         |  |
| ARRA – Trans-NSF Recovery Act Research Support                  | 47.082      | —                   | 128                 | —                         |  |
| ARRA – Trans-NSF Recovery Act Research Support                  | 47.082      | —                   | 26,000              | —                         |  |
| ARRA – Trans-NSF Recovery Act Research Support                  | 47.082      | —                   | 128,143             | —                         |  |
| ARRA – Trans-NSF Recovery Act Research Support                  | 47.082      | —                   | 272,355             | —                         |  |
| ARRA – Trans-NSF Recovery Act Research Support                  | 47.082      | —                   | 178                 | —                         |  |
| ARRA – Trans-NSF Recovery Act Research Support                  | 47.082      | —                   | 99,184              | —                         |  |
| ARRA – Trans-NSF Recovery Act Research Support                  | 47.082      | —                   | 106,123             | —                         |  |
| ARRA – Trans-NSF Recovery Act Research Support                  | 47.082      | —                   | 31,150              | —                         | 963,261  |
| Engineering Grants  | 47.041      | —                   | 38,460              | —                         |  |
| Engineering Grants  | 47.041      | —                   | 13,320              | —                         |  |
| Clarkson University   | 47.041      | NA                  | —                   | 2,673                     | 54,453   |
| Mathematical and Physical Sciences                              | 47.049      | —                   | 18,222              | —                         |  |
| Mathematical and Physical Sciences                              | 47.049      | —                   | 158,055             | —                         |  |
| Mathematical and Physical Sciences                              | 47.049      | —                   | 56,658              | —                         |  |
| Mathematical and Physical Sciences                              | 47.049      | —                   | 30,130              | —                         |  |
| Mathematical and Physical Sciences                              | 47.049      | —                   | 6,816               | —                         |  |
| Mathematical and Physical Sciences                              | 47.049      | —                   | 27,739              | —                         |  |
| Mathematical and Physical Sciences                              | 47.049      | —                   | 5,400               | —                         |  |
| Mathematical and Physical Sciences                              | 47.049      | —                   | 81,110              | —                         |  |
| University of Notre Dame  | 47.049      | N/A                 | —                   | (1,727)                   |  |
| Johns Hopkins University  | 47.049      | 2000408992          | —                   | 6,278                     | 388,681  |
| Geosciences   | 47.050      | —                   | 3,887               | —                         |  |
| Geosciences   | 47.050      | —                   | 99,275              | —                         |  |
| Geosciences   | 47.050      | —                   | 8,683               | —                         |  |
| Geosciences   | 47.050      | —                   | 250,984             | —                         |  |
| Geosciences   | 47.050      | —                   | 18,726              | —                         |  |
| Geosciences   | 47.050      | —                   | 98                  | —                         |  |
| Geosciences   | 47.050      | —                   | 29,044              | —                         |  |
| University Corporation for Atmospheric Research                 | 47.050      | Z1076411            | —                   | 9,079                     | 419,776  |
| Computer and Information Science and Engineering                | 47.070      | —                   | 88,870              | —                         |  |
| Computer and Information Science and Engineering                | 47.070      | —                   | 17,700              | —                         |  |
| Computer and Information Science and Engineering                | 47.070      | —                   | 2,190               | —                         |  |
| Computer and Information Science and Engineering                | 47.070      | —                   | 5,684               | —                         |  |
| Computer and Information Science and Engineering                | 47.070      | —                   | 9,218               | —                         |  |
| Computing Research Association                                  | 47.070      | 0937060             | —                   | 31,860                    |  |
| Computing Research Association                                  | 47.070      | CIFA231             | —                   | 99,238                    | 254,760  |
| Biological Sciences   | 47.074      | —                   | 3,000               | —                         |  |
| Biological Sciences   | 47.074      | —                   | 73,253              | —                         |  |
| Biological Sciences   | 47.074      | —                   | 1,673               | —                         |  |
| Biological Sciences   | 47.074      | —                   | 1,721               | —                         |  |
| Biological Sciences   | 47.074      | —                   | 2,502               | —                         |  |
| Biological Sciences   | 47.074      | —                   | 41,201              | —                         |  |
| Biological Sciences   | 47.074      | —                   | 118,062             | —                         | 241,412  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 3,217               | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 15,637              | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 36,629              | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 161                 | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 2,362               | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 4,105               | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 1,897               | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 3,290               | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 11,995              | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 40,617              | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 7,654               | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 3,588               | —                         |  |
| Social, Behavioral, and Economic Sciences                       | 47.075      | —                   | 18,933              | —                         | 150,085  |
| Education and Human Resources                                   | 47.076      | —                   | 214,578             | —                         |  |
| Education and Human Resources                                   | 47.076      | —                   | (5,031)             | —                         |  |
| Education and Human Resources                                   | 47.076      | —                   | 34,048              | —                         |  |
| Education and Human Resources                                   | 47.076      | —                   | 13,135              | —                         |  |
| Education and Human Resources                                   | 47.076      | —                   | 55,727              | —                         |  |
| Education and Human Resources                                   | 47.076      | —                   | 65,500              | —                         |  |
| Education and Human Resources                                   | 47.076      | —                   | 510,427             | —                         |  |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**  
Schedule of Expenditures of Federal Awards  
Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor                | CFDA<br>number | Pass-through number       | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|---------------------------|------------------------|----------------------------------|---|
| Education and Human Resources  | 47.076         | —                         | \$ 112,725             | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 57,570                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 609,053                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 88,510                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 392,652                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 423,369                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 168,672                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 134,133                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 425,772                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 348,903                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 685                    | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 137,572                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 149,515                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 93,929                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 6,637                  | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 85,106                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 3,978                  | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 54,502                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 169,418                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 20,815                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 44,812                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 32,188                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 36,576                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 11,737                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 120,939                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 139,940                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 3,370                  | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 17,926                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 80,053                 | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 5,294                  | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 145,461                | —                                |   |
| Education and Human Resources  | 47.076         | —                         | 132,002                | —                                |   |
| Rensselaer Polytechnic Institute   | 47.076         | B10536                    | —                      | 6,636                            |   |
| Cornell University   | 47.076         | 51306-8588                | —                      | 124,103                          |   |
| WGBH Educational Foundation  | 47.076         | K201001331                | —                      | 3,999                            |   |
| Drexel University  | 47.076         | N/A                       | —                      | 4,174                            | 5,281,110   |
| William Marsh Rice University  | 47.079         | R3C754                    | —                      | 15,333                           | 15,333  |
| Total National Science Foundation  |                |                           | 7,467,225              | 301,646                          | 7,768,871   |
| Small Business Administration:   |                |                           |                        |                                  |   |
| Small Business Administration  | 59.000         | —                         | 25,786                 | —                                |   |
| Small Business Administration  | 59.000         | —                         | 16,956                 | —                                | 42,742  |
| Small Business Development Centers   | 59.037         | —                         | 81,848                 | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 71,626                 | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 75,081                 | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 3,721,418              | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 119,768                | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 76,341                 | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 372,283                | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 2,371,232              | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 20,798                 | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 1,536                  | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 53,263                 | —                                |   |
| Small Business Development Centers   | 59.037         | —                         | 1,555                  | —                                | 6,966,749   |
| Veterans Business Development  | 59.044         | —                         | 4,705                  | —                                |   |
| Veterans Business Development  | 59.044         | —                         | 154,604                | —                                | 159,309   |
| Total Small Business Administration  |                |                           | 7,168,800              | —                                | 7,168,800   |
| Department of Veteran Affairs:   |                |                           |                        |                                  |   |
| Veterans Benefits Administration   | 64.000         | —                         | 8,069                  | —                                |   |
| Veterans Benefits Administration   | 64.000         | —                         | 40,114                 | —                                | 48,183  |
| Veterans Dependency and Indemnity Compensation for Service-Connected Death | 64.110         | —                         | 1,150                  | —                                | 1,150   |
| Total Department of Veteran Affairs  |                |                           | 49,333                 | —                                | 49,333  |
| Environmental Protection Agency:   |                |                           |                        |                                  |   |
| University of Connecticut  | 66.437         | FRS 524972 6623           | —                      | 109,511                          | 109,511   |
| NYS Department of Environmental Conservation                               | 66.461         | AM07444                   | —                      | 8,126                            | 8,126   |
| Science To Achieve Results (STAR) Fellowship Program                       | 66.514         | —                         | 1,772                  | —                                |   |
| Science To Achieve Results (STAR) Fellowship Program                       | 66.514         | —                         | 7,842                  | —                                | 9,614   |
| Pollution Prevention Grants Program  | 66.708         | —                         | 753                    | —                                |   |
| Pollution Prevention Grants Program  | 66.708         | —                         | 105,875                | —                                | 106,628   |
| Brownfield Job Training Cooperative Agreements                             | 66.815         | —                         | 65,182                 | —                                | 65,182  |
| Total Environmental Protection Agency                                      |                |                           | 181,424                | 117,637                          | 299,061   |
| Department of Energy:  |                |                           |                        |                                  |   |
| ARRA – NYS Energy Research and Development Authority                       | 81.041         | 17043                     | —                      | 12,571                           |   |
| ARRA – NYS Energy Research and Development Authority                       | 81.041         | 18921 PO# ERDA1-000020091 | —                      | 58,197                           | 70,768  |
| ARRA – Hudson Valley Community College                                     | 81.087         | P0054841                  | —                      | 5,186                            | 5,186   |
| ARRA – Syracuse University   | 81.122         | 24294-02619-S05           | —                      | 36,824                           |   |
| ARRA – Syracuse University   | 81.122         | 2429402619S02             | —                      | 10,419                           | 47,243  |
| Office of Science Financial Assistance Program                             | 81.049         | —                         | 20,000                 | —                                |   |
| Brookhaven Science Associates LLC  | 81.049         | 101072                    | —                      | 5,310                            |   |
| Brookhaven Science Associates LLC  | 81.049         | 103695                    | —                      | 21,747                           |   |
| Brookhaven Science Associates LLC  | 81.049         | 109586                    | —                      | 39,187                           |   |
| Brookhaven Science Associates LLC  | 81.049         | 109853                    | —                      | 36,104                           |   |
| Brookhaven Science Associates LLC  | 81.049         | 110126                    | —                      | 35,183                           |   |
| Brookhaven Science Associates LLC  | 81.049         | 109433                    | —                      | 35,039                           |   |
| Brookhaven Science Associates LLC  | 81.049         | 109982                    | —                      | 6,628                            |   |
| Brookhaven Science Associates LLC  | 81.049         | 109736                    | —                      | 43,958                           |   |
| Brookhaven Science Associates LLC  | 81.049         | 111033                    | —                      | 38,927                           |   |
| Brookhaven Science Associates LLC  | 81.049         | 116222                    | —                      | 95,451                           |   |
| Brookhaven Science Associates LLC  | 81.049         | 118427                    | —                      | 26,470                           |   |
| Brookhaven Science Associates LLC  | 81.049         | 120285                    | —                      | 5,290                            |   |
| Brookhaven Science Associates LLC  | 81.049         | 120259                    | —                      | 38,927                           |   |



**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| <u>Federal grantor/federal subdivision or pass-through grantor</u>   | <u>CFDA number</u> | <u>Pass-through number</u> | <u>Direct expenditures</u> | <u>Pass-through expenditures</u> | <u>Total expenditures by CFDA and Federal grantor</u> |
|--|--------------------|----------------------------|----------------------------|----------------------------------|---|
| Brookhaven Science Associates LLC  | 81.049             | 125688                     | \$ —                       | 35,158                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 125897                     | —                          | 18,129                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 127033                     | —                          | 22,031                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 126924                     | —                          | 40,558                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 133068                     | —                          | 43,159                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 131205                     | —                          | 34,610                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 134119                     | —                          | 1,056                            |   |
| Brookhaven Science Associates LLC  | 81.049             | 133655                     | —                          | 38,927                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 133610                     | —                          | 38,810                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 138988                     | —                          | 36,566                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 138142                     | —                          | 49,563                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 141064                     | —                          | 34,951                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 142862                     | —                          | 34,879                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 146480                     | —                          | 37,430                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 145975                     | —                          | 38,927                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 145974                     | —                          | 26,789                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 146691                     | —                          | 39,565                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 146692                     | —                          | 38,827                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 148216                     | —                          | 53,328                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 148219                     | —                          | 43,755                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 146008                     | —                          | 10,326                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 152484                     | —                          | 21,739                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 154727                     | —                          | 448                              |   |
| Brookhaven Science Associates LLC  | 81.049             | 154779                     | —                          | 38,146                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 152437                     | —                          | 39,548                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 156046                     | —                          | 37,453                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 152774                     | —                          | 23,705                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 156761                     | —                          | 36,486                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 157762                     | —                          | 21,149                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 159218                     | —                          | 36,720                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 160949                     | —                          | 39,548                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 163652                     | —                          | 36,872                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 163378                     | —                          | 38,577                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 164781                     | —                          | 5,210                            |   |
| Brookhaven Science Associates LLC  | 81.049             | 165854                     | —                          | 25,167                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 166837                     | —                          | 29,402                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 166835                     | —                          | 29,402                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 169250                     | —                          | 21,733                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 168050                     | —                          | 15,407                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 170059                     | —                          | 29,402                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 169062                     | —                          | 34,782                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 170819                     | —                          | 32,835                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 172396                     | —                          | 23,307                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 0000171870                 | —                          | 4,370                            |   |
| Brookhaven Science Associates LLC  | 81.049             | 174401                     | —                          | 36,024                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 178925                     | —                          | 31,744                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 177787                     | —                          | 26,612                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 181220                     | —                          | 26,832                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 187238                     | —                          | 17,755                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 186450                     | —                          | 10,396                           |   |
| Brookhaven Science Associates LLC  | 81.049             | 186451                     | —                          | 6,103                            |   |
| Brookhaven Science Associates LLC  | 81.049             | 189902                     | —                          | 5,981                            |   |
| Brookhaven Science Associates LLC  | 81.049             | 193725                     | —                          | 3,260                            |   |
| Brookhaven Science Associates LLC  | 81.049             | 189766                     | —                          | 1,566                            |   |
| Brookhaven Science Associates LLC  | 81.049             | 194418                     | —                          | 1,566                            |   |
| Brookhaven Science Associates LLC  | 81.049             | 192487                     | —                          | 1,566                            | 1,956,378   |
| Renewable Energy Research and Development  | 81.087             | —                          | 452,976                    | —                                |   |
| Solar Energy Consortium  | 81.087             | SUNY332                    | —                          | 22,184                           | 475,160   |
| Energy Efficiency and Renewable Energy Information Dissemination, Outreach, Training and Technical Analysis/Assistance | 81.117             | —                          | 50,534                     | —                                | 50,534  |
| <b>Total Department of Energy</b>  |                    |                            | <b>523,510</b>             | <b>2,081,759</b>                 | <b>2,605,269</b>                                      |
| <b>Department of Education:</b>  |                    |                            |                            |                                  |   |
| ARRA – NYS Office of Children and Family Services  | 84.390             | PO 0908783                 | —                          | 20,524                           |   |
| ARRA – NYS Office of Children and Family Services  | 84.390             | C026053                    | —                          | 104,096                          |   |
| ARRA – NYS Office of Children and Family Services  | 84.390             | N/A                        | —                          | 12,320                           |   |
| ARRA – NYS Office of Children and Family Services  | 84.390             | N/A                        | —                          | 9,020                            |   |
| ARRA – NYS Office of Children and Family Services  | 84.390             | N/A                        | —                          | 10,147                           | 156,107   |
| ARRA – NYS Education Department  | 84.394             | n/a                        | —                          | 1,865                            |   |
| ARRA – NYS Education Department  | 84.394             | n/a                        | —                          | 23,234                           | 25,099  |
| ARRA – NYS Education Department  | 84.397             | 5607110016                 | —                          | 23,234                           | 23,234  |
| ARRA – NYS Office of Children and Family Services  | 84.399             | C003054                    | —                          | 177,612                          | 177,612   |
| Syracuse University  | 84.000             | 2394002301SO1              | —                          | 4,276                            |   |
| Syracuse University  | 84.000             | 2394002628SO1              | —                          | 10,082                           |   |
| NYS Comm On Qual Care and Adv for Persons with Dis   | 84.000             | C111828                    | —                          | 7,048                            |   |
| Rochester City School District   | 84.000             | 2010006135                 | —                          | 1                                |   |
| NYS Higher Education Services Corporation  | 84.000             | C112083                    | —                          | 6,864                            |   |
| NYS Higher Education Services Corporation  | 84.000             | C112083                    | —                          | 192,737                          | 221,008   |
| Yonkers Public School District   | 84.002             | 25008                      | —                          | 7,714                            |   |
| Yonkers Public School District   | 84.002             | 25008                      | —                          | 665                              |   |
| NYS Education Department   | 84.002             | C010002                    | —                          | 17,266                           |   |
| NYS Education Department   | 84.002             | C010002                    | —                          | 370,417                          | 396,062   |
| Buffalo Public Schools   | 84.010             | NA                         | —                          | 112,530                          |   |
| Syracuse City School District  | 84.010             | N/A                        | —                          | 68,876                           | 181,406   |
| NYS Education Department   | 84.011             | C401000 0035100022         | —                          | 252,118                          |   |
| NYS Education Department   | 84.011             | C283316                    | —                          | 75,115                           |   |
| NYS Education Department   | 84.011             | C401000 0035110022         | —                          | 448,701                          |   |
| NYS Education Department   | 84.011             | C283316                    | —                          | 131,648                          |   |
| NYS Education Department   | 84.011             | 0035100037 C400998         | —                          | 503,801                          |   |
| NYS Education Department   | 84.011             | NA                         | —                          | 5,638                            |   |
| NYS Education Department   | 84.011             | 0035110037 C400998         | —                          | 611,876                          |   |
| NYS Education Department   | 84.011             | 0035100002 C400996         | —                          | 123,165                          |   |
| NYS Education Department   | 84.011             | 0035110002 C400996         | —                          | 351,302                          |   |
| NYS Education Department   | 84.011             | C400993 0035100005         | —                          | 299,739                          |   |
| NYS Education Department   | 84.011             | C400993 0035110005         | —                          | 823,914                          |   |

**THE RESEARCH FOUNDATION OF  
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Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor       | CFDA<br>number | Pass-through number     | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|---|----------------|-------------------------|------------------------|----------------------------------|---|
| Kentucky Department of Education                                  | 84.011         | PO254008000158061       | \$                     | —                                | 18,688  |
| NYS Education Department  | 84.011         | C990152                 | —                      | —                                | 13,175  |
| NYS Education Department  | 84.011         | C990152                 | —                      | —                                | 157,512   |
| NYS Education Department  | 84.011         | C990152                 | —                      | —                                | 301,908   |
| NYS Education Department  | 84.011         | C990152                 | —                      | —                                | 73,893  |
| Gloucester County Special Services School District                | 84.011         | NA                      | —                      | —                                | 7,452   |
| California Department of Education                                | 84.011         | CN090040                | —                      | —                                | 84,389  |
| Chandler (AZ) Unified School District #80                         | 84.011         | N/A                     | —                      | —                                | 25  |
| Deming New Mexico Public School District                          | 84.011         | 000040305               | —                      | —                                | 41  |
| Southwest Arkansas Migrant Education Cooperative                  | 84.011         | NA                      | —                      | —                                | 4   |
| Colorado Department of Education                                  | 84.011         | PO-DAA-10000000068      | —                      | —                                | 153   |
| Alabama State Department of Education                             | 84.011         | C9U0533                 | —                      | —                                | 1,468   |
| NYS Education Department  | 84.011         | C401003 0035100021      | —                      | —                                | 183,710   |
| Texas State University San Marcos                                 | 84.011         | NA                      | —                      | —                                | 15,771  |
| Texas Education Agency  | 84.011         | 27502                   | —                      | —                                | 2,495   |
| Florida Department of Education                                   | 84.011         | 9862170A0PE01           | —                      | —                                | 241,488   |
| Maine Department of Education                                     | 84.011         | VC1000076007            | —                      | —                                | 189,028   |
| Mississippi State University                                      | 84.011         | 05040036108001          | —                      | —                                | 36,414  |
| Northwestern Michigan Migrant Education Inc                       | 84.011         | NA                      | —                      | —                                | 1,424   |
| Oregon Department of Education                                    | 84.011         | NA                      | —                      | —                                | 2,987   |
| Mississippi Department of Education                               | 84.011         | 1032018231B0A8EA901     | —                      | —                                | 49,716  |
| Colorado Department of Education                                  | 84.011         | N/A                     | —                      | —                                | 3,400   |
| Deming New Mexico Public School District                          | 84.011         | PO 000051264            | —                      | —                                | 2,503   |
| Chandler (AZ) Unified School District #80                         | 84.011         | N/A                     | —                      | —                                | 1,512   |
| Southwest Arkansas Migrant Education Cooperative                  | 84.011         | NA                      | —                      | —                                | 1,072   |
| Center for Schools and Communities                                | 84.011         | NA                      | —                      | —                                | 50,720  |
| NYS Education Department  | 84.011         | C401003 0035110021      | —                      | —                                | 533,294   |
| NYS Education Department  | 84.011         | C990152                 | —                      | —                                | 960,180   |
| NYS Education Department  | 84.011         | C990152                 | —                      | —                                | 253,907   |
| NYS Education Department  | 84.011         | C990152                 | —                      | —                                | 213,443   |
| NYS Education Department  | 84.011         | C990152                 | —                      | —                                | 78,445  |
| Texas Education Agency  | 84.011         | CT# 2620 PO# 28968      | —                      | —                                | 26,734  |
| Texas State University San Marcos                                 | 84.011         | PO 4500051061           | —                      | —                                | 64,072  |
| Louisiana Department of Education                                 | 84.011         | OCR678101281 CFMS695054 | —                      | —                                | 38,294  |
| Kentucky Department of Education                                  | 84.011         | PON254011000007641      | —                      | —                                | 43,577  |
| Florida Department of Education                                   | 84.011         | 9862171A1PE01           | —                      | —                                | 302,154   |
| Mississippi State University                                      | 84.011         | 05040036112201          | —                      | —                                | 62,042  |
| Maine Department of Education                                     | 84.011         | 05A20110224X4091        | —                      | —                                | 173,222   |
| NYS Education Department  | 84.011         | 0035100013 C400999      | —                      | —                                | 133,722   |
| Saint Lawrence Lewis BOCES  | 84.011         | Q184L060007             | —                      | —                                | 5,170   |
| NYS Education Department  | 84.011         | 0035110013 C400999      | —                      | —                                | 446,246   |
| Migrant Education State Grant Program                             | 84.011         |                         | 281,284                | —                                | 8,683,751   |
| University of Maine at Orono                                      | 84.015         | P015A06002109 UMS750    | —                      | —                                | 49,988  |
| University of Maine at Orono                                      | 84.015         | P015A060022 UMS812      | —                      | —                                | 67,936  |
| Undergraduate International Studies and Foreign Language Programs | 84.016         |                         | 66,427                 | —                                | —   |
| Undergraduate International Studies and Foreign Language Programs | 84.016         |                         | 23,758                 | —                                | —   |
| Undergraduate International Studies and Foreign Language Programs | 84.016         |                         | 23,327                 | —                                | —   |
| Undergraduate International Studies and Foreign Language Programs | 84.016         |                         | 133,529                | —                                | —   |
| Undergraduate International Studies and Foreign Language Programs | 84.016         |                         | 38,425                 | —                                | 285,466   |
| Overseas Programs – Faculty Research Abroad                       | 84.019         |                         | 91,089                 | —                                | 91,089  |
| Overseas Programs – Group Projects Abroad                         | 84.021         |                         | 3,404                  | —                                | 3,404   |
| NYS Education Department  | 84.027         | C009486                 | —                      | —                                | 2,008   |
| NYS Education Department  | 84.027         | C010339                 | —                      | —                                | 23,428  |
| NYS Education Department  | 84.027         | C010725                 | —                      | —                                | 482,473   |
| NYS Education Department  | 84.027         | C008221                 | —                      | —                                | (198)   |
| NYS Education Department  | 84.027         | C008221                 | —                      | —                                | (817)   |
| NYS Education Department  | 84.027         | C008221                 | —                      | —                                | 99,439  |
| Syracuse University   | 84.027         | 2245302302S06           | —                      | —                                | 13,295  |
| NYS Education Department  | 84.027         | C009494                 | —                      | —                                | 142,538   |
| University of North Carolina at Charlotte                         | 84.027         | 2010036001SUN           | —                      | —                                | 20,391  |
| NYS Education Department  | 84.027         | C009494                 | —                      | —                                | 100,047   |
| University of North Carolina at Charlotte                         | 84.027         | 2011017701SUN           | —                      | —                                | 10,505  |
| Higher Education Institutional Aid                                | 84.031         |                         | 194,595                | —                                | —   |
| Higher Education Institutional Aid                                | 84.031         |                         | 395,881                | —                                | —   |
| Higher Education Institutional Aid                                | 84.031         |                         | 445,488                | —                                | —   |
| Higher Education Institutional Aid                                | 84.031         |                         | 143,413                | —                                | 1,179,377   |
| TRIO Student Support Services                                     | 84.042         |                         | 38,677                 | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 188,447                | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 428,109                | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 112,802                | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 88,625                 | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 221,204                | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 36,505                 | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 115,278                | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 182,243                | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 75,574                 | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 367,872                | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 83,481                 | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 442,884                | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 47,325                 | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 234,576                | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 54,145                 | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 195,661                | —                                | —   |
| TRIO Student Support Services                                     | 84.042         |                         | 110,191                | —                                | 3,023,599   |
| TRIO Talent Search  | 84.044         |                         | 289,876                | —                                | —   |
| TRIO Talent Search  | 84.044         |                         | 313,545                | —                                | —   |
| TRIO Talent Search  | 84.044         |                         | 311,398                | —                                | —   |
| TRIO Talent Search  | 84.044         |                         | 376,894                | —                                | —   |
| TRIO Talent Search  | 84.044         |                         | 294,615                | —                                | 1,586,328   |
| TRIO Upward Bound   | 84.047         |                         | 237,628                | —                                | —   |
| TRIO Upward Bound   | 84.047         |                         | 404,521                | —                                | —   |
| TRIO Upward Bound   | 84.047         |                         | 544,856                | —                                | —   |
| TRIO Upward Bound   | 84.047         |                         | 273,788                | —                                | —   |
| TRIO Upward Bound   | 84.047         |                         | 455,571                | —                                | —   |
| TRIO Upward Bound   | 84.047         |                         | 340,828                | —                                | —   |

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STATE UNIVERSITY OF NEW YORK**  
Schedule of Expenditures of Federal Awards  
Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor  | CFDA<br>number | Pass-through number           | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|-------------------------------|------------------------|----------------------------------|---|
| TRIO Upward Bound  | 84.047         | —                             | \$ 597,048             | —                                |   |
| TRIO Upward Bound  | 84.047         | —                             | 277,315                | —                                |   |
| TRIO Upward Bound  | 84.047         | —                             | 124,223                | —                                |   |
| TRIO Upward Bound  | 84.047         | —                             | 127,093                | —                                |   |
| TRIO Upward Bound  | 84.047         | —                             | 460,536                | —                                | 3,843,407   |
| NYS Education Department                                     | 84.048         | 8000106950                    | —                      | 3,630                            |   |
| NYS Education Department                                     | 84.048         | 8000116950                    | —                      | 121,745                          |   |
| Jefferson-Lewis BOCES  | 84.048         | N/A                           | —                      | 7,847                            |   |
| NYS Education Department                                     | 84.048         | 8000106010                    | —                      | 6,852                            |   |
| NYS Education Department                                     | 84.048         | 8000110601                    | —                      | 298,071                          |   |
| NYS Education Department                                     | 84.048         | 8000106060                    | —                      | (126)                            |   |
| NYS Education Department                                     | 84.048         | 8000116060                    | —                      | 194,479                          |   |
| NYS Education Department                                     | 84.048         | 8000106100                    | —                      | 9,567                            |   |
| NYS Education Department                                     | 84.048         | 8000116100                    | —                      | 252,355                          |   |
| NYS Education Department                                     | 84.048         | 8000116170                    | —                      | 245,152                          |   |
| NYS Education Department                                     | 84.048         | 8000106890                    | —                      | 17,598                           |   |
| NYS Education Department                                     | 84.048         | 8000116890                    | —                      | 146,181                          |   |
| NYS Education Department                                     | 84.048         | 8000106870                    | —                      | 42,597                           |   |
| NYS Education Department                                     | 84.048         | 8000116870                    | —                      | 258,939                          | 1,604,887   |
| Women's Educational Equity Program                           | 84.083         | —                             | 188,546                | —                                | 188,546   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 148,261                | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 28,162                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 58,806                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 49,554                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 26,343                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 82,473                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 49,325                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 11,397                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 15,046                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 30,167                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 41,810                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 27,688                 | —                                |   |
| Fund for the Improvement of Postsecondary Education          | 84.116         | —                             | 102,286                | —                                |   |
| Excelsior College  | 84.116         | N/A                           | —                      | 8,403                            |   |
| Research Foundation of City University of New York           | 84.116         | 46285K                        | —                      | 7,495                            |   |
| Research Foundation of City University of New York           | 84.116         | 46285F                        | —                      | 8,487                            |   |
| NYS Office of Children and Family Services                   | 84.126         | C02267                        | —                      | 21,534                           |   |
| NYS Office of Children and Family Services                   | 84.126         | C003009                       | —                      | 242                              |   |
| NYS Office of Children and Family Services                   | 84.126         | C003013                       | —                      | 637,988                          |   |
| NYS Office of Children and Family Services                   | 84.126         | C002281                       | —                      | 1,597                            |   |
| NYS Office of Temporary & Disability Assistance              | 84.126         | N/A                           | —                      | 11,504                           |   |
| NYS Office of Temporary & Disability Assistance              | 84.126         | C003069                       | —                      | 1,390                            |   |
| NYS Office of Children and Family Services                   | 84.126         | N/A                           | —                      | 49                               |   |
| NYS Office of Children and Family Services                   | 84.126         | N/A                           | —                      | 12                               |   |
| NYS Office of Children and Family Services                   | 84.126         | N/A                           | —                      | (261)                            |   |
| NYS Office of Children and Family Services                   | 84.126         | N/A                           | —                      | (366)                            |   |
| NYS Office of Children and Family Services                   | 84.126         | N/A                           | —                      | (5)                              |   |
| NYS Office of Children and Family Services                   | 84.126         | N/A                           | —                      | (64)                             |   |
| NYS Office of Children and Family Services                   | 84.126         | N/A                           | —                      | (14)                             |   |
| NYS Office of Children and Family Services                   | 84.126         | N/A                           | —                      | 7,243                            |   |
| NYS Office of Children and Family Services                   | 84.126         | N/A                           | —                      | 3,132                            | 683,981   |
| Rehabilitation Long-Term Training                            | 84.129         | —                             | 143,895                | —                                | 143,895   |
| NYS Comm On Qual Care and Adv for Persons with Dis           | 84.133         | C111765                       | —                      | 18,186                           |   |
| NYS Comm On Qual Care and Adv for Persons with Dis           | 84.133         | C111829                       | —                      | 8,755                            | 26,941  |
| Migrant Education High School Equivalency Program            | 84.141         | —                             | 94,747                 | —                                | 94,747  |
| Florida Department of Education                              | 84.144         | 9861160A0P001                 | —                      | 69,618                           |   |
| Georgia Department of Education                              | 84.144         | 1041431612612                 | —                      | 8,033                            |   |
| Georgia Department of Education                              | 84.144         | 1131615100 414003610000073571 | —                      | 18,774                           | 96,425  |
| Migrant Education College Assistance Migrant Program         | 84.149         | —                             | 465,193                | —                                | 465,193   |
| WestEd   | 84.164         | N/A                           | —                      | 21,444                           | 21,444  |
| Javits Fellowships   | 84.170         | —                             | 18,635                 | —                                | 18,635  |
| New York City Board of Education                             | 84.173         | 331800880148/PL 619           | —                      | 7,759                            |   |
| New York City Board of Education                             | 84.173         | 331800880148/PL 611           | —                      | 33,202                           |   |
| New York City Board of Education                             | 84.173         | 331800880148/PL 611           | —                      | 23,821                           |   |
| New York City Board of Education                             | 84.173         | 331800880148/PL 619           | —                      | 13,418                           |   |
| New York City Department of Education                        | 84.173         | N/A                           | —                      | 2,410                            | 80,610  |
| Schenectady City School District                             | 84.184         | n/a                           | —                      | 90,086                           |   |
| Boys and Girls Clubs of Schenectady                          | 84.184         | N/A                           | —                      | 12,314                           |   |
| Albany City School District                                  | 84.184         | N/A                           | —                      | 87,132                           |   |
| Champlain Valley Educational Services                        | 84.184         | 1000813                       | —                      | 1,055                            |   |
| Champlain Valley Educational Services                        | 84.184         | PO 11-01098                   | —                      | 58,280                           |   |
| Safe and Drug-Free Schools and Communities National Programs | 84.184         | —                             | 104,792                | —                                |   |
| Safe and Drug-Free Schools and Communities National Programs | 84.184         | —                             | 120,501                | —                                | 474,160   |
| Bilingual Education Professional Development                 | 84.195         | —                             | 265,605                | —                                |   |
| Bilingual Education Professional Development                 | 84.195         | —                             | 284,932                | —                                | 550,537   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 2,077                            |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 2,240                            |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 2,325                            |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 292                              |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 1,810                            |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 2,081                            |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 9                                |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 2,934                            |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 1,556                            |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 51                               |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 433                              |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 8                                |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 3,747                            |   |
| East Bloomfield Central School                               | 84.196         | N/A                           | —                      | 6,628                            | 26,191  |
| Graduate Assistance in Areas of National Need                | 84.200         | —                             | 59,355                 | —                                |   |
| Graduate Assistance in Areas of National Need                | 84.200         | —                             | 61,931                 | —                                |   |
| Graduate Assistance in Areas of National Need                | 84.200         | —                             | 999                    | —                                |   |
| Graduate Assistance in Areas of National Need                | 84.200         | —                             | 4,291                  | —                                |   |
| Graduate Assistance in Areas of National Need                | 84.200         | —                             | 107,381                | —                                |   |
| Graduate Assistance in Areas of National Need                | 84.200         | —                             | 107,034                | —                                |   |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**  
Schedule of Expenditures of Federal Awards  
Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor  | CFDA number | Pass-through number        | Direct expenditures | Pass-through expenditures | Total expenditures by CFDA and Federal grantor |
|--|-------------|----------------------------|---------------------|---------------------------|--|
| Graduate Assistance in Areas of National Need  | 84.200      | —                          | \$ 15,585           | —                         | 356,576  |
| Geneseo Migrant Center BOCES   | 84.213      | N/A                        | —                   | 8,170                     | 15,011   |
| Geneseo Migrant Center BOCES   | 84.213      | N/A                        | —                   | 5,724                     | 6,336  |
| Geneseo Migrant Center BOCES   | 84.213      | 0024072025                 | —                   | 16,326                    | 3,564  |
| Geneseo Migrant Center BOCES   | 84.213      | N/A                        | —                   | 11,631                    | 1,339  |
| Geneseo Migrant Center BOCES   | 84.213      | N/A                        | —                   | 3,677                     | 2,491  |
| Geneseo Migrant Center BOCES   | 84.213      | N/A                        | —                   | 4,918                     | 20,440   |
| Geneseo Migrant Center BOCES   | 84.213      | N/A                        | —                   | 8,132                     | 107,759  |
| Schenectady City School District   | 84.215      | n/a                        | —                   | 42                        | —  |
| Broome Tioga BOCES   | 84.215      | U215X070316                | —                   | 202,194                   | —  |
| Holland Central School District  | 84.215      | N/A                        | —                   | 3                         | —  |
| Albion Central School  | 84.215      | NA                         | —                   | 60,759                    | —  |
| Albion Central School  | 84.215      | PO2305                     | —                   | 250                       | —  |
| Onondaga Cortland Madison Board of Education Services  | 84.215      | NA                         | —                   | 40,374                    | —  |
| Cortland County YMCA   | 84.215      | 170 5531 Foley             | —                   | 18,290                    | —  |
| Onondaga Cortland Madison Board of Education Services  | 84.215      | 170-1091071-55657          | —                   | 47,292                    | —  |
| Kansas State Board of Education  | 84.215      | 652111655                  | —                   | 1,326                     | —  |
| Ulster County BOCES  | 84.215      | 03922                      | —                   | 12,820                    | —  |
| Ulster County BOCES  | 84.215      | 1103805                    | —                   | 4,947                     | —  |
| Syracuse City School District  | 84.215      | PO K044912 K020176 K028225 | —                   | 24,105                    | 412,402  |
| TRIO McNair Post-Baccalaureate Achievement   | 84.217      | —                          | 224,255             | —                         | —  |
| TRIO McNair Post-Baccalaureate Achievement   | 84.217      | —                          | 298,817             | —                         | —  |
| TRIO McNair Post-Baccalaureate Achievement   | 84.217      | —                          | 321,559             | —                         | —  |
| TRIO McNair Post-Baccalaureate Achievement   | 84.217      | —                          | 231,391             | —                         | —  |
| TRIO McNair Post-Baccalaureate Achievement   | 84.217      | —                          | 247,456             | —                         | 1,323,478                                      |
| NYS Education Department   | 84.243      | 8080100001 C401152         | —                   | 31,927                    | —  |
| NYS Education Department   | 84.243      | 8080110001 C401152         | —                   | 207,303                   | 239,230  |
| Rehabilitation Training_Continuing Education   | 84.264      | —                          | 743,796             | —                         | 743,796  |
| George Washington University   | 84.283      | 09S31 26878/4/CCLS20353F   | —                   | 38,617                    | —  |
| Edvantia Incorporated  | 84.283      | C1045231215                | —                   | 3,374                     | —  |
| Edvantia Incorporated  | 84.283      | C1045231223                | —                   | 6,771                     | —  |
| George Washington University   | 84.283      | 10S19                      | —                   | 105,088                   | 153,850  |
| Brentwood Union Free School District   | 84.287      | NA                         | —                   | 19,917                    | —  |
| Lackawanna City School District  | 84.287      | N/A                        | —                   | 5,417                     | —  |
| Lackawanna City School District  | 84.287      | NA                         | —                   | 49,271                    | —  |
| Georgia Department of Education  | 84.287      | 1041422212345              | —                   | 6,464                     | 81,069   |
| Council of American Overseas Research Centers  | 84.293      | ECACAORCSUNYLP200922       | —                   | 74,437                    | 74,437   |
| Education Research, Development and Dissemination  | 84.305      | —                          | 87,443              | —                         | 87,443   |
| Schenectady City School District   | 84.318      | N/A                        | —                   | 24,823                    | 24,823   |
| NYS Education Department   | 84.323      | TBD                        | —                   | (14,643)                  | (14,643)                                       |
| Special Education – Personnel Development to Improve Services and Results for Children with Disabilities | 84.325      | —                          | 36,816              | —                         | —  |
| Special Education – Personnel Development to Improve Services and Results for Children with Disabilities | 84.325      | —                          | 140,140             | —                         | —  |
| Special Education – Personnel Development to Improve Services and Results for Children with Disabilities | 84.325      | —                          | 104,077             | —                         | —  |
| Special Education – Personnel Development to Improve Services and Results for Children with Disabilities | 84.325      | —                          | 25,395              | —                         | —  |
| Special Education – Personnel Development to Improve Services and Results for Children with Disabilities | 84.325      | —                          | 12,212              | —                         | —  |
| Special Education – Personnel Development to Improve Services and Results for Children with Disabilities | 84.325      | —                          | 182,281             | —                         | —  |
| Special Education – Personnel Development to Improve Services and Results for Children with Disabilities | 84.325      | —                          | 17,070              | —                         | —  |
| Special Education – Personnel Development to Improve Services and Results for Children with Disabilities | 84.325      | —                          | 89,240              | —                         | —  |
| Special Education – Personnel Development to Improve Services and Results for Children with Disabilities | 84.325      | —                          | 160,391             | —                         | 767,622  |
| Gaining Early Awareness and Readiness for Undergraduate Programs   | 84.334      | —                          | 525,902             | —                         | —  |
| Gaining Early Awareness and Readiness for Undergraduate Programs   | 84.334      | —                          | 360,355             | —                         | —  |
| Albany City School District  | 84.334      | N/A                        | —                   | 15,253                    | —  |
| Albany City School District  | 84.334      | N/A                        | —                   | 20,924                    | —  |
| NYS Higher Education Services Corporation  | 84.334      | C111872                    | —                   | 27,816                    | —  |
| NYS Higher Education Services Corporation  | 84.334      | C111872                    | —                   | 158,860                   | 1,109,110                                      |
| Child Care Access Means Parents in School  | 84.335      | —                          | 66,661              | —                         | 66,661   |
| NYS Education Department   | 84.336      | 0247090021                 | —                   | 627                       | 627  |
| Buffalo Board of Education   | 84.351      | N/A                        | —                   | 13,811                    | —  |
| Buffalo Board of Education   | 84.351      | NA                         | —                   | 45,367                    | —  |
| Buffalo Board of Education   | 84.351      | NA                         | —                   | 91,931                    | 151,109  |
| Kentucky Department of Education   | 84.365      | PON254011000007531         | —                   | 49,639                    | 49,639   |
| Syracuse City School District  | 84.366      | N/A                        | —                   | 1,653                     | —  |
| Syracuse City School District  | 84.366      | N/A                        | —                   | 1,804                     | —  |
| Syracuse City School District  | 84.366      | N/A                        | —                   | 12,951                    | —  |
| Buffalo Public Schools   | 84.366      | N/A                        | —                   | 9,744                     | —  |
| Buffalo Public Schools   | 84.366      | NA                         | —                   | 4,335                     | —  |
| Buffalo Public Schools   | 84.366      | N/A                        | —                   | 31,159                    | —  |
| Buffalo Public Schools   | 84.366      | N/A                        | —                   | 12,723                    | —  |
| Syracuse City School District  | 84.366      | N/A                        | —                   | 99                        | 74,468   |
| NYS Education Department   | 84.367      | C401250                    | —                   | 119,963                   | —  |
| NYS Education Department   | 84.367      | C401250                    | —                   | 78,675                    | —  |
| NYS Education Department   | 84.367      | C401246 – 0247100030       | —                   | 275,129                   | —  |
| NYS Education Department   | 84.367      | C401246 – 0247110030       | —                   | 245,862                   | —  |
| NYS Education Department   | 84.367      | C401241 0247100022         | —                   | 97,597                    | —  |
| NYS Education Department   | 84.367      | C401241 0247110022         | —                   | 106,385                   | —  |
| NYS Education Department   | 84.367      | C401243 0247100026         | —                   | 18,361                    | —  |
| NYS Education Department   | 84.367      | C401243 0247110026         | —                   | 39,499                    | —  |
| NYS Education Department   | 84.367      | 0247100104 C401232         | —                   | 187,785                   | —  |
| NYS Education Department   | 84.367      | C401244 0247100027         | —                   | 131,127                   | —  |
| NYS Education Department   | 84.367      | C401244 0247110027         | —                   | 290,620                   | —  |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor  | CFDA<br>number | Pass-through number | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|---------------------|------------------------|----------------------------------|---|
| NYS Education Department   | 84.367         | 0247110104 C401232  | \$ —                   | 185,842                          |   |
| NYS Education Department   | 84.367         | 0247100028 C401245  | —                      | 16,431                           |   |
| NYS Education Department   | 84.367         | 0247110028 C401245  | —                      | 82,102                           |   |
| Bank Street College of Education   | 84.367         | NA                  | —                      | 43,734                           |   |
| Bank Street College of Education   | 84.367         | 11-2399-5608-2862   | —                      | 29,091                           | 1,948,203   |
| NYS Office of Children and Family Services   | 84.378         | C003016             | —                      | 365,432                          |   |
| NYS Higher Education Services Corporation  | 84.378         | T112132             | —                      | 37,613                           |   |
| NYS Higher Education Services Corporation  | 84.378         | CACGP003            | —                      | 22,428                           | 425,473   |
| National Writing Project Corporation   | 84.928         | 04NY10              | —                      | 39,208                           |   |
| National Writing Project Corporation   | 84.928         | 08NY14              | —                      | 3,597                            |   |
| National Writing Project Corporation   | 84.928         | 08NY14              | —                      | 29,810                           |   |
| National Writing Project Corporation   | 84.928         | 01NY09              | —                      | 17,064                           |   |
| National Writing Project Corporation   | 84.928         | 01NY09              | —                      | 47,240                           | 136,919   |
| Total Department of Education  |                |                     | 16,883,951             | 17,495,977                       | 34,379,928  |
| National Archives and Records Administration:  |                |                     |                        |                                  |   |
| National Historical Publications and Records Grants  | 89.003         | —                   | 38,506                 | —                                | 38,506  |
| Total National Archives and Records Administration   |                |                     | 38,506                 | —                                | 38,506  |
| Department of Health and Human Services:   |                |                     |                        |                                  |   |
| ARRA – Trustees of Columbia University   | 93.411         | 2                   | —                      | 72,016                           | 72,016  |
| ARRA – Controltec Incorporated   | 93.713         | N/A                 | —                      | 410,618                          | 410,618   |
| ARRA – Health Research Inc   | 93.717         | 35002001            | —                      | 9,864                            | 9,864   |
| ARRA – NYS Office for the Aging  | 93.725         | C100002             | —                      | 275,983                          |   |
| ARRA – NYS Office for the Aging  | 93.725         | C100002             | —                      | 34,131                           | 310,114   |
| ARRA – Department of Health and Human Services   | 93.000         | —                   | 180,846                | —                                | 180,846   |
| ARRA – ARRA Grants for Training in Primary Care Medicine and Dentistry<br>Training and Enhancement | 93.403         | —                   | 86,996                 | —                                |   |
| ARRA – Grants for Training in Primary Care Medicine and Dentistry<br>Training and Enhancement      | 93.403         | —                   | 210,815                | —                                | 297,811   |
| ARRA – Equipment to Enhance Training for Health Professionals                                      | 93.411         | —                   | 194,780                | —                                |   |
| ARRA – Equipment to Enhance Training for Health Professionals                                      | 93.411         | —                   | 297,490                | —                                |   |
| ARRA – Equipment to Enhance Training for Health Professionals                                      | 93.411         | —                   | 233,800                | —                                |   |
| ARRA – Equipment to Enhance Training for Health Professionals                                      | 93.411         | —                   | 43,639                 | —                                |   |
| ARRA – Equipment to Enhance Training for Health Professionals                                      | 93.411         | —                   | 266,672                | —                                | 1,036,381   |
| ARRA – Trans-NIH Recovery Act Research Support   | 93.701         | —                   | 355,798                | —                                |   |
| ARRA – Trans-NIH Recovery Act Research Support   | 93.701         | —                   | 52,386                 | —                                |   |
| ARRA – Trans-NIH Recovery Act Research Support   | 93.701         | —                   | 149,674                | —                                |   |
| ARRA – Trans-NIH Recovery Act Research Support   | 93.701         | —                   | 57,741                 | —                                |   |
| ARRA – Trans-NIH Recovery Act Research Support   | 93.701         | —                   | 2,822                  | —                                |   |
| ARRA – Trans-NIH Recovery Act Research Support   | 93.701         | —                   | 91,470                 | —                                | 709,891   |
| ARRA – Immunization  | 93.712         | —                   | 213,453                | —                                | 213,453   |
| Horizon Care Center  | 93.000         | C022659             | —                      | 312,592                          |   |
| NYS Education Department   | 93.000         | C113239             | —                      | 152,332                          |   |
| Department of Health and Human Services  | 93.000         | —                   | 25,489                 | —                                | 490,413   |
| Oswego County Office of Aging  | 93.044         | N/A                 | —                      | 2,038                            |   |
| Oswego County Office of Aging  | 93.044         | N/A                 | —                      | 3,676                            |   |
| Oswego County Office of Aging  | 93.044         | N/A                 | —                      | 1,291                            | 7,005   |
| Oneida County Office for the Aging Continuing Care   | 93.048         | N/A                 | —                      | 52,556                           |   |
| NYS Office for the Aging   | 93.048         | 090320              | —                      | 11,466                           |   |
| Albany County Dept for the Aging & Handicapped   | 93.048         | 1067760017          | —                      | 52,760                           |   |
| Albany County Dept for the Aging & Handicapped   | 93.048         | 1067720010          | —                      | 43,606                           |   |
| Albany County Dept for the Aging & Handicapped   | 93.048         | 1067720011          | —                      | 47,228                           |   |
| Albany County Dept for the Aging & Handicapped   | 93.048         | 1067720046          | —                      | 23,020                           |   |
| NYS Office for the Aging   | 93.048         | 110021              | —                      | 9,351                            |   |
| Public Health Emergency Preparedness   | 93.069         | —                   | 334,207                | —                                | 334,207   |
| Families Together in NYS Incorporated  | 93.104         | N/A                 | —                      | 28,044                           |   |
| Families Together in NYS Incorporated  | 93.104         | N/A                 | —                      | 11,850                           | 39,894  |
| Area Health Education Centers Point of Service Maintenance and<br>Enhancement Awards               | 93.107         | —                   | 328,495                | —                                |   |
| Area Health Education Centers Point of Service Maintenance and<br>Enhancement Awards               | 93.107         | —                   | 488,522                | —                                | 817,017   |
| NYS Office of Children and Family Services   | 93.110         | C003010             | —                      | 79,189                           |   |
| Health Research Inc  | 93.110         | 003941-01           | —                      | 13,246                           | 92,435  |
| Preventive Medicine Residency Program  | 93.117         | —                   | 8,093                  | —                                |   |
| Preventive Medicine Residency Program  | 93.117         | —                   | 211,831                | —                                | 219,924   |
| Oral Diseases and Disorders Research   | 93.121         | —                   | 8,734                  | —                                |   |
| Oral Diseases and Disorders Research   | 93.121         | —                   | 34,614                 | —                                | 43,348  |
| Nurse Anesthetist Traineeships   | 93.124         | —                   | 21,688                 | —                                |   |
| Nurse Anesthetist Traineeships   | 93.124         | —                   | 19,407                 | —                                | 41,095  |
| Health Research Inc  | 93.135         | 15044501            | —                      | 37,752                           | 37,752  |
| NYS Department of Health   | 93.136         | C018578             | —                      | 5,220                            | 5,220   |
| University of Medicine & Dentistry of New Jersey   | 93.142         | 2080 HWWT- Buffalo  | —                      | 10,805                           |   |
| University of Medicine & Dentistry of New Jersey   | 93.142         | 2082 HDPT- Buffalo  | —                      | 13,386                           |   |
| University of Medicine & Dentistry of New Jersey   | 93.142         | 2114 HDPT- Buffalo  | —                      | 29,275                           |   |
| University of Medicine & Dentistry of New Jersey   | 93.142         | 2112 HWWT- Buffalo  | —                      | 57,404                           | 110,870   |
| Arizona State University   | 93.143         | 09-065              | —                      | 1,029                            | 1,029   |
| Columbia University  | 93.145         | 5H4AHA0007107       | —                      | 27,582                           |   |
| Columbia University  | 93.145         | 539396              | —                      | 214,183                          | 241,765   |
| Coordinated Services and Access to Research for Women, Infants,<br>Children, and Youth             | 93.153         | —                   | 118,592                | —                                |   |
| Coordinated Services and Access to Research for Women, Infants,<br>Children, and Youth             | 93.153         | —                   | 788,259                | —                                | 906,851   |
| Geriatric Training for Physicians, Dentists and Behavioral/Mental<br>Health Professionals          | 93.156         | —                   | 19,183                 | —                                |   |
| Geriatric Training for Physicians, Dentists and Behavioral/Mental<br>Health Professionals          | 93.156         | —                   | 633,169                | —                                | 652,352   |
| Research Related to Deafness and Communication Disorders   | 93.173         | —                   | 27,772                 | —                                |   |
| Research Related to Deafness and Communication Disorders   | 93.173         | —                   | 11,925                 | —                                | 39,697  |
| National Research Service Award in Primary Care Medicine   | 93.186         | —                   | 177,984                | —                                | 177,984   |
| NYS Department of Health   | 93.217         | C019952             | —                      | 64,804                           | 64,804  |
| Health Research Inc  | 93.236         | 4108-01             | —                      | 24,633                           | 24,633  |
| Mental Health Research Grants  | 93.242         | —                   | 19,287                 | —                                |   |
| Mental Health Research Grants  | 93.242         | —                   | 27,875                 | —                                |   |

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Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor                                  | CFDA<br>number | Pass-through number | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|---------------------|------------------------|----------------------------------|---|
| Mental Health Research Grants  | 93.242         | —                   | \$ 1,072               | —                                | 48,234  |
| Substance Abuse and Mental Health Services_Projects of Regional and<br>National Significance | 93.243         | —                   | (481)                  | —                                |   |
| Substance Abuse and Mental Health Services_Projects of Regional and<br>National Significance | 93.243         | —                   | (23)                   | —                                |   |
| Substance Abuse and Mental Health Services_Projects of Regional and<br>National Significance | 93.243         | —                   | 89,330                 | —                                |   |
| Substance Abuse and Mental Health Services_Projects of Regional and<br>National Significance | 93.243         | —                   | 79,856                 | —                                |   |
| Substance Abuse and Mental Health Services_Projects of Regional and<br>National Significance | 93.243         | —                   | 117,237                | —                                |   |
| Substance Abuse and Mental Health Services_Projects of Regional and<br>National Significance | 93.243         | —                   | 121,819                | —                                |   |
| Substance Abuse and Mental Health Services_Projects of Regional and<br>National Significance | 93.243         | —                   | 255,537                | —                                |   |
| Substance Abuse and Mental Health Services_Projects of Regional and<br>National Significance | 93.243         | —                   | 102,008                | —                                | 765,283   |
| Advanced Nursing Education Grant Program   | 93.247         | —                   | 291                    | —                                |   |
| Advanced Nursing Education Grant Program   | 93.247         | —                   | 219,208                | —                                |   |
| Advanced Nursing Education Grant Program   | 93.247         | —                   | 220,888                | —                                |   |
| Advanced Nursing Education Grant Program   | 93.247         | —                   | 469,423                | —                                |   |
| Advanced Nursing Education Grant Program   | 93.247         | —                   | 13,048                 | —                                |   |
| Advanced Nursing Education Grant Program   | 93.247         | —                   | 202,609                | —                                |   |
| Advanced Nursing Education Grant Program   | 93.247         | —                   | 21,673                 | —                                |   |
| Advanced Nursing Education Grant Program   | 93.247         | —                   | 378,516                | —                                | 1,525,656   |
| Columbia University  | 93.249         | 531613              | —                      | 63,085                           |   |
| Columbia University  | 93.249         | 1531614             | —                      | 11,682                           |   |
| Trustees of Columbia University  | 93.249         | 531614              | —                      | 49,042                           |   |
| Public Health Training Centers Grant Program   | 93.249         | —                   | 233,764                | —                                | 357,573   |
| Poison Center Support and Enhancement Grant Program  | 93.253         | —                   | 153,235                | —                                |   |
| Poison Center Support and Enhancement Grant Program  | 93.253         | —                   | 245,560                | —                                | 398,795   |
| Occupational Safety and Health Program   | 93.262         | —                   | 95,016                 | —                                |   |
| Occupational Safety and Health Program   | 93.262         | —                   | 10,548,669             | —                                | 10,643,685  |
| Onondaga County  | 93.268         | 49109               | —                      | 737                              |   |
| Onondaga County  | 93.268         | 49109R1             | —                      | 68,129                           |   |
| Onondaga County  | 93.268         | 49109R1             | —                      | 41,902                           | 110,768   |
| Alcohol National Research Service Awards for Research Training                               | 93.272         | —                   | 29,081                 | —                                |   |
| Alcohol National Research Service Awards for Research Training                               | 93.272         | —                   | 27,460                 | —                                |   |
| Alcohol National Research Service Awards for Research Training                               | 93.272         | —                   | 25,890                 | —                                |   |
| Alcohol National Research Service Awards for Research Training                               | 93.272         | —                   | 28,856                 | —                                |   |
| Alcohol National Research Service Awards for Research Training                               | 93.272         | —                   | 1,639                  | —                                | 112,926   |
| Alcohol Research Programs  | 93.273         | —                   | 276,492                | —                                | 276,492   |
| Drug-Free Communities Support Program Grants   | 93.276         | —                   | 62,913                 | —                                |   |
| Drug-Free Communities Support Program Grants   | 93.276         | —                   | 70,713                 | —                                | 133,626   |
| Drug Abuse National Research Service Awards for Research Training                            | 93.278         | —                   | 2,727                  | —                                | 2,727   |
| Drug Abuse and Addiction Research Programs   | 93.279         | —                   | 6,956                  | —                                |   |
| Drug Abuse and Addiction Research Programs   | 93.279         | —                   | 28,847                 | —                                | 35,803  |
| Mental Health National Research Service Awards for Research Training                         | 93.282         | —                   | 12,281                 | —                                |   |
| Mental Health National Research Service Awards for Research Training                         | 93.282         | —                   | 29,815                 | —                                |   |
| Mental Health National Research Service Awards for Research Training                         | 93.282         | —                   | 7,333                  | —                                |   |
| Mental Health National Research Service Awards for Research Training                         | 93.282         | —                   | 14,409                 | —                                |   |
| Mental Health National Research Service Awards for Research Training                         | 93.282         | —                   | 4,880                  | —                                | 68,718  |
| Health Research Inc  | 93.283         | 4115-01             | —                      | 24,298                           |   |
| Centers for Disease Control and Prevention_Investigations and<br>Technical Assistance        | 93.283         | —                   | 198,519                | —                                |   |
| Centers for Disease Control and Prevention_Investigations and<br>Technical Assistance        | 93.283         | —                   | 51,152                 | —                                | 273,969   |
| Minority Health and Health Disparities Research  | 93.307         | —                   | 71,981                 | —                                |   |
| Minority Health and Health Disparities Research  | 93.307         | —                   | 135,146                | —                                | 207,127   |
| Advanced Nursing Education Traineeships  | 93.358         | —                   | 44,130                 | —                                |   |
| Advanced Nursing Education Traineeships  | 93.358         | —                   | 47,354                 | —                                |   |
| Advanced Nursing Education Traineeships  | 93.358         | —                   | (1,000)                | —                                |   |
| Advanced Nursing Education Traineeships  | 93.358         | —                   | 42,036                 | —                                |   |
| Advanced Nursing Education Traineeships  | 93.358         | —                   | 45,745                 | —                                |   |
| Advanced Nursing Education Traineeships  | 93.358         | —                   | 41,530                 | —                                | 219,795   |
| Nurse Education, Practice and Retention Grants   | 93.359         | —                   | 3,002                  | —                                |   |
| Nurse Education, Practice and Retention Grants   | 93.359         | —                   | 423                    | —                                |   |
| Nurse Education, Practice and Retention Grants   | 93.359         | —                   | 2,182                  | —                                | 5,607   |
| National Center for Research Resources   | 93.389         | —                   | 1                      | —                                |   |
| National Center for Research Resources   | 93.389         | —                   | 26,226                 | —                                |   |
| National Center for Research Resources   | 93.389         | —                   | 326,277                | —                                | 352,504   |
| University of Rochester  | 93.393         | 415487G             | —                      | 6,932                            | 6,932   |
| Cancer Research Manpower   | 93.398         | —                   | 36,878                 | —                                |   |
| Cancer Research Manpower   | 93.398         | —                   | 19,365                 | —                                |   |
| Cancer Research Manpower   | 93.398         | —                   | 399,232                | —                                | 455,475   |
| Health Research Inc  | 93.507         | 15060201            | —                      | 16,725                           | 16,725  |
| NYS Office of Children and Family Services   | 93.558         | C002120             | —                      | (18)                             |   |
| NYS Office of Children and Family Services   | 93.558         | C002144             | —                      | (35)                             |   |
| NYS Office of Children and Family Services   | 93.558         | C02267              | —                      | 278,327                          |   |
| NYS Office of Children and Family Services   | 93.558         | C002272             | —                      | 169,228                          |   |
| NYS Office of Children and Family Services   | 93.558         | C002258             | —                      | 74,436                           |   |
| NYS Office of Children and Family Services   | 93.558         | C002273             | —                      | 97,571                           |   |
| NYS Office of Children and Family Services   | 93.558         | C002274             | —                      | 121,669                          |   |
| NYS Office of Children and Family Services   | 93.558         | C003009             | —                      | 61,984                           |   |
| NYS Office of Children and Family Services   | 93.558         | C002269             | —                      | 42,202                           |   |
| NYS Office of Children and Family Services   | 93.558         | C002281             | —                      | 51,728                           |   |
| NYS Office of Children and Family Services   | 93.558         | C002266             | —                      | 359,197                          |   |
| NYS Office of Children and Family Services   | 93.558         | C002268             | —                      | 437,009                          |   |
| NYS Office of Children and Family Services   | 93.558         | N/A                 | —                      | 74,828                           |   |
| NYS Office of Temporary & Disability Assistance  | 93.558         | N/A                 | —                      | 135,707                          |   |
| NYS Office of Temporary & Disability Assistance  | 93.558         | C003069             | —                      | 43,502                           |   |
| NYS Office of Children and Family Services   | 93.558         | C003075             | —                      | 275,216                          |   |
| NYS Office of Children and Family Services   | 93.558         | C003090             | —                      | 41,854                           |   |
| NYS Office of Children and Family Services   | 93.558         | C003091             | —                      | 349,129                          |   |
| NYS Office of Children and Family Services   | 93.558         | N/A                 | —                      | 25,782                           |   |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**  
Schedule of Expenditures of Federal Awards  
Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor | CFDA<br>number | Pass-through number | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|---|----------------|---------------------|------------------------|----------------------------------|---|
| NYS Office of Children and Family Services                  | 93.558         | C003009             | \$ —                   | 1,151                            |   |
| NYS Office of Temporary & Disability Assistance             | 93.558         | C020718             | —                      | 55,496                           |   |
| SUNY at Stony Brook   | 93.558         | C001570             | —                      | 82,504                           |   |
| SUNY at Stony Brook   | 93.558         | C001572             | —                      | 86,383                           |   |
| SUNY at Stony Brook   | 93.558         | C001581             | —                      | 88,517                           |   |
| SUNY at Stony Brook   | 93.558         | C001569             | —                      | 79,233                           |   |
| SUNY at Stony Brook   | 93.558         | C001573             | —                      | 420,313                          |   |
| SUNY at Stony Brook   | 93.558         | NA                  | —                      | 15,614                           |   |
| SUNY at Stony Brook   | 93.558         | C001619             | —                      | 58,274                           |   |
| SUNY at Stony Brook   | 93.558         | C001620             | —                      | 97,558                           |   |
| SUNY at Stony Brook   | 93.558         | C001621             | —                      | 75,223                           |   |
| SUNY at Stony Brook   | 93.558         | NA                  | —                      | 72,288                           |   |
| CAMBA   | 93.558         | N/A                 | —                      | 12,190                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (4,459)                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (389)                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 9,900                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (2,016)                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 174                              |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (3,192)                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 3                                |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 3                                |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 4                                |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 58                               |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 83                               |   |
| NYS Office of Children and Family Services                  | 93.558         | na                  | —                      | (1,582)                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (124,408)                        |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 21,983                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (10,319)                         |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 4,849                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (236)                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (465)                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (1)                              |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 32,514                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 317                              |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 2,694                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 124                              |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (3,404)                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (1,080)                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (539)                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (670)                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (433)                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (441)                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (502)                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | (1,023)                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 4,153                            |   |
| NYS Office of Children and Family Services                  | 93.558         | na                  | —                      | (1)                              |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 1,345,824                        |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 296,293                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 229,963                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 41,934                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 329,736                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 137,465                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 513,988                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 28,104                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 49,497                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 84,073                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 2,795                            |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 27,462                           |   |
| NYS Office of Children and Family Services                  | 93.558         | 2006WAAX0026        | —                      | 102,893                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 1,141,955                        |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 255,228                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 59,789                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 34,991                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 266,340                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 100,445                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 361,056                          |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 22,044                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 42,751                           |   |
| NYS Office of Children and Family Services                  | 93.558         | N/A                 | —                      | 33,488                           |   |
| NYS Office of Children and Family Services                  | 93.558         | C025768             | —                      | 243                              |   |
| NYS Office of Children and Family Services                  | 93.558         | C025999             | —                      | 18,393                           |   |
| NYS Office of Children and Family Services                  | 93.558         | C026267             | —                      | 10,336                           |   |
| Workforce Investment Board                                  | 93.558         | C020767             | —                      | 26,243                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.558         | C001405             | —                      | 8,724                            |   |
| NYS Office of Temporary & Disability Assistance             | 93.558         | C001790             | —                      | 1,719,179                        |   |
| NYS Office of Temporary & Disability Assistance             | 93.558         | C002083             | —                      | 5,209,188                        |   |
| NYS Office of Temporary & Disability Assistance             | 93.558         | C001790             | —                      | 1,911,074                        | 18,117,253  |
| NYS Office of Temporary & Disability Assistance             | 93.563         | C002099             | —                      | (130)                            |   |
| NYS Office of Children and Family Services                  | 93.563         | C02267              | —                      | 65,104                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.563         | C002225             | —                      | 607,547                          |   |
| NYS Office of Temporary & Disability Assistance             | 93.563         | C002229             | —                      | 312,938                          |   |
| NYS Office of Temporary & Disability Assistance             | 93.563         | C002265             | —                      | 535,350                          |   |
| NYS Office of Temporary & Disability Assistance             | 93.563         | C002235             | —                      | 500,141                          |   |
| NYS Office of Children and Family Services                  | 93.563         | C002281             | —                      | 55,533                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.563         | N/A                 | —                      | 30,428                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.563         | C003078             | —                      | 118,664                          |   |
| NYS Office of Temporary & Disability Assistance             | 93.563         | C003069             | —                      | 44,891                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.563         | C003064             | —                      | 394,925                          |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | 76                               |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | 647                              |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | (302)                            |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | (11)                             |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | (121)                            |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | (246)                            |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | 7,931                            |   |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**  
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Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor | CFDA<br>number | Pass-through number | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|---|----------------|---------------------|------------------------|----------------------------------|---|
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | \$ —                   | 13,968                           |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | 789                              |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | 7,750                            |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | 6,093                            |   |
| NYS Office of Children and Family Services                  | 93.563         | N/A                 | —                      | 11,817                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.563         | C021004             | —                      | 72,462                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.563         | C020997             | —                      | 477,713                          |   |
| NYS Office of Children and Family Services                  | 93.563         | C025768             | —                      | 58                               |   |
| NYS Office of Children and Family Services                  | 93.563         | C025999             | —                      | 5,191                            |   |
| NYS Office of Children and Family Services                  | 93.563         | C026267             | —                      | 2,857                            | 3,272,063   |
| NYS Office of Children and Family Services                  | 93.568         | C02267              | —                      | 18,213                           |   |
| NYS Office of Children and Family Services                  | 93.568         | C002281             | —                      | 19,911                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.568         | N/A                 | —                      | 8,665                            |   |
| NYS Office of Temporary & Disability Assistance             | 93.568         | C003069             | —                      | 16,591                           |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | 17                               |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | 141                              |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | (89)                             |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | (3)                              |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | (131)                            |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | (26)                             |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | (54)                             |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | 1,983                            |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | 3,492                            |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | 198                              |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | 1,937                            |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | 1,484                            |   |
| NYS Office of Children and Family Services                  | 93.568         | N/A                 | —                      | 2,879                            |   |
| NYS Office of Children and Family Services                  | 93.568         | C025768             | —                      | 13                               |   |
| NYS Office of Children and Family Services                  | 93.568         | C025999             | —                      | 1,298                            |   |
| NYS Office of Children and Family Services                  | 93.568         | C026267             | —                      | 696                              | 77,215  |
| NYS Office of Children and Family Services                  | 93.575         | C002007             | —                      | 706,048                          |   |
| NYS Office of Children and Family Services                  | 93.575         | C002101             | —                      | 2,341,246                        | 3,047,294   |
| NYS Office of Children and Family Services                  | 93.576         | C02267              | —                      | 2,415                            |   |
| NYS Office of Children and Family Services                  | 93.576         | C002281             | —                      | 11,473                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.576         | N/A                 | —                      | 1,195                            |   |
| NYS Office of Temporary & Disability Assistance             | 93.576         | C003069             | —                      | 10,236                           |   |
| NYS Office of Children and Family Services                  | 93.576         | N/A                 | —                      | (51)                             |   |
| NYS Office of Children and Family Services                  | 93.576         | N/A                 | —                      | (1)                              | 25,267  |
| NYS Office of Children and Family Services                  | 93.596         | C002120             | —                      | (2)                              |   |
| NYS Office of Children and Family Services                  | 93.596         | C002145             | —                      | (4,002)                          |   |
| NYS Office of Children and Family Services                  | 93.596         | C02267              | —                      | 62,991                           |   |
| NYS Office of Children and Family Services                  | 93.596         | C002272             | —                      | 15,293                           |   |
| NYS Office of Children and Family Services                  | 93.596         | C002273             | —                      | 8,827                            |   |
| NYS Office of Children and Family Services                  | 93.596         | C002274             | —                      | 11,007                           |   |
| NYS Office of Children and Family Services                  | 93.596         | C002277             | —                      | 234,300                          |   |
| NYS Office of Children and Family Services                  | 93.596         | C003009             | —                      | 6,810                            |   |
| NYS Office of Children and Family Services                  | 93.596         | C002269             | —                      | 3,812                            |   |
| NYS Office of Children and Family Services                  | 93.596         | C002281             | —                      | 9,541                            |   |
| NYS Office of Children and Family Services                  | 93.596         | C002282             | —                      | 6,245,694                        |   |
| NYS Office of Children and Family Services                  | 93.596         | C002266             | —                      | 29,702                           |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 6,278                            |   |
| NYS Office of Children and Family Services                  | 93.596         | C003080             | —                      | 228,572                          |   |
| NYS Office of Temporary & Disability Assistance             | 93.596         | N/A                 | —                      | 31,574                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.596         | C003069             | —                      | 9,914                            |   |
| NYS Office of Children and Family Services                  | 93.596         | C003075             | —                      | 21,139                           |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 186,774                          |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 433,678                          |   |
| NYS Office of Children and Family Services                  | 93.596         | C003090             | —                      | 3,519                            |   |
| NYS Office of Children and Family Services                  | 93.596         | C003091             | —                      | 29,279                           |   |
| NYS Office of Children and Family Services                  | 93.596         | C003086             | —                      | 4,389,215                        |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 2,165                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 79,798                           |   |
| NYS Office of Children and Family Services                  | 93.596         | C003009             | —                      | 97                               |   |
| SUNY at Stony Brook   | 93.596         | C001570             | —                      | 7,455                            |   |
| SUNY at Stony Brook   | 93.596         | C001572             | —                      | 7,806                            |   |
| SUNY at Stony Brook   | 93.596         | C001581             | —                      | 7,997                            |   |
| SUNY at Stony Brook   | 93.596         | C001569             | —                      | 7,160                            |   |
| SUNY at Stony Brook   | 93.596         | C001573             | —                      | 37,963                           |   |
| SUNY at Stony Brook   | 93.596         | NA                  | —                      | 1,310                            |   |
| SUNY at Stony Brook   | 93.596         | C001619             | —                      | 4,888                            |   |
| SUNY at Stony Brook   | 93.596         | C001620             | —                      | 8,187                            |   |
| SUNY at Stony Brook   | 93.596         | C001621             | —                      | 6,315                            |   |
| SUNY at Stony Brook   | 93.596         | NA                  | —                      | 6,070                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 78                               |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | (12,500)                         |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 2,207                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | (1,037)                          |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 488                              |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | (47)                             |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 19                               |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 159                              |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 59                               |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | (2,078)                          |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | (948)                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | (720)                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | (322)                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | (95)                             |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | (30)                             |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | (61)                             |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 418                              |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 121,474                          |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 26,769                           |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 20,803                           |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 3,790                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 12,435                           |   |



**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor | CFDA<br>number | Pass-through number | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|---|----------------|---------------------|------------------------|----------------------------------|---|
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | \$ —                   | 1,446                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 2,547                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 42,956                           |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 144                              |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 1,413                            |   |
| NYS Office of Children and Family Services                  | 93.596         | 2006WAA0026         | —                      | 9,292                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 95,864                           |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 21,443                           |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 5,017                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 2,935                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 8,448                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 1,151                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 2,231                            |   |
| NYS Office of Children and Family Services                  | 93.596         | N/A                 | —                      | 22,397                           |   |
| NYS Office of Children and Family Services                  | 93.596         | C025768             | —                      | 14                               |   |
| NYS Office of Children and Family Services                  | 93.596         | C025999             | —                      | 946                              |   |
| NYS Office of Children and Family Services                  | 93.596         | C026267             | —                      | 539                              | 12,530,770  |
| Head Start  | 93.600         | —                   | 63,284                 | —                                |   |
| Head Start  | 93.600         | —                   | 212,992                | —                                | 276,276   |
| NYS Developmental Disabilities Planning Council             | 93.630         | C021843             | —                      | 17,976                           |   |
| NYS Developmental Disabilities Planning Council             | 93.630         | C022037             | —                      | 98,786                           | 116,762   |
| NYS Office of Children and Family Services                  | 93.648         | C003059             | —                      | 46,079                           |   |
| Erie County Department of Social Services                   | 93.648         | ED1908              | —                      | (5,113)                          |   |
| Erie County Department of Social Services                   | 93.648         | ED1904              | —                      | (126,573)                        |   |
| Erie County Department of Social Services                   | 93.648         | ED2206              | —                      | 31,351                           |   |
| Erie County Department of Social Services                   | 93.648         | ED2207              | —                      | 623                              |   |
| Erie County Department of Social Services                   | 93.648         | ED2495              | —                      | 16,898                           |   |
| Erie County Department of Social Services                   | 93.648         | ED2493              | —                      | 151,019                          |   |
| Erie County Department of Social Services                   | 93.648         | ED2799              | —                      | 211,580                          |   |
| Erie County Department of Social Services                   | 93.648         | ED2800              | —                      | 387,566                          |   |
| Child Welfare Research Training or Demonstration            | 93.648         | —                   | (66)                   | —                                |   |
| Child Welfare Research Training or Demonstration            | 93.648         | —                   | 329,427                | —                                |   |
| Child Welfare Research Training or Demonstration            | 93.648         | —                   | 1,876,512              | —                                |   |
| Child Welfare Research Training or Demonstration            | 93.648         | —                   | 2,181,303              | —                                |   |
| Child Welfare Research Training or Demonstration            | 93.648         | —                   | 250,915                | —                                | 5,351,521   |
| NYS Office of Children and Family Services                  | 93.658         | C002120             | —                      | (2)                              |   |
| NYS Office of Children and Family Services                  | 93.658         | C02267              | —                      | 63,293                           |   |
| NYS Office of Children and Family Services                  | 93.658         | C002272             | —                      | 14,338                           |   |
| NYS Office of Children and Family Services                  | 93.658         | C002258             | —                      | 16,947                           |   |
| NYS Office of Children and Family Services                  | 93.658         | C002273             | —                      | 8,158                            |   |
| NYS Office of Children and Family Services                  | 93.658         | C002274             | —                      | 16,183                           |   |
| NYS Office of Children and Family Services                  | 93.658         | C003009             | —                      | 13,492                           |   |
| NYS Office of Children and Family Services                  | 93.658         | C002269             | —                      | 16,268                           |   |
| NYS Office of Children and Family Services                  | 93.658         | C002281             | —                      | 8,832                            |   |
| NYS Office of Children and Family Services                  | 93.658         | C002266             | —                      | 46,723                           |   |
| NYS Office of Children and Family Services                  | 93.658         | C002268             | —                      | 106,754                          |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 6,357                            |   |
| NYS Office of Temporary & Disability Assistance             | 93.658         | N/A                 | —                      | 33,366                           |   |
| NYS Office of Temporary & Disability Assistance             | 93.658         | C003069             | —                      | 7,304                            |   |
| NYS Office of Children and Family Services                  | 93.658         | C003075             | —                      | 35,862                           |   |
| NYS Office of Children and Family Services                  | 93.658         | C003090             | —                      | 3,508                            |   |
| NYS Office of Children and Family Services                  | 93.658         | C003091             | —                      | 135,090                          |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 3,413                            |   |
| NYS Office of Children and Family Services                  | 93.658         | C003009             | —                      | 238                              |   |
| SUNY at Stony Brook   | 93.658         | C001570             | —                      | 8,054                            |   |
| SUNY at Stony Brook   | 93.658         | C001572             | —                      | 15,952                           |   |
| SUNY at Stony Brook   | 93.658         | C001581             | —                      | 3,427                            |   |
| SUNY at Stony Brook   | 93.658         | C001569             | —                      | 7,997                            |   |
| SUNY at Stony Brook   | 93.658         | C001573             | —                      | 17,187                           |   |
| SUNY at Stony Brook   | 93.658         | N/A                 | —                      | 728                              |   |
| SUNY at Stony Brook   | 93.658         | C001619             | —                      | 5,911                            |   |
| SUNY at Stony Brook   | 93.658         | C001620             | —                      | 3,580                            |   |
| SUNY at Stony Brook   | 93.658         | C001621             | —                      | 7,597                            |   |
| SUNY at Stony Brook   | 93.658         | N/A                 | —                      | 13,610                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (21,336)                         |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 2,974                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (2,553)                          |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 428                              |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (42)                             |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 14,663                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 94                               |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 797                              |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 61                               |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (586)                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (243)                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (7,672)                          |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (25)                             |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (331)                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (215)                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (60)                             |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | (89)                             |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 1,376                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 136,230                          |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 27,534                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 52,239                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 3,975                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 11,680                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 111,176                          |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 7,540                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 13,279                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 37,867                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 375                              |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 7,368                            |   |
| NYS Office of Children and Family Services                  | 93.658         | 2006WAA0026         | —                      | 16,950                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 216,777                          |   |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**  
Schedule of Expenditures of Federal Awards  
Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor | CFDA<br>number | Pass-through number | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|---|----------------|---------------------|------------------------|----------------------------------|---|
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | \$ —                   | 104,880                          |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 23,795                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 13,468                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 3,323                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 9,613                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 84,023                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 6,505                            |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 12,616                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 15,801                           |   |
| NYS Office of Children and Family Services                  | 93.658         | N/A                 | —                      | 191,573                          |   |
| NYS Office of Children and Family Services                  | 93.658         | C025768             | —                      | 72                               |   |
| NYS Office of Children and Family Services                  | 93.658         | C025999             | —                      | 4,935                            |   |
| NYS Office of Children and Family Services                  | 93.658         | C026267             | —                      | 3,050                            |   |
| NYS Office of Children and Family Services                  | 93.658         | C001632             | —                      | (288,817)                        | 1,435,235   |
| NYS Office of Children and Family Services                  | 93.659         | C002120             | —                      | (9)                              |   |
| NYS Office of Children and Family Services                  | 93.659         | C002272             | —                      | 96,236                           |   |
| NYS Office of Children and Family Services                  | 93.659         | C002258             | —                      | 110,123                          |   |
| NYS Office of Children and Family Services                  | 93.659         | C002273             | —                      | 52,840                           |   |
| NYS Office of Children and Family Services                  | 93.659         | C002274             | —                      | 60,240                           |   |
| NYS Office of Children and Family Services                  | 93.659         | C003009             | —                      | 24,907                           |   |
| NYS Office of Children and Family Services                  | 93.659         | C002269             | —                      | 6,986                            |   |
| NYS Office of Children and Family Services                  | 93.659         | C002266             | —                      | 174,648                          |   |
| NYS Office of Children and Family Services                  | 93.659         | C002268             | —                      | 144,913                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 43,182                           |   |
| NYS Office of Children and Family Services                  | 93.659         | C003075             | —                      | 134,130                          |   |
| NYS Office of Children and Family Services                  | 93.659         | C003090             | —                      | 23,637                           |   |
| NYS Office of Children and Family Services                  | 93.659         | C003091             | —                      | 58,036                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 13,282                           |   |
| NYS Office of Children and Family Services                  | 93.659         | C003009             | —                      | 492                              |   |
| SUNY at Stony Brook   | 93.659         | C001570             | —                      | 42,687                           |   |
| SUNY at Stony Brook   | 93.659         | C001572             | —                      | 36,680                           |   |
| SUNY at Stony Brook   | 93.659         | C001581             | —                      | 57,052                           |   |
| SUNY at Stony Brook   | 93.659         | C001569             | —                      | 46,940                           |   |
| SUNY at Stony Brook   | 93.659         | C001573             | —                      | 229,410                          |   |
| SUNY at Stony Brook   | 93.659         | NA                  | —                      | 10,216                           |   |
| SUNY at Stony Brook   | 93.659         | C001619             | —                      | 34,659                           |   |
| SUNY at Stony Brook   | 93.659         | C001620             | —                      | 58,493                           |   |
| SUNY at Stony Brook   | 93.659         | C001621             | —                      | 38,922                           |   |
| SUNY at Stony Brook   | 93.659         | NA                  | —                      | 31,545                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 34,978                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | (61,820)                         |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 12,807                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | (1,846)                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 3,167                            |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | (303)                            |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | (1)                              |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 37,188                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | (1,528)                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | (10)                             |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | (7,691)                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | (347)                            |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | (133)                            |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | (320)                            |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 1,198                            |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 764,189                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 175,145                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 86,910                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 25,230                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 84,707                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 730,646                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 562                              |   |
| NYS Office of Children and Family Services                  | 93.659         | 2006WAX0026         | —                      | 46,508                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 308,998                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 678,862                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 152,653                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 23,460                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 21,137                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 60,590                           |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 557,577                          |   |
| NYS Office of Children and Family Services                  | 93.659         | N/A                 | —                      | 277,164                          | 5,539,924   |
| NYS Office of Temporary & Disability Assistance             | 93.667         | C000848             | —                      | (91)                             |   |
| NYS Office of Children and Family Services                  | 93.667         | C002136             | —                      | (10)                             |   |
| NYS Office of Children and Family Services                  | 93.667         | C002120             | —                      | (12)                             |   |
| NYS Office of Children and Family Services                  | 93.667         | C002272             | —                      | 139,379                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C002276             | —                      | 218,070                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C002275             | —                      | 362,779                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C002270             | —                      | 78,653                           |   |
| NYS Office of Children and Family Services                  | 93.667         | C002271             | —                      | 64,308                           |   |
| NYS Office of Children and Family Services                  | 93.667         | C002273             | —                      | 80,561                           |   |
| NYS Office of Children and Family Services                  | 93.667         | C002274             | —                      | 88,381                           |   |
| NYS Office of Children and Family Services                  | 93.667         | C003009             | —                      | 34,276                           |   |
| NYS Office of Children and Family Services                  | 93.667         | C002269             | —                      | 9,321                            |   |
| NYS Office of Children and Family Services                  | 93.667         | C003008             | —                      | 106,313                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C002266             | —                      | 258,195                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C002268             | —                      | 219,867                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C002280             | —                      | 788,498                          |   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | 614,997                          |   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | 65,548                           |   |
| NYS Office of Children and Family Services                  | 93.667         | C003083             | —                      | 314,128                          |   |
| NYS Office of Temporary & Disability Assistance             | 93.667         | C003072             | —                      | 411,424                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C003081             | —                      | 303,574                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C003075             | —                      | 209,029                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C003079             | —                      | 585,253                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C003084             | —                      | 191,516                          |   |
| NYS Office of Children and Family Services                  | 93.667         | C003090             | —                      | 36,762                           |   |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**  
Schedule of Expenditures of Federal Awards  
Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor | CFDA<br>number | Pass-through number | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|---|----------------|---------------------|------------------------|----------------------------------|---|
| NYS Office of Children and Family Services                  | 93.667         | C003091             | \$ —                   | —                                | 82,021  |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 19,991  |
| NYS Office of Children and Family Services                  | 93.667         | C003009             | —                      | —                                | 711   |
| SUNY at Stony Brook   | 93.667         | C001570             | —                      | —                                | 65,818  |
| SUNY at Stony Brook   | 93.667         | C001572             | —                      | —                                | 53,836  |
| SUNY at Stony Brook   | 93.667         | C001581             | —                      | —                                | 81,020  |
| SUNY at Stony Brook   | 93.667         | C001569             | —                      | —                                | 62,668  |
| SUNY at Stony Brook   | 93.667         | C001573             | —                      | —                                | 382,894   |
| SUNY at Stony Brook   | 93.667         | NA                  | —                      | —                                | 14,946  |
| SUNY at Stony Brook   | 93.667         | C001619             | —                      | —                                | 49,017  |
| SUNY at Stony Brook   | 93.667         | C001620             | —                      | —                                | 95,426  |
| SUNY at Stony Brook   | 93.667         | C001621             | —                      | —                                | 63,301  |
| SUNY at Stony Brook   | 93.667         | NA                  | —                      | —                                | 47,463  |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | (64,036)  |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 12,950  |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | (4,867)   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 2,308   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | (326)   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | (1)   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | (1,621)   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | (9)   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | (388)   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | (143)   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | (363)   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 1,961   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 1,063,757   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 239,084   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 123,740   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 33,680  |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 113,099   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 750   |
| NYS Office of Children and Family Services                  | 93.667         | 2006WAAAX0026       | —                      | —                                | 68,238  |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 983,584   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 219,064   |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 34,584  |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 29,915  |
| NYS Office of Children and Family Services                  | 93.667         | N/A                 | —                      | —                                | 85,722  |
| NYS Office of Temporary & Disability Assistance             | 93.667         | N/A                 | —                      | —                                | 3,180   |
| NYS Office of Temporary & Disability Assistance             | 93.667         | N/A                 | —                      | —                                | 51,545  |
| Heriker County Department of Social Services                | 93.667         | N/A                 | —                      | —                                | 112,737   |
| Heriker County Department of Social Services                | 93.667         | N/A                 | —                      | —                                | 88,581  |
| Rockland County Department of Social Services               | 93.667         | NA                  | —                      | —                                | 2,560   |
| Erie County Department of Social Services                   | 93.667         | ED2498              | —                      | —                                | 78,194  |
| Erie County Department of Social Services                   | 93.667         | ED2499              | —                      | —                                | 36,801  |
| Ontario County Department of Social Services                | 93.667         | N/A                 | —                      | —                                | 25,890  |
| Erie County Department of Social Services                   | 93.667         | ED2795              | —                      | —                                | 183,728   |
| Erie County Department of Social Services                   | 93.667         | ED2796              | —                      | —                                | 313,726   |
| Rockland County Department of Social Services               | 93.667         | N/A                 | —                      | —                                | 14,311  |
| Ontario County Department of Social Services                | 93.667         | N/A                 | —                      | —                                | 23,550  |
| NYS Department of Health                                    | 93.767         | NA                  | —                      | —                                | 220,923   |
| NYS Department of Health                                    | 93.767         | NA                  | —                      | —                                | 718,914   |
| NYS Office of Children and Family Services                  | 93.778         | C02267              | —                      | —                                | 117,127   |
| NYS Office of Children and Family Services                  | 93.778         | C003009             | —                      | —                                | 455   |
| NYS Office of Children and Family Services                  | 93.778         | C002281             | —                      | —                                | 3,233   |
| NYS Office of Temporary & Disability Assistance             | 93.778         | N/A                 | —                      | —                                | 56,673  |
| NYS Office of Temporary & Disability Assistance             | 93.778         | C003069             | —                      | —                                | 2,525   |
| NYS Department of Health                                    | 93.778         | N/A                 | —                      | —                                | (12)  |
| NYS Department of Health                                    | 93.778         | N/A                 | —                      | —                                | 9,268   |
| NYS Department of Health                                    | 93.778         | N/A                 | —                      | —                                | (31)  |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | (50)  |
| NYS Department of Health                                    | 93.778         | N/A                 | —                      | —                                | 24,916  |
| NYS Department of Health                                    | 93.778         | N/A                 | —                      | —                                | (4,956)   |
| NYS Department of Health                                    | 93.778         | N/A                 | —                      | —                                | (12,785)  |
| NYS Department of Health                                    | 93.778         | n/a                 | —                      | —                                | (3,626)   |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 151   |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 1,283   |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 13  |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | (297)   |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | (40)  |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | (19)  |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | (69)  |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | (2)   |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | (4,320)   |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | (239)   |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | (487)   |
| NYS Department of Health                                    | 93.778         | N/A                 | —                      | —                                | 977   |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 16,080  |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 28,321  |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 13,576  |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 1,600   |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 15,713  |
| NYS Department of Health                                    | 93.778         | NA                  | —                      | —                                | 1,971,541   |
| NYS Department of Health                                    | 93.778         | NA                  | —                      | —                                | 419,911   |
| NYS Department of Health                                    | 93.778         | NA                  | —                      | —                                | 487,976   |
| NYS Department of Health                                    | 93.778         | NA                  | —                      | —                                | 1,059,383   |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 12,485  |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 24,213  |
| NYS Office of Children and Family Services                  | 93.778         | N/A                 | —                      | —                                | 8,258   |
| NYS Department of Health                                    | 93.778         | NA                  | —                      | —                                | 1,598,672   |
| NYS Office of Children and Family Services                  | 93.778         | C025768             | —                      | —                                | 116   |
| NYS Office of Children and Family Services                  | 93.778         | C025999             | —                      | —                                | 10,524  |
| NYS Office of Children and Family Services                  | 93.778         | C026267             | —                      | —                                | 5,854   |
| NYS Office For People with Dev Disabilities                 | 93.779         | N/A                 | —                      | —                                | 231,437   |
| NYS Department of Social Services                           | 93.779         | 01687970            | —                      | —                                | 13,330  |
| Multiple Sponsors   | 93.779         | NA                  | —                      | —                                | 7,512   |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor                  | CFDA<br>number | Pass-through number          | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|------------------------------|------------------------|----------------------------------|---|
| NYS Department of Social Services  | 93.779         | 01687970                     | \$ —                   | 423,776                          | 676,055   |
| NYS Department of Health   | 93.791         | NA                           | —                      | 280,777                          |   |
| NYS Department of Health   | 93.791         | NA                           | —                      | 221,449                          | 502,226   |
| Health Careers Opportunity Program   | 93.822         | —                            | 226,684                | —                                |   |
| Health Careers Opportunity Program   | 93.822         | —                            | 265,037                | —                                | 491,721   |
| Cardiovascular Diseases Research   | 93.837         | —                            | 116,204                | —                                |   |
| Cardiovascular Diseases Research   | 93.837         | —                            | 115,350                | —                                |   |
| Cardiovascular Diseases Research   | 93.837         | —                            | 158,797                | —                                | 390,351   |
| Lung Diseases Research   | 93.838         | —                            | 122,370                | —                                | 122,370   |
| Arthritis, Musculoskeletal and Skin Diseases Research                        | 93.846         | —                            | (746)                  | —                                | (746)   |
| Diabetes, Digestive, and Kidney Diseases Extramural Research                 | 93.847         | —                            | (13)                   | —                                |   |
| Diabetes, Digestive, and Kidney Diseases Extramural Research                 | 93.847         | —                            | 22,381                 | —                                |   |
| Diabetes, Digestive, and Kidney Diseases Extramural Research                 | 93.847         | —                            | 15,827                 | —                                |   |
| Diabetes, Digestive, and Kidney Diseases Extramural Research                 | 93.847         | —                            | 294,213                | —                                | 332,408   |
| Digestive Diseases and Nutrition Research                                    | 93.848         | —                            | 103,857                | —                                | 103,857   |
| Kidney Diseases, Urology and Hematology Research                             | 93.849         | —                            | 175,818                | —                                | 175,818   |
| Extramural Research Programs in the Neurosciences and Neurological Disorders | 93.853         | —                            | 31,156                 | —                                |   |
| Extramural Research Programs in the Neurosciences and Neurological Disorders | 93.853         | —                            | 24,354                 | —                                |   |
| Extramural Research Programs in the Neurosciences and Neurological Disorders | 93.853         | —                            | 24,716                 | —                                |   |
| Extramural Research Programs in the Neurosciences and Neurological Disorders | 93.853         | —                            | 25,405                 | —                                |   |
| Extramural Research Programs in the Neurosciences and Neurological Disorders | 93.853         | —                            | 10,000                 | —                                |   |
| Extramural Research Programs in the Neurosciences and Neurological Disorders | 93.853         | —                            | 14,581                 | —                                | 130,212   |
| Allergy, Immunology and Transplantation Research                             | 93.855         | —                            | 127,266                | —                                |   |
| Allergy, Immunology and Transplantation Research                             | 93.855         | —                            | 21,268                 | —                                |   |
| Allergy, Immunology and Transplantation Research                             | 93.855         | —                            | 3,000                  | —                                |   |
| Allergy, Immunology and Transplantation Research                             | 93.855         | —                            | 120,065                | —                                | 271,599   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 212,914                | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 182                    | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 229,020                | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 7,901                  | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 8,528                  | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 5,695                  | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 9,807                  | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 114,394                | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 116,117                | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 221,696                | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 282,583                | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 62,553                 | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 192,144                | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 2,421                  | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 4,998                  | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 171                    | —                                |   |
| Biomedical Research and Research Training                                    | 93.859         | —                            | 184,370                | —                                | 1,655,494   |
| Aging Research   | 93.866         | —                            | 25,958                 | —                                |   |
| Aging Research   | 93.866         | —                            | 99,742                 | —                                | 125,700   |
| Vision Research  | 93.867         | —                            | 26,072                 | —                                |   |
| Vision Research  | 93.867         | —                            | 45,680                 | —                                |   |
| Vision Research  | 93.867         | —                            | 19,060                 | —                                | 90,812  |
| New York University School of Medicine                                       | 93.879         | NA                           | —                      | 1,000                            |   |
| New York University School of Medicine                                       | 93.879         | NA                           | —                      | 14,943                           |   |
| Medical Library Assistance   | 93.879         | —                            | 64,325                 | —                                | 80,268  |
| Grants for Training in Primary Care Medicine and Dentistry                   | 93.884         | —                            | 199,609                | —                                |   |
| Grants for Training in Primary Care Medicine and Dentistry                   | 93.884         | —                            | 154,176                | —                                |   |
| Grants for Training in Primary Care Medicine and Dentistry                   | 93.884         | —                            | 151,405                | —                                |   |
| Grants for Training in Primary Care Medicine and Dentistry                   | 93.884         | —                            | 3,661                  | —                                |   |
| Grants for Training in Primary Care Medicine and Dentistry                   | 93.884         | —                            | 5,515                  | —                                |   |
| Grants for Training in Primary Care Medicine and Dentistry                   | 93.884         | —                            | 199,838                | —                                |   |
| Grants for Training in Primary Care Medicine and Dentistry                   | 93.884         | —                            | 67,365                 | —                                | 781,569   |
| Health Care and Other Facilities   | 93.887         | —                            | 106,466                | —                                | 106,466   |
| Fund for Public Health in New York   | 93.889         | 12907400                     | —                      | 311                              |   |
| Health Research Inc  | 93.889         | 285705                       | —                      | 69                               |   |
| Health Research Inc  | 93.889         | 285605                       | —                      | 6,024                            |   |
| Health Research Inc  | 93.889         | 285706                       | —                      | 7,549                            |   |
| Health Research Inc  | 93.889         | 285606                       | —                      | 264,384                          |   |
| Health Research Inc  | 93.889         | 334803                       | —                      | 2,114                            |   |
| Health Research Inc  | 93.889         | 3348-04                      | —                      | 16,126                           | 296,577   |
| United Way of Long Island  | 93.914         | 9724                         | —                      | (5)                              |   |
| United Way of Long Island  | 93.914         | 9MA16                        | —                      | 2,211                            |   |
| United Way of Long Island  | 93.914         | 10331                        | —                      | 93,189                           |   |
| United Way of Long Island  | 93.914         | 10724                        | —                      | 51,188                           |   |
| United Way of Long Island  | 93.914         | 10725                        | —                      | 81,499                           |   |
| United Way of Long Island  | 93.914         | 10041                        | —                      | 442,593                          |   |
| United Way of Long Island  | 93.914         | 109200                       | —                      | 5,000                            |   |
| United Way of Long Island  | 93.914         | 10MA16                       | —                      | 10,070                           |   |
| United Way of Long Island  | 93.914         | 10MA110                      | —                      | 43,911                           |   |
| United Way of Long Island  | 93.914         | 109200                       | —                      | 1,666                            |   |
| United Way of Long Island  | 93.914         | NA                           | —                      | 35,934                           |   |
| United Way of Long Island  | 93.914         | 10MA16                       | —                      | 4,157                            |   |
| United Way of Long Island  | 93.914         | 10725                        | —                      | 34,748                           |   |
| United Way of Long Island  | 93.914         | NA                           | —                      | 31,312                           |   |
| United Way of Long Island  | 93.914         | 10041                        | —                      | 41,440                           |   |
| Public Health Solutions  | 93.914         | 07ESC364A                    | —                      | 9,112                            |   |
| Public Health Solutions  | 93.914         | 06SCF364                     | —                      | 158,215                          |   |
| Health Research Inc  | 93.914         | 233408                       | —                      | 251,919                          |   |
| Public Health Solutions  | 93.914         | 10MCM364 Medical Case Manage | —                      | 307,476                          |   |
| Public Health Solutions  | 93.914         | 07ESC364A                    | —                      | 108,002                          |   |
| Public Health Solutions  | 93.914         | 10MCM364                     | —                      | 249,784                          |   |
| Public Health Solutions  | 93.914         | 07ESC364A                    | —                      | 51,753                           |   |
| Public Health Solutions  | 93.914         | 06SCF364                     | —                      | 69,566                           | 2,084,740   |
| Health Research Inc  | 93.917         | 15335720                     | —                      | 92,983                           |   |
| Health Research Inc  | 93.917         | 15335721                     | —                      | 15,936                           |   |
| Health Research Inc  | 93.917         | 302105                       | —                      | 97,044                           |   |
| Health Research Inc  | 93.917         | 224107                       | —                      | 77,522                           |   |
| Health Research Inc  | 93.917         | 224107                       | —                      | 23,641                           |   |
| Health Research Inc  | 93.917         | 302106                       | —                      | 22,937                           |   |

**THE RESEARCH FOUNDATION OF  
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Year ended June 30, 2011

| Federal grantor/federal subdivision or pass-through grantor  | CFDA<br>number | Pass-through number  | Direct<br>expenditures | Pass-<br>through<br>expenditures | Total<br>expenditures<br>by CFDA and<br>Federal grantor |
|--|----------------|----------------------|------------------------|----------------------------------|---|
| Health Research Inc  | 93.917         | 357303               | \$ —                   | 226,188                          |   |
| Health Research Inc  | 93.917         | 357304               | —                      | 20,552                           |   |
| Health Research Inc  | 93.917         | 245406               | —                      | (27,279)                         |   |
| Health Research Inc  | 93.917         | rescinded            | —                      | (24,241)                         |   |
| Health Research Inc  | 93.917         | 393301               | —                      | 221,778                          |   |
| Health Research Inc  | 93.917         | 393302               | —                      | 21,879                           | 768,940   |
| Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease   | 93.918         | —                    | 580,811                | —                                |   |
| Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease   | 93.918         | —                    | 443,249                | —                                | 1,024,060   |
| Ryan White HIV/AIDS Dental Reimbursements Community Based Dental Partnership   | 93.924         | —                    | 12,413                 | —                                | 12,413  |
| Special Projects of National Significance  | 93.928         | —                    | 137,469                | —                                |   |
| Special Projects of National Significance  | 93.928         | —                    | 14,987                 | —                                |   |
| Special Projects of National Significance  | 93.928         | —                    | 245,474                | —                                |   |
| Special Projects of National Significance ICF Incorporated   | 93.928         | —                    | 50,486                 | —                                | 448,416   |
| Hetrick-Martin Institute   | 93.939         | 10ED00031            | —                      | 3,000                            |   |
| Health Research Inc  | 93.940         | 1U65PS002605-01      | —                      | 42,296                           | 45,296  |
| Health Research Inc  | 93.941         | 128310               | —                      | 198,419                          | 198,419   |
| HIV Demonstration, Research, Public and Professional Education Projects  | 93.941         | 15036803             | —                      | 60,092                           |   |
| Christopher and Dana Reeve Foundation  | 93.945         | —                    | 266,905                | —                                | 326,997   |
| Family Services Inc  | 93.959         | 1U59DD000338         | —                      | 5,979                            |   |
| University of Rochester  | 93.969         | N/A                  | —                      | 8,515                            | 8,515   |
| University of Rochester  | 93.969         | 415003G              | —                      | 7,771                            |   |
| Clinton County Office for the Aging  | 93.969         | 415366G              | —                      | 42,584                           |   |
| University of Rochester  | 93.969         | N/A                  | —                      | 544                              |   |
| Geriatric Education Centers  | 93.969         | 415002-G, UR 5-89956 | —                      | 641                              |   |
| Health Research Inc  | 93.978         | —                    | 123,561                | —                                | 175,101   |
| Texas Department of State Health Services  | 93.978         | 15031304             | —                      | 67,977                           |   |
| Colorado Department of Public Health and Environment   | 93.978         | 537000000361078      | —                      | 86,442                           |   |
| Colorado Department of Public Health and Environment   | 93.978         | OEFHAEPI11000022     | —                      | 31,453                           |   |
| Preventive Health Services Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants | 93.978         | OEFHAEPI1000125      | —                      | 7,867                            |   |
| International Research and Research Training   | 93.989         | —                    | 366,564                | —                                | 560,303   |
| International Research and Research Training   | 93.989         | —                    | 44,744                 | —                                |   |
| International Research and Research Training   | 93.989         | —                    | 531,808                | —                                |   |
| International Research and Research Training   | 93.989         | —                    | 81,877                 | —                                | 658,429   |
| NYS Department of Health   | 93.991         | C024260              | —                      | 2,576                            |   |
| NYS Department of Health   | 93.991         | C024260              | —                      | 75,817                           |   |
| NYS Department of Health   | 93.991         | C024260              | —                      | 10,636                           | 89,029  |
| NYS Department of Health   | 93.994         | C021664              | —                      | 6,414                            |   |
| NYS Department of Health   | 93.994         | C020211              | —                      | 319,668                          |   |
| NYS Department of Health   | 93.994         | C021664              | —                      | 50,903                           |   |
| NYS Department of Health   | 93.994         | C026816              | —                      | 346,951                          |   |
| NYS Department of Health   | 93.994         | C026997              | —                      | 59,789                           |   |
| NYS Department of Health   | 93.994         | RESCINDED            | —                      | (5,611)                          |   |
| NYS Department of Health   | 93.994         | C026024              | —                      | 63,273                           |   |
| NYS Department of Health   | 93.994         | C026024              | —                      | 9,605                            | 850,992   |
| <b>Total Department of Health and Human Services</b>   |                |                      | <b>34,088,905</b>      | <b>70,017,821</b>                | <b>104,106,726</b>                                      |
| Corporation for National and Community Service:  |                |                      |                        |                                  |   |
| ARRA – NYS Office of Children and Family Services  | 94.006         | T011658              | —                      | 2,786                            |   |
| ARRA – NYS Office of Children and Family Services  | 94.006         | C025818              | —                      | 8,832                            | 11,618  |
| Retired and Senior Volunteer Program   | 94.002         | —                    | 73,805                 | —                                |   |
| Retired and Senior Volunteer Program   | 94.002         | —                    | 54,017                 | —                                |   |
| Retired and Senior Volunteer Program   | 94.002         | —                    | 66,677                 | —                                | 194,499   |
| Harrisburg University of Science and Technology  | 94.005         | 09LHAPA002           | —                      | 7,590                            |   |
| Research Foundation of City University of New York   | 94.005         | 49222E               | —                      | 8,211                            |   |
| Research Foundation of City University of New York   | 94.005         | 49222B               | —                      | 12,315                           |   |
| Research Foundation of City University of New York   | 94.005         | 49222F               | —                      | 4,168                            |   |
| Research Foundation of City University of New York   | 94.005         | 49222C               | —                      | 25,954                           | 58,238  |
| NYS Office of Children and Family Services   | 94.006         | C025138              | —                      | 5,355                            |   |
| NYS Office of Children and Family Services   | 94.006         | T011670              | —                      | 4,965                            |   |
| NYS Office of Children and Family Services   | 94.006         | C025606              | —                      | (1,448)                          |   |
| NYS Office of Children and Family Services   | 94.006         | C025606              | —                      | 56,097                           |   |
| NYS Office of Children and Family Services   | 94.006         | C025606              | —                      | 96,431                           | 161,400   |
| Cornell University   | 94.007         | 628649435            | —                      | 247                              |   |
| Cornell University   | 94.007         | 628649436            | —                      | 125                              |   |
| Cornell University   | 94.007         | 62864-9385           | —                      | 250                              |   |
| Cornell University   | 94.007         | 628649433            | —                      | 110                              | 732   |
| <b>Total Corporation for National and Community Service</b>  |                |                      | <b>194,499</b>         | <b>231,988</b>                   | <b>426,487</b>  |
| Social Security Administration:  |                |                      |                        |                                  |   |
| NYS Office of Children and Family Services   | 96.001         | C02267               | —                      | 165,527                          |   |
| NYS Office of Temporary & Disability Assistance  | 96.001         | C002237              | —                      | 49,376                           |   |
| NYS Office of Children and Family Services   | 96.001         | C002281              | —                      | 1,617                            |   |
| NYS Office of Temporary & Disability Assistance  | 96.001         | N/A                  | —                      | 89,293                           |   |
| NYS Office of Temporary & Disability Assistance  | 96.001         | C003069              | —                      | 1,474                            |   |
| NYS Office of Temporary & Disability Assistance  | 96.001         | C003077              | —                      | 26,829                           |   |
| NYS Office of Children and Family Services   | 96.001         | N/A                  | —                      | (30)                             |   |
| NYS Office of Children and Family Services   | 96.001         | N/A                  | —                      | (20)                             | 334,066   |
| <b>Total Social Security Administration</b>  |                |                      |                        | <b>334,066</b>                   | <b>334,066</b>  |
| Department of Homeland Security:   |                |                      |                        |                                  |   |
| NYS Emergency Management Office  | 97.042         | C000468              | —                      | 43,206                           | 43,206  |
| Degrees at a Distance Program  | 97.103         | —                    | 2,308                  | —                                |   |
| Degrees at a Distance Program  | 97.103         | —                    | 8,649                  | —                                | 10,957  |
| <b>Total Department of Homeland Security</b>   |                |                      | <b>10,957</b>          | <b>43,206</b>                    | <b>54,163</b>   |
| Agency for International Development:  |                |                      |                        |                                  |   |
| USAID Foreign Assistance for Programs Overseas   | 98.001         | —                    | 1,241,839              | —                                |   |
| USAID Foreign Assistance for Programs Overseas   | 98.001         | —                    | 7,674,814              | —                                |   |
| USAID Foreign Assistance for Programs Overseas   | 98.001         | —                    | 1,385,275              | —                                |   |
| USAID Foreign Assistance for Programs Overseas   | 98.001         | —                    | 1,235,798              | —                                |   |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**  
Schedule of Expenditures of Federal Awards  
Year ended June 30, 2011

| <u>Federal grantor/federal subdivision or pass-through grantor</u> | <u>CFDA<br/>number</u> | <u>Pass-through number</u> | <u>Direct<br/>expenditures</u> | <u>Pass-<br/>through<br/>expenditures</u> | <u>Total<br/>expenditures<br/>by CFDA and<br/>Federal grantor</u> |
|--|------------------------|----------------------------|--------------------------------|---|---|
| USAID Foreign Assistance for Programs Overseas                     | 98.001                 | —                          | \$ 63,254                      | —   |   |
| USAID Foreign Assistance for Programs Overseas                     | 98.001                 | —                          | 2,123,769                      | —   |   |
| USAID Foreign Assistance for Programs Overseas                     | 98.001                 | —                          | 1,170,967                      | —   |   |
| USAID Foreign Assistance for Programs Overseas                     | 98.001                 | —                          | 1,064,034                      | —   |   |
| USAID Foreign Assistance for Programs Overseas                     | 98.001                 | —                          | (1,060)                        | —   |   |
| USAID Foreign Assistance for Programs Overseas                     | 98.001                 | —                          | 2,332,001                      | —   |   |
| USAID Foreign Assistance for Programs Overseas                     | 98.001                 | —                          | 1,896,084                      | —   |   |
| American Council on Education                                      | 98.001                 | N/A                        | —                              | 104,619                                   |   |
| East-West Management Institute Incorporated                        | 98.001                 | N/A                        | —                              | 291,446                                   |   |
| Chemonics International Incorporated                               | 98.001                 | DFDI0005002190005217SUNY   | —                              | (5,152)                                   |   |
| Asia Foundation  | 98.001                 | 31350203000                | —                              | 63,480                                    |   |
| Chemonics International Incorporated                               | 98.001                 | AID696C0900001SUNY         | —                              | 59,261                                    |   |
| Asia Foundation  | 98.001                 | N/A                        | —                              | 753,108                                   |   |
| Creative Associates International                                  | 98.001                 | AID522O1000010             | —                              | 28,102                                    | 21,481,639  |
| Total Agency for International Development                         |                        |                            | <u>20,186,775</u>              | <u>1,294,864</u>                          | <u>21,481,639</u>   |
| Total other programs   |                        |                            | <u>90,523,409</u>              | <u>103,529,411</u>                        | <u>194,052,820</u>  |
| Total expenditures of federal awards                               |                        |                            | <u>\$ 411,946,838</u>          | <u>156,137,594</u>                        | <u>568,084,432</u>  |

See accompanying independent auditors' report and notes to schedule of expenditures of federal awards.

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

**(1) Basis of Presentation**

The accompanying schedule of expenditures of federal awards (the Schedule) presents the direct and indirect expenditures of federal financial assistance programs administered by The Research Foundation of State University of New York (the RF) an entity defined in the financial statements.

The amounts reported were obtained from the RF's general ledger which is the source of the federal financial reports and is maintained on an accrual basis. However, the Schedule of Expenditures of Federal Awards is prepared on the cash basis. Negative amounts represent adjustments to expenditures reported in prior years in the normal course of business. Pass-through amounts are reported under the related Catalog of Federal Domestic Assistance (CFDA) number, as indicated on the schedule. CFDA and pass-through numbers are presented where available. Except for awards under the American Recovery and Reinvestment Act (ARRA), direct research and development awards are displayed in the Schedule in the aggregate by their federal agency subdivision.

**(2) Matching Costs**

Matching costs (i.e., the nonfederal share of program costs) are not included in the accompanying Schedule.

**(3) Relationship to Federal Financial Reports**

The regulations and guidelines governing preparation of federal financial reports do not match the accounting principles used by the RF to present amounts in the Schedule. Accordingly, the amounts reported in the federal financial reports do not necessarily agree with the amounts reported in the accompanying Schedule which is prepared on the basis, as explained in note 1.

**(4) Direct and Indirect Federal Award Expenditures**

Federal award expenditures consist of direct and indirect costs which are commonly referred to as facilities and administrative (F&A) costs. Direct costs are those that can be easily identified with an individual federally sponsored project. The salary of a principal investigator of a sponsored research project and the materials consumed by the project are examples of direct costs.

Unlike direct costs, indirect costs cannot be easily identified with an individual federally sponsored project. Indirect costs are the costs of services and resources that benefit both sponsored and nonsponsored projects and activities. Indirect costs consist of expenses incurred for administration, library, plant maintenance, and building and equipment depreciation.

The RF and federal agencies use an indirect cost rate to charge indirect costs to individual federally sponsored projects. The rate is a result of a number of complex cost allocation procedures that the RF uses to allocate its indirect costs to both sponsored and nonsponsored activities. Rates are negotiated with and approved by the RF's cognizant audit agency, the U.S. Department of Health and Human Services.

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

Indirect cost charges to federal awards for the year ended June 30, 2011 were as follows:

|                          |    |                              |
|--------------------------|----|------------------------------|
| Research and development | \$ | 102,339,524                  |
| Other programs           |    | <u>21,988,439</u>            |
| Total                    |    | <u><u>\$ 124,327,963</u></u> |

**(5) Clusters of Programs**

Part 5 of the OMB Circular A-133 Compliance Supplement identifies those programs that are considered to be clusters of programs as defined by OMB Circular A-133 (§ \_\_\_.105). A cluster of programs means Federal programs with different CFDA numbers that are defined as a cluster of programs because they are closely related programs that share common compliance requirements. In addition to the Research and Development Cluster, identified in the Schedule of Expenditures of Federal Awards, the RF had the following additional clusters:

|   |    | <u><b>Program<br/>expenditures</b></u> |
|---|----|--|
| SNAP Cluster:   |    |  |
| Supplemental Nutrition Assistance Program (10.551)  | \$ | 7,503,270                              |
| State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (10.561) |    | <u>268,155</u>                         |
| Total SNAP Cluster  | \$ | <u><u>7,771,425</u></u>                |
| Workforce Investment Act (WIA) Cluster:   |    |  |
| WIA Adult Program (17.258)  | \$ | 180,955                                |
| WIA Youth Activities (17.259)   |    | <u>17,058</u>                          |
| Total WIA Cluster   | \$ | <u><u>198,013</u></u>                  |
| Highway Safety Cluster:   |    |  |
| State and Community Highway Safety (20.600)   | \$ | 1,754,760                              |
| Occupant Protection Incentive Grants (20.602)   |    | 11,288                                 |
| Safety Belt Performance Grants (20.609)   |    | <u>6,536</u>                           |
| Total Highway Safety Cluster  | \$ | <u><u>1,772,584</u></u>                |
| Special Education Cluster:  |    |  |
| Special Education – Grants to States (84.027)   | \$ | 893,109                                |
| Special Education – Preschool Grants (84.173)   |    | <u>80,610</u>                          |
| Total Special Education Cluster   | \$ | <u><u>973,719</u></u>                  |
| Title I, Part A Cluster:  |    |  |
| Title I Grants to Local Educational Agencies (84.010)   | \$ | <u>181,406</u>                         |
| Total Title I, Part A Cluster   | \$ | <u><u>181,406</u></u>                  |



**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

|   | <u><b>Program<br/>expenditures</b></u> |
|---|--|
| Vocational Rehabilitation Cluster:  |  |
| Rehabilitation Services – Vocational Rehabilitation Grants to States (84.126)                                     | \$ 683,981                             |
| Rehabilitation Services – Vocational Rehabilitation Grants to States,<br>Recovery Act (84.390)                    | <u>156,107</u>                         |
| Total Vocational Rehabilitation Cluster   | <u><u>\$ 840,088</u></u>               |
| State Fiscal Stabilization Cluster:   |  |
| State Fiscal Stabilization Fund (SFSF) – Education State Grants, Recovery<br>Act (84.394)                         | \$ 25,099                              |
| State Fiscal Stabilization Fund (SFSF) – Government Securities, Recovery<br>Act (84.397)                          | <u>23,234</u>                          |
| Total State Fiscal Stabilization Cluster  | <u><u>\$ 48,333</u></u>                |
| TRIO Cluster:   |  |
| TRIO – Student Support Services (84.042)  | \$ 3,023,599                           |
| TRIO – Talent Search (84.044)   | 1,586,328                              |
| TRIO – Upward Bound (84.047)  | 3,843,407                              |
| TRIO – McNair Post-Baccalaureate Achievement (84.217)   | <u>1,323,478</u>                       |
| Total TRIO Cluster  | <u><u>\$ 9,776,812</u></u>             |
| Education of Homeless Children and Youth Cluster:   |  |
| Education of Homeless Children and Youth (84.196)   | \$ <u>26,191</u>                       |
| Total Education of Homeless Children and Youth Cluster  | <u><u>\$ 26,191</u></u>                |
| Teacher Quality Partnership Grants Cluster:   |  |
| Teacher Quality Partnership Grants (84.336)   | \$ <u>627</u>                          |
| Total Teacher Quality Partnership Grants Cluster  | <u><u>\$ 627</u></u>                   |
| Aging Cluster:  |  |
| Special Programs for the Aging – Title II, Part B – Grants for Supportive<br>Services and Senior Centers (93.044) | \$ <u>7,005</u>                        |
| Total Aging Cluster   | <u><u>\$ 7,005</u></u>                 |
| Immunization Cluster:   |  |
| Immunization (93.268)   | \$ 110,768                             |
| ARRA-Immunization (93.712)  | <u>213,453</u>                         |
| Total Immunization Cluster  | <u><u>\$ 324,221</u></u>               |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

|  | <u><b>Program<br/>expenditures</b></u> |
|--|--|
| Education Technology State Grants Cluster:   |  |
| Education Technology State Grants (84.318)   | \$ <u>24,823</u>                       |
| Total Education Technology State Grant Cluster   | \$ <u><u>24,823</u></u>                |
| Independent Living Services for Older Individuals Who are Blind Cluster:                   |  |
| Independent Living Services for Older Individuals Who are Blind (84.399)                   | \$ <u>177,612</u>                      |
| Total Independent Living Services for Older Individuals Who are<br>Blind Cluster           | \$ <u><u>177,612</u></u>               |
| Child Care Cluster:  |  |
| Child Care and Development Block Grant (93.575)  | \$ 3,047,494                           |
| Child Care Mandatory and Matching Funds of the Child Care and<br>Development Fund (93.596) | 12,530,770                             |
| ARRA – Child Care and Development Block Grant (93.713)                                     | <u>410,618</u>                         |
| Total Child Care Cluster   | \$ <u><u>15,988,882</u></u>            |
| Medicaid Cluster:  |  |
| Medical Assistance Program (93.778)  | \$ <u>5,863,911</u>                    |
| Total Medicaid Cluster   | \$ <u><u>5,863,911</u></u>             |
| Head Start Cluster:  |  |
| Head Start (93.600)  | \$ <u>276,276</u>                      |
| Total Head Start   | \$ <u><u>276,276</u></u>               |
| Disability Insurance/SSI Cluster:  |  |
| Social Security – Disability Insurance (96.001)  | \$ <u>334,066</u>                      |
| Total Disability Insurance/SSI Cluster   | \$ <u><u>334,066</u></u>               |
| Temporary Assistance for Needy Families (TANF) Cluster:                                    |  |
| Temporary Assistance for Needy Families (93.558)   | \$ <u>18,117,253</u>                   |
| Total Temporary Assistance for Needy Family Cluster  | \$ <u><u>18,117,253</u></u>            |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

**(6) Subrecipients**

Of the federal expenditures presented in the schedule, the RF provided the federal awards to subrecipients as follows (for both Research and Development and Other Programs) for the year ended June 30, 2011:

| <u>Program title</u>  | <u>Federal<br/>CFDA<br/>number</u> | <u>Research and<br/>development</u> | <u>Other<br/>programs</u> |
|---|------------------------------------|-------------------------------------|---------------------------|
| Department of Agriculture   | 10.000                             | \$ 7,792                            | —                         |
| Plant and Animal Disease, Pest Control,<br>and Animal Care          | 10.025                             | 167                                 | —                         |
| Forestry Research   | 10.652                             | 78,413                              | —                         |
| Cooperative Forestry Assistance                                     | 10.664                             | 16,250                              | —                         |
| Forest Health Protection  | 10.680                             | 3,937                               | —                         |
| Sea Grant Support   | 11.417                             | 1,416,699                           | —                         |
| Undersea Research   | 11.430                             | 9,308                               | —                         |
| Coastal Services Center   | 11.473                             | 25,704                              | —                         |
| Measurement and Engineering Research<br>and Standards               | 11.609                             | 1,385,104                           | —                         |
| Department of Defense   | 12.000                             | 324,051                             | —                         |
| Collaborative Research and Development                              | 12.114                             | 47,637                              | —                         |
| Basic and Applied Scientific Research                               | 12.300                             | 61,336                              | —                         |
| Military Medical Research and Development                           | 12.420                             | 36,780                              | —                         |
| Basic Scientific Research   | 12.431                             | 636,492                             | —                         |
| Basic, Applied, and Advanced Research<br>in Science and Engineering | 12.630                             | 164,272                             | —                         |
| Air Force Defense Research<br>Sciences Program                      | 12.800                             | 28,597                              | —                         |
| Research and Technology Development                                 | 12.910                             | 945,274                             | —                         |
| State Wildlife Grants   | 15.634                             | 10,143                              | —                         |
| Community Based Job Training Grants                                 | 17.269                             | —                                   | 125,501                   |
| Department of Transportation  | 20.000                             | 104,232                             | —                         |
| Highway Research and Development<br>Program                         | 20.200                             | 4,377                               | —                         |
| State and Community Highway Safety                                  | 20.600                             | —                                   | 80,000                    |
| Department of Treasury  | 21.000                             | 17,872                              | —                         |
| National Aeronautics and Space<br>Administration                    | 43.000                             | 31,068                              | —                         |
| Science   | 43.001                             | 105,536                             | —                         |
| Aeronautics   | 43.002                             | 12,760                              | —                         |
| Promotion of the Arts Grants to<br>Organizations and Individuals    | 45.024                             | —                                   | (12,149)                  |
| Engineering Grants  | 47.041                             | 447,201                             | —                         |
| Mathematical and Physical Sciences                                  | 47.049                             | 71,512                              | —                         |
| Geosciences   | 47.050                             | 320,469                             | 19,714                    |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| <u>Program title</u>  | <u>Federal<br/>CFDA<br/>number</u> | <u>Research and<br/>development</u> | <u>Other<br/>programs</u> |
|---|------------------------------------|-------------------------------------|---------------------------|
| Computer and Information Science and<br>Engineering   | 47.070                             | \$ 166,116                          | 44,958                    |
| Biological Sciences   | 47.074                             | 190,862                             | —                         |
| Social, Behavioral, and Economic Sciences   | 47.075                             | 66,835                              | —                         |
| Education and Human Resources   | 47.076                             | 209,485                             | 27,993                    |
| International Science and<br>Engineering (OISE)   | 47.079                             | 91,324                              | —                         |
| Office of Cyberinfrastructure   | 47.080                             | 121,618                             | —                         |
| Trans-NFS Recovery Act<br>Reasearch Support   | 47.082                             | 167,069                             | 26,000                    |
| Small Business Development Center   | 59.037                             | —                                   | 4,009,145                 |
| Surveys, Studies, Research, Investigations,<br>Demonstrations, and Special Purpose<br>Activities Relating to the Clean Air Act  | 66.034                             | 85,169                              | —                         |
| Long Island Sand Program  | 66.437                             | 25,959                              | —                         |
| Great Lakes Program   | 66.469                             | 35,597                              | —                         |
| Surveys, Studies, Investigations and<br>Special Purpose Grants  | 66.606                             | 5,626                               | —                         |
| Pollution Prevention Grants Program   | 66.708                             | —                                   | 74,374                    |
| Department of Energy  | 81.000                             | 33,087                              | —                         |
| State Energy Program  | 81.041                             | 7,471                               | —                         |
| Office of Science Financial Assistance<br>Program   | 81.049                             | 1,802,372                           | —                         |
| Renewable Energy Research and<br>Development  | 81.087                             | 328,636                             | 451,330                   |
| Energy Efficiency and Renewable Energy<br>Information Dissemination, Outreach,<br>Training and Technical<br>Analysis/Assistance | 81.117                             | —                                   | 36,533                    |
| Migrant Education State Grant Program   | 84.011                             | —                                   | 149,934                   |
| Special Education Grants to States  | 84.027                             | —                                   | 14,298                    |
| Women's Educational Equity Program  | 84.083                             | —                                   | 26,000                    |
| Fund for the Improvement of<br>Postsecondary Education  | 84.116                             | —                                   | 5,713                     |
| Rehabilitation Services Vocational<br>Rehabilitation Grants to States   | 84.126                             | —                                   | 20,000                    |
| National Institute on Disability and<br>Rehabilitation Research   | 84.133                             | 649,179                             | —                         |
| Education Research, Development and<br>Dissemination  | 84.305                             | 370,269                             | —                         |
| Research in Special Education   | 84.324                             | 312,529                             | —                         |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| <u>Program title</u>   | <u>Federal<br/>CFDA<br/>number</u> | <u>Research and<br/>development</u> | <u>Other<br/>programs</u> |
|--|------------------------------------|-------------------------------------|---------------------------|
| Special Education – Personnel Development<br>to Improve Services and Results for<br>Children with Disabilities | 84.325                             | \$ 27,000                           | —                         |
| Gaining Early Awareness and Readiness<br>for Undergraduate Programs  | 84.334                             | —                                   | 49,108                    |
| Improving Teacher Quality State Grants   | 84.367                             | —                                   | 334,956                   |
| Department of Health and Human Services<br>Public Health Emergency Preparedness                                | 93.000                             | 651,333                             | 24,600                    |
| Area Health Education Centers Point of<br>Service Maintenance and Enhancement<br>Awards                        | 93.069                             | —                                   | 62,093                    |
| Environmental Health   | 93.107                             | —                                   | 623,314                   |
| Oral Diseases and Disorders Research   | 93.113                             | 420,365                             | —                         |
| Grants to Increase Organ Donations   | 93.121                             | 2,323,974                           | —                         |
| Coordinated Services and Acces to<br>Research for Women, Infants, Children,<br>and Youth                       | 93.134                             | 107,422                             | —                         |
| Human Genome Research  | 93.153                             | 500,802                             | —                         |
| Research Related to Deafness and<br>Communication Disorders  | 93.172                             | 74,319                              | —                         |
| Grants for Dental Public Health Residency<br>Training  | 93.173                             | 95,245                              | —                         |
| Mental Health Research Grants  | 93.236                             | —                                   | 13,254                    |
| Substance Abuse and Mental Health<br>Services Projects of Regional and<br>National Significance                | 93.242                             | 1,111,125                           | —                         |
| Occupational Safety and Health Program   | 93.243                             | —                                   | (23)                      |
| Alcohol Research Programs  | 93.262                             | 128,283                             | 432,309                   |
| Drug Abuse Research Programs   | 93.273                             | 6,752,010                           | —                         |
| Discovery and Applied Research for<br>Technological Innovations to Improve<br>Human Health                     | 93.279                             | 591,049                             | —                         |
| Minority Health and Health Disparities<br>Research   | 93.286                             | 10,062                              | —                         |
| Cancer Cause and Prevention Research   | 93.307                             | 127,279                             | 11,760                    |
| Cancer Detection and Diagnosis Research  | 93.393                             | 359,973                             | —                         |
| Cancer Treatment Research  | 93.394                             | 59,964                              | —                         |
| Cancer Biology Research  | 93.395                             | 174,794                             | —                         |
| Cancer Control   | 93.396                             | 147,419                             | —                         |
| Temporary Assistance for Needy Families  | 93.399                             | 61,246                              | —                         |
| Child Support Enforcement  | 93.558                             | —                                   | 1,856,608                 |
| Child Care and Development Block Grant   | 93.563                             | —                                   | 88,269                    |
|  | 93.575                             | —                                   | 2,866,262                 |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| <u>Program title</u>  | <u>Federal<br/>CFDA<br/>number</u> | <u>Research and<br/>development</u> | <u>Other<br/>programs</u> |
|---|------------------------------------|-------------------------------------|---------------------------|
| Child Care Mandatory and Matching Funds<br>of the Child Care and Development Fund | 93.596                             | \$ —                                | 151,270                   |
| Child Welfare Research Training or<br>Demonstration                               | 93.648                             | —                                   | 3,954,174                 |
| Trans-NIH Recovery Act Research<br>Support  | 93.701                             | 3,835,907                           | —                         |
| Medical Assistance Program  | 93.778                             | —                                   | 153,223                   |
| Cardiovascular Diseases Research  | 93.837                             | 294,983                             | —                         |
| Blood Diseases and Resources Research   | 93.839                             | 99,636                              | —                         |
| Arthritis, Musculoskeletal and Skin<br>Diseases Research                          | 93.846                             | 434,547                             | —                         |
| Diabetes, Digestive, and Kidney Diseases<br>Extramural Research                   | 93.847                             | 1,269,197                           | —                         |
| Kidney Diseases, Urology and<br>Hematology Research                               | 93.849                             | 155,196                             | —                         |
| Extramural Research Programs in the<br>Neurosciences and Neurological Disorders   | 93.853                             | 109,713                             | —                         |
| Allergy, Immunology and Transplantation<br>Research                               | 93.855                             | 597,278                             | —                         |
| Biomedical Research and Research<br>Training                                      | 93.859                             | 1,156,124                           | 111,685                   |
| Population Research   | 93.864                             | 46,305                              | —                         |
| Child Health and Human Development<br>Extramural Research                         | 93.865                             | 680,575                             | —                         |
| Aging Research  | 93.866                             | 418,837                             | —                         |
| Vision Research   | 93.867                             | 182,058                             | —                         |
| HIV Emergency Relief Project Grants   | 93.914                             | —                                   | 314,995                   |
| Special Projects of National Significance   | 93.928                             | —                                   | 118,728                   |
| HIV Demonstration, Research, Public and<br>Professional Education Projects        | 93.941                             | —                                   | 204,699                   |
| Geriatric Education Centers   | 93.969                             | —                                   | 24,069                    |
| Family Planning Service Delivery<br>Improvement Research Grants                   | 93.974                             | 99,489                              | —                         |
| International Research and Research<br>Training                                   | 93.989                             | 65,016                              | 41,844                    |
| Preventive Health and Health Services<br>Block Grant                              | 93.991                             | —                                   | 8,000                     |
| Maternal and Child Health Services Block<br>Grant to the States                   | 93.994                             | —                                   | 407,193                   |
| Homeland Security Advanced Research<br>Projects Agency                            | 97.065                             | 81,848                              | —                         |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2011

| <u>Program title</u>                              | <u>Federal<br/>CFDA<br/>number</u> | <u>Research and<br/>development</u> | <u>Other<br/>programs</u> |
|---|------------------------------------|-------------------------------------|---------------------------|
| USAID Foreign Assistance for<br>Programs Overseas | 98.001                             | \$ <u>59,550</u>                    | <u>2,510,647</u>          |
| Total amount provided to<br>subrecipients         |                                    | \$ <u><u>34,292,109</u></u>         | <u><u>19,462,381</u></u>  |



KPMG LLP  
515 Broadway  
Albany, NY 12207-2974

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

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

We have audited the financial statements of The Research Foundation of State University of New York (the RF) as of and for the year ended June 30, 2011, and have issued our report thereon dated September 16, 2011. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

**Internal Control over Financial Reporting**

Management of the RF is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered the RF's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the RF's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the RF's internal control over financial reporting.

A deficiency in internal control over financial reporting exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or combination of deficiencies, in internal control over financial reporting, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis.

Our consideration of internal control over financial reporting 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 financial reporting that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.





### **Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the RF's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

This report is intended solely for the information and use of the Board of Directors and management, federal agencies, and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

**KPMG LLP**

September 16, 2011



KPMG LLP  
515 Broadway  
Albany, NY 12207-2974

## **Independent Auditors' Report on Compliance with Requirements That Could Have a Direct and Material Effect on Each Major Program and on Internal Control over Compliance in Accordance with OMB Circular A-133**

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

### **Compliance**

We have audited The Research Foundation of State University of New York's (the RF) compliance with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) *Circular A-133 Compliance Supplement* that could have a direct and material effect on each of the RF's major federal programs for the year ended June 30, 2011. The RF's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to its major federal programs is the responsibility of the RF's management. Our responsibility is to express an opinion on the RF's compliance based on our audit.

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 OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the RF's compliance with those requirements and performing such other procedures as we consider necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination on the RF's compliance with those requirements.

In our opinion, the RF complied, in all material respects, with the 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, 2011. However, the results of our auditing procedures disclosed instances of noncompliance with those requirements, which are required to be reported in accordance with OMB Circular A-133 and which are described in the accompanying schedule of findings and questioned costs as items 2011-01 and 2011-02.

### **Internal Control over Compliance**

Management of the RF is responsible for establishing and maintaining effective internal control over compliance with requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered the RF's internal control over compliance with the requirements that could have a direct and material effect on a major federal program to determine the auditing procedures for the purpose of expressing our opinion on compliance and to test and report on



internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the RF's internal control over compliance.

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

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 deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above.

The RF's responses to the findings identified in our audit are described in the accompanying schedule of findings and questioned costs. We did not audit the RF's responses and, accordingly, we express no opinion on the responses.

This report is intended solely for the information of the Board of Directors and management of the RF, federal awarding agencies and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

*KPMG LLP*

January 30, 2012

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Findings and Questioned Costs

Year ended June 30, 2011

**(1) Summary of Auditors' Results**

***Financial Statements***

- a) An unqualified opinion based on our audit was issued on the financial statements of the Research Foundation of State University of New York (the RF) as of and for the year ended June 30, 2011.
- b) The audit reported no significant deficiencies or material weaknesses in connection with the financial statements of the RF as of and for the year ended June 30, 2011.
- c) The audit reported no instances of noncompliance which are material to the basic financial statements of the RF as of and for the year ended June 30, 2011.

***Single Audit***

- d) The audit reported no significant deficiencies or material weaknesses in connection with the major federal programs of the RF for the year ended June 30, 2011.
- e) An unqualified opinion was issued on the RF's compliance with each of its major federal programs for the year ended June 30, 2011.
- f) There are two findings which are required to be reported under Section 510(a) of OMB Circular A-133 for the year ended June 30, 2011.
- g) The major federal programs of the RF for the year ended June 30, 2011 are as follows:

| <b>Name of federal program</b>                              | <b>CFDA number</b>                |
|---|-----------------------------------|
| Research and Development Cluster                            | Various                           |
| Education and Human Resources                               | 47.076                            |
| ARRA-Trans-NSF Recovery Act Research Support                | 47.082                            |
| Migrant Education – State Grant                             | 84.011                            |
| TRIO Cluster  | 84.042, 84.044, 84.047 and 84.217 |
| Occupational Safety and Health Program                      | 93.262                            |
| ARRA-Equipment to Enhance Training for Health Professionals | 93.411                            |
| Child Care Cluster  | 93.575, 93.596 and 93.713         |
| Child Welfare Research Training or Demonstration            | 93.648                            |
| ARRA-Trans-NIH Recovery Act Research Support                | 93.701                            |
| ARRA-NYS Office of the Aging                                | 93.725                            |
| Medicaid Cluster  | 93.778                            |

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Findings and Questioned Costs

Year ended June 30, 2011

- h) The dollar threshold used to distinguish between Type A and Type B programs was \$3 million.
- i) The RF is considered to be a low risk auditee for the year ended June 30, 2011.

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

None

**(3) Findings and Questioned Costs Relating to Federal Awards**

See pages 76 to 79.

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Findings and Questioned Costs

Year ended June 30, 2011

**The Research Foundation of State University of New York**

**Research and Development Cluster (93.701 and 93.859)**

**Federal Award Number:      Various                      Award Years:      Various**

**U.S. Department of Health and Human Services**

**Responsible Campus: Downstate Medical Center**

**Finding Reference:      2011-01**

**Requirement**

The recipient's property management standards for equipment acquired with Federal funds and federally-owned equipment shall include all of the following.(1) Equipment records shall be maintained accurately and shall include the following information.(i) A description of the equipment.(ii) Manufacturer's serial number, model number, Federal stock number, national stock number, or other identification number.(iii) Source of the equipment, including the award number.(iv) Whether title vests in the recipient or the Federal Government.(v) Acquisition date (or date received, if the equipment was furnished by the Federal Government) and cost.(vi) Information from which one can calculate the percentage of Federal participation in the cost of the equipment (not applicable to equipment furnished by the Federal Government).(vii) Location and condition of the equipment and the date the information was reported(viii) Unit acquisition cost.(ix) Ultimate disposition data, including date of disposal and sales price or the method used to determine current fair market value where a recipient compensates the Federal awarding agency for its share.(2) Equipment owned by the Federal Government shall be identified to indicate Federal ownership.(3) A physical inventory of equipment shall be taken and the results reconciled with the equipment records at least once every two years. Any differences between quantities determined by the physical inspection and those shown in the accounting records shall be investigated to determine the causes of the difference. The recipient shall, in connection with the inventory, verify the existence, current utilization, and continued need for the equipment. (2CFR 215.34 (f) (1) and (3)).

**Finding and Recommendation**

The Research Foundation of State University of New York (the RF) has established policies and procedures to ensure that equipment purchased and used in federal programs follows the appropriate federal regulations. The RF uses a central property control system to manage the equipment records at each of its campus locations.

During our audit procedures related to the RF's compliance with federal equipment requirements for its research and development programs we noted the following at Downstate Medical Center:

- Property Status Change Request Forms authorizing equipment deletions were not approved by all designated campus officials. The Property Status Change Request Form is required to be completed and signed by the appropriate campus officials for a change in equipment status. Our entire sample of three Property Status Change Request Forms were signed by the RF Operations Manager, but did not contain the signatures of other designated campus officials. In addition, KPMG noted that the Property Control Officer signature was pre-printed on the Property Status Change Request Forms and was not an original signature.

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Findings and Questioned Costs

Year ended June 30, 2011

We recommend that all campuses of the RF follow its established policies and procedures to ensure compliance.

**Questioned Costs**

None

**Views of Responsible Officials and Corrective Actions**

While we concur that not all the signatures on the Property Status Change Form were collected, the required signatures (the Property Control Officer and the RF Operations Manager or Designee) were obtained on the forms. Our policy states that “after receiving the *appropriate approvals*, the Research Foundation property may be removed and disposed of through standard operating location procedures.” We will update this procedure to specify that the appropriate approvals would include the Property Control Officer and the Campus Operations Manager or Designee. In the mean time, the campus has already implemented a requirement that all signatures are obtained on the form until the RF policy is updated/clarified.

We also agree that the campus Property Control Officer should not be using forms with a signature pre-printed on the form. The campus has discontinued this practice and is ensuring that only original signatures are obtained on the form.

**Contact:** Christopher Wade

**Implementation Date:** January 2012

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Findings and Questioned Costs

Year ended June 30, 2011

**Child Care Development Fund Cluster (93.596)**

**State Contract Number: C026022  
C026292**

**State Contract Period: January 1, 2010 – December 31, 2010  
January 1, 2011 – December 31, 2011**

**U.S. Department of Health and Human Services**

**Responsible campus: University at Albany**

**Finding Reference: 2011-02**

**Requirement**

The Educational Incentive Program (EIP) is a scholarship program which helps providers pay for high quality training and education they need to provide quality care to children. Childcare providers must be required to take training and be caring for children in a program regulated by the New York State Office of Children and Family Services or the New York City Department of Health. Eligibility is based on employment status, level of income and course or training chosen. Eligible recipients must be a U.S. citizen, permanent resident, or resident alien authorized to work in the U.S. and must be a paid employee currently caring for children as part of the adult/child ratio requirement in a child day care program licensed or registered by the New York State Office of Children and Family Services (OCFS) or the New York City Department of Health. Employment verification is required with each application. Adjunct childcare staff, consultants, and staff not counted in the adult/child ratio are not eligible for scholarship. Legally exempt and No Permit Required programs are not eligible. Scholarship amounts are determined using household size and income and size as reported on the most recent IRS Form 1040. Applicants with income levels that exceed income criteria are not eligible to receive a scholarship.

**Finding and Recommendation**

The Research Foundation of State University of New York (the RF) has established policies and procedures to ensure that individuals receiving scholarships under the Educational Incentive Program are eligible in accordance with OCFS contract requirements. The RF uses an application process that can be completed through an online website, fax or mail.

During our audit procedures related to the RF's compliance with eligibility requirements for the EIP programs operated under the Child Care Development Fund Cluster, we were unable to re-perform certain eligibility requirements included on the RF application for 5 of the 30 program participants selected, since all supporting documentation was not retained.

We recommend that program staff maintain all documentation necessary to re-perform a program participant's eligibility to receive scholarship awards under EIP.

**Questioned Costs**

None



**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Schedule of Findings and Questioned Costs

Year ended June 30, 2011

**Views of Responsible Officials and Corrective Actions**

While we concur that not all original documentation was retained by the program to re-perform a participant's eligibility, there are compensating controls in the EIP database itself that include the ability to decline a participant's application based on pre-determined criteria, including income and employment eligibility. In addition, payments are made to the training organizations that employ the participants and program reviews of training organizations are conducted by EIP specialists to ensure that the terms and conditions stipulated by EIP are met. We believe that there are sufficient compensating controls to alleviate the likelihood of errors in accepting participants into the program that do not meet the income and employment eligibility requirements.

We also agree that program staff should maintain all original source documents and the program has made changes to their process to maintain such documentation for the appropriate retention period.

**Contact:** Garrett Sanders

**Implementation Date:** January 2012



**SUMMARY OF PRIOR YEAR'S FINDINGS  
AND QUESTIONED COSTS**

Prepared by Management of The Research Foundation of  
State University of New York

(Not Covered by Auditors' Reports)

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Summary of Prior Year's Findings and Questioned Costs

Year ended June 30, 2011

| <b>Prior Year Finding Reference</b> | <b>Program and CFDA Number</b>  | <b>Compliance Requirement</b> | <b>Summary of Finding</b>  | <b>Status</b>   |
|-------------------------------------|---|-------------------------------|--|---|
| 2010-01                             | Medical Assistance Program<br><br>CFDA: 93.778<br><br>State Contract Number: C-290565, C-270469 | Not Applicable                | <p>In July 2009, The Research Foundation for State University of New York (the RF) received a grand jury subpoena related to a sponsored program doing business as The Center for the Development of Human Services (CDHS) at Buffalo State College from the United States Attorney for the Northern District of New York (US Attorney) in connection with a federal investigation into possible violations of various federal criminal laws (Federal Investigation)<sup>1</sup>. The subpoena required the production of all documents related to the Payment Error Rate Measurement (PERM) and Medicaid Eligibility Quality Control (MEQC) projects (PERM/MEQC Projects) sponsored by the New York State Department of Health (NYSDOH) with pass-through funding from the U.S. Department of Health and Human Services (DHHS). In September 2009, another grand jury subpoena for additional records was issued to CDHS (collectively, Subpoenas).</p> <p>In addition, in October 2009, the RF became aware that</p> | <p>The position of RF management is that the finding was related to subpoenas concerning alleged improper programmatic actions at one sponsored program located at one of the RF's multiple locations. Management's position is that this matter was isolated and did not appear to create material liability and did not have repercussions on the RF's continued ability to fully comply with federal regulations governing sponsored programs. In addition, there is no longer activity on the specific contracts in question.</p> |

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<sup>1</sup> Originally this subpoena was issued in the name of "CDHS" and not RF SUNY. At the request of RF SUNY the US Attorney issued a new subpoena in the name of The Research Foundation of State University of New York on September 1, 2009 and received on September 2, 2009.

(Continued)

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Summary of Prior Year's Findings and Questioned Costs

Year ended June 30, 2011

| <b>Prior Year Finding Reference</b> | <b>Program and CFDA Number</b>   | <b>Compliance Requirement</b>          | <b>Summary of Finding</b>   | <b>Status</b>   |
|-------------------------------------|--|--|---|---|
|                                     |  |  | eight of its employees working in CDHS had received letters from the US Attorney notifying these employees that they were "targets" of the Federal Investigation.   |   |
| 2010-02                             | Research and Development Cluster<br><br>CFDA: Various<br><br>Federal Award Number: Various | Equipment and Real Property Management | <p>During our audit procedures related to the RF's compliance with Federal equipment requirements for its research and development programs we noted the following at the College of Environmental Science and Forestry:</p> <ul style="list-style-type: none"> <li>• Physical inventories had not been performed once every two years for the campus departments receiving Federal research and development funds.</li> <li>• Our sample of five Property Change Request Forms authorizing equipment deletions were not signed by appropriate campus officials.</li> </ul> | This finding was in reference to the physical inventory not being complete for the College of Environmental Science and Forestry. The inventory has been completed and there are policies and procedures in place for the inventory to be done once every two years. Additionally, the campus is in the process of implementing procedures to ensure that all equipment deletions have the appropriate authorization in accordance with RF policy |

(Continued)

**THE RESEARCH FOUNDATION OF  
STATE UNIVERSITY OF NEW YORK**

Summary of Prior Year's Findings and Questioned Costs

Year ended June 30, 2011

| <b>Prior Year Finding Reference</b> | <b>Program and CFDA Number</b>   | <b>Compliance Requirement</b> | <b>Summary of Finding</b>   | <b>Status</b>  |
|-------------------------------------|--|-------------------------------|---|--|
| 2010-03                             | <p>Research and Development Cluster</p> <p>CFDA: 47.074, 47.082, 43.000</p> <p>Federal Award Number: ARC-0915131, NNA06CA71G</p> | Allowable Cost Principles     | <p>We selected a sample of 120 research and development payroll charges across seven campuses and reviewed documentation supporting amounts charged to Federal awards including periodic effort reports.</p> <p>During these audit procedures related to the RF's compliance with payroll charges and related effort reporting we noted the following:</p> <p>University at Stony Brook campus:</p> <ul style="list-style-type: none"> <li>• One effort report did not agree with the approved labor distribution. As a result, the campus transferred \$3,462 from one award to another to correctly reflect the proper effort between the two awards.</li> </ul> <p>University at Buffalo campus:</p> <ul style="list-style-type: none"> <li>• One effort report was not signed to attest to the documented effort. Subsequent to our audit the RF was able to obtain a signed effort report to attest to the documented effort.</li> <li>• One employee's effort report was superseded and the employee's new effort report was not recreated and recertified. Subsequent to our audit, the RF recreated and recertified the effort report.</li> <li>• One employee's effort report could not be located.</li> </ul> | <p>There is no change to our response in the 2010 A-133 report. These questioned costs were removed from the associated sponsored awards. In addition, the Research Foundation is in the process of replacing its current manual, paper-driven effort reporting process with a state of the art electronic effort reporting solution that will help ensure regulatory compliance through accuracy and education.</p> |