



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

OMB Circular A-133 Audit Report

Year ended June 30, 2013

(With Independent Auditors' Report Thereon)

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

OMB Circular A-133 Audit Report

Year ended June 30, 2013

**Table of Contents**

	<b>Page(s)</b>
Independent Auditors' Report	1 – 2
Financial Statements:	
Balance Sheets	3
Statements of Activities	4
Statements of Cash Flows	5
Notes to Financial Statements	6 – 32
Schedule of Expenditures of Federal Awards	33 – 52
Notes to Schedule of Expenditures of Federal Awards	53 – 60
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 <i>Government Auditing Standards</i>	61 – 62
Independent Auditors' Report on Compliance for Each Major Program and Report on Internal Control over Compliance Required by OMB Circular A-133, <i>Audits of States, Local Governments, and Non-Profit Organizations</i>	63 – 64
Schedule of Findings and Questioned Costs	65 – 70



KPMG LLP  
515 Broadway  
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## Independent Auditors' Report

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

### **Report on the Financial Statements**

We have audited the accompanying financial statements of The Research Foundation for the State University of New York (the RF), which comprise the balance sheets as of June 30, 2013 and 2012, the related statements of activities and cash flows for the years then ended, and the related notes to the financial statements.

### ***Management's Responsibility for the Financial Statements***

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

### ***Auditors' Responsibility***

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

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

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

### ***Opinion***

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of The Research Foundation for the State University of New York as of June 30, 2013 and 2012, and the changes in its net assets and its cash flows for the years then ended in accordance with U.S. generally accepted accounting principles.



***Other Matters***

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis, as required by 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 financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditure of federal awards is fairly stated, in all material respects, in relation to the financial statements as a whole.

***Other Reporting Required by Government Auditing Standards***

In accordance with *Government Auditing Standards*, we have also issued our report dated November 5, 2013 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 internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the RF's internal control over financial reporting and compliance.

**KPMG LLP**

November 5, 2013

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

Balance Sheets

June 30, 2013 and 2012

<b>Assets</b>	<b>2013</b>	<b>2012</b>
Current assets:		
Cash and cash equivalents	\$ 892,331	916,046
Accounts receivable, net	217,354,949	218,675,127
Advances to others	13,451,528	13,074,958
Short-term investments	141,176,274	187,643,083
Due from broker for securities sold	333,358	18,873,180
Other assets	3,343,596	8,771,195
Total current assets	<u>376,552,036</u>	<u>447,953,589</u>
Noncurrent assets:		
Long-term investments	34,319,555	22,069,011
Long-term investments pledged	9,518,188	10,000,000
Fixed assets, net	71,882,292	29,377,905
Intangible assets, net	75,639,031	46,849,500
Other assets	25,579,225	20,653,262
Total noncurrent assets	<u>216,938,291</u>	<u>128,949,678</u>
Total assets	<u>\$ 593,490,327</u>	<u>576,903,267</u>
<b>Liabilities and Net Deficit</b>		
Current liabilities:		
Accounts payable and accrued expenses	\$ 85,025,036	85,799,427
Accrued compensation	13,377,599	12,805,346
Accrued vacation	27,434,790	28,413,229
Deferred revenue	137,603,158	155,799,328
Deposits held for others	4,465,447	32,759,801
Current portion of capital lease obligations	6,738,508	6,452,681
Current portion of long-term debt	1,150,878	656,812
Line of credit	25,096,988	28,176,445
Total current liabilities	<u>300,892,404</u>	<u>350,863,069</u>
Noncurrent liabilities:		
Deposits held for others	1,135,745	1,237,554
Post-retirement benefit obligation	280,604,038	303,580,000
Deferred revenue	53,034,270	—
Capital lease obligations, net of current portion	10,670,018	17,408,526
Long-term debt, net of current portion	8,542,662	9,612,288
Other liabilities	7,460,743	5,535,572
Total noncurrent liabilities	<u>361,447,476</u>	<u>337,373,940</u>
Total liabilities	<u>662,339,880</u>	<u>688,237,009</u>
Unrestricted net assets (deficit):		
Available for operations	55,672,428	47,528,258
Reserve for future post-retirement benefit costs	(124,521,981)	(158,862,000)
Total net deficit	<u>(68,849,553)</u>	<u>(111,333,742)</u>
Total liabilities and net deficit	<u>\$ 593,490,327</u>	<u>576,903,267</u>

See accompanying notes to financial statements.

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

Statements of Activities

Years ended June 30, 2013 and 2012

	<b>2013</b>	<b>2012</b>
Revenues:		
Grants awarded for research and other sponsored activities:		
Federal	\$ 382,783,708	390,740,646
Federal flow through	149,797,157	157,520,496
New York State	193,004,524	154,341,772
Private and other	289,646,332	179,392,842
Total grants awarded for research and other sponsored activities	1,015,231,721	881,995,756
Investment income, net	11,388,943	5,380,612
Inventions and licenses income	7,847,137	10,853,368
Other income	45,035,593	40,189,091
Total revenues	1,079,503,394	938,418,827
Expenses:		
Sponsored programs and other activities	861,800,208	743,425,005
Other program expenses	34,429,287	24,913,909
Administration and support	171,629,729	152,801,347
Total expenses	1,067,859,224	921,140,261
Change in net assets from revenues and expenses	11,644,170	17,278,566
Other changes:		
Inherent net contribution from ITC/STC acquisition	—	7,763,451
Transfer to affiliate organization FRMC	(3,500,000)	(10,000,000)
Post-retirement related change other than net periodic benefit gains (costs)	34,340,019	(93,865,000)
Change in net assets	42,484,189	(78,822,983)
Net deficit at beginning of year	(111,333,742)	(32,510,759)
Net deficit at end of year	\$ (68,849,553)	(111,333,742)

See accompanying notes to financial statements.

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

Statements of Cash Flow

Years ended June 30, 2013 and 2012

	2013	2012
Cash flow from operating activities:		
Federal grants and contracts	\$ 538,966,544	531,084,663
State and local grants and contracts	143,125,611	140,554,572
Private gifts and grants	303,694,245	190,864,048
Other receipts	252,308,309	211,535,183
Salaries and wages payments	(401,856,145)	(419,576,297)
Employee benefits payments	(146,085,800)	(149,723,030)
Payments to suppliers and vendors	(596,421,632)	(457,480,640)
Operating interest, dividends and investment gains	2,335,660	2,949,055
Distribution from BSA partnership	1,415,823	1,584,000
Interest payments on capital debt and notes	(1,108,208)	(729,808)
Other payments	(107,428,220)	(80,265,306)
Net cash used by operating activities	(11,053,813)	(29,203,560)
Cash flows from investing activities:		
Proceeds from sales of investments	390,621,707	260,297,462
Purchases of investments	(329,923,260)	(233,071,249)
Cash paid for purchases of fixed and intangible assets	(39,479,399)	(25,896,492)
Net cash provided by investing activities	21,219,048	1,329,721
Cash flows from financing activities:		
Principal payments on long-term debt	(7,109,491)	(3,327,459)
Proceeds from Simons Foundation Loan (for NYGC)	—	2,564,100
Proceeds from Upstate Medical Loan	—	2,500,000
Proceeds from sale leaseback at CNSE	—	27,000,000
Proceeds from line of credit	39,340,964	107,711,763
Payments on line of credit	(42,420,423)	(108,735,318)
Net cash (used) provided by financing activities	(10,188,950)	27,713,086
Net decrease in cash and cash equivalents	(23,715)	(160,753)
Cash and cash equivalents, beginning of year	916,046	1,076,799
Cash and cash equivalents, end of year	\$ 892,331	916,046
Reconciliation of change in net assets to net cash used by operating activities:		
Change in net assets	\$ 42,484,189	(78,822,983)
Adjustments to reconcile change in net assets to net cash used by operating activities:		
Realized and unrealized gains on investments	(7,639,789)	(471,531)
Change in fair value of interest rate swap	(403,997)	550,483
Net change in equity investment of BSA partnership	(78,923)	(500,624)
Inherent net contribution from ITC/STC acquisition, net of cash	—	(6,768,016)
Depreciation and amortization	27,740,620	15,561,752
Loss on disposal of fixed assets	89,139	255,858
Accretion of deferred gain on sale leaseback transaction	(7,875,000)	(3,375,000)
Donated fixed assets	(24,216,900)	—
Change in assets and liabilities:		
Accounts receivable and other assets	5,445,244	(39,923,336)
Accrued investment income	74	188
Accounts payable and accrued expenses	(11,381,234)	1,318,315
Other accruals and other liabilities	(1,808,211)	1,534,627
Deferred revenue	17,963,100	(200,078)
Deposits held for and advances to others	(28,396,163)	(12,908,215)
Post-retirement benefit obligation	(22,975,962)	94,545,000
Net cash used by operating activities	\$ (11,053,813)	(29,203,560)

See accompanying notes to financial statements.

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

Notes to Financial Statements

June 30, 2013 and 2012

**(1) Organization**

The Research Foundation for The State University of New York (RF) exists to serve the State University of New York (SUNY) and to capitalize on the scope, scale and diversity of SUNY as an engine of New York State's innovation economy.

The RF supports approximately \$1 billion in SUNY research activity annually, providing sponsored programs administration and innovation support services to SUNY faculty performing research in life sciences and medicine; engineering and nanotechnology; physical sciences and energy; social sciences, and computer and information sciences.

The reach and impact of SUNY research – its people, infrastructure and technology – demonstrate the many ways the RF functions to support the SUNY research enterprise; to administer sponsored grants; to help faculty inventors turn their ideas into products that benefit the world; to create new pathways that foster collaboration and advance vital research; and to initiate programs that lead to economic development and entrepreneurial opportunity in New York.

The RF comprises a central office and operating units at 30 campus locations across New York State. RF business conducted on campuses is supervised by RF operations managers who report to and are appointed by the RF's president on recommendation by campus presidents.

The RF is led by a president who also serves as SUNY's Vice Chancellor for Research. The RF is governed by a 14 member board of directors drawn from business, industry, research and higher education administration.

The RF is a private nonprofit educational corporation that is tax-exempt under Internal Revenue Code (IRC) Section 501(c)(3).

**(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) Topic 958, which addresses the presentation of financial statements for not-for-profit organizations. In accordance with the provisions of ASC Topic 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 allowances for doubtful receivables, valuation of certain alternative investments, useful lives of fixed assets and



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

Notes to Financial Statements

June 30, 2013 and 2012

intangible assets, and the post-retirement benefit obligation. Actual results could differ from those estimates and the differences between estimates and actual results could be significant.

(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, and are subject to sponsor audit. 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 expenditures 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 unrealized gains and losses, and equity adjustments from investment in the Brookhaven Science Associates partnership.

Inventions and licenses income includes 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-term, long-term, and long-term pledged investments. As more fully described in Note 6, cash equivalents are stated at fair value and are considered a Level 1 financial asset.

(e) ***Investments***

Investments are reported at fair value pursuant to ASC Topic 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 market participants at the measurement date. See Note 6 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

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

Notes to Financial Statements

June 30, 2013 and 2012

original purchase price of securities 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 current 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.

See Note 10 for information related to investments held by the RF's post-retirement benefit plan.

(f) ***Fixed and Intangible Assets***

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

Certain technology licenses purchased from International Business Machines Corporation (IBM) to support research infrastructure and development as well as entrepreneurial opportunities in New York are capitalized as intangibles and amortized over eight years.

The RF monitors its long-lived assets for impairment indicators. If impairment indicators existed, the RF would perform the required analysis and, if applicable, would record impairment charges.

Upon sale or retirement of capitalized assets, the cost and the related accumulated depreciation and amortization are removed from the accounts and the resulting gain or loss is recorded. Depreciation and amortization expense for the years ended June 30, 2013 and 2012 was \$27.7 million and \$15.6 million, 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, except for assets purchased under a sponsored program that has the purpose of economic development or research infrastructure. The capitalization of these assets, as well as equipment donated to the RF, is pursuant to a change in accounting policy made effective July 1, 2013. See Note 8 for current year additions under the revised policy.

(g) ***Capital Leases***

During fiscal 2012, the RF engaged in two sale-leaseback transactions for capital equipment acquired under prior-year programs or by way of donations from business partners at the College of Nanoscale Science and Engineering (CNSE). Each sale-leaseback was for \$13.5 million, for a total of \$27.0 million. Both transactions required treatment as capital leases, with ownership of the underlying assets reverting to the RF at the end of the four-year lease terms. The lease transactions resulted in a gain that has been deferred and recognized over the life of the lease. As of June 30, 2013, the RF owes \$17.4 million under these capital leases. See Note 8 and Note 12.

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

Notes to Financial Statements

June 30, 2013 and 2012

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

The RF accounts for derivative instruments in accordance with the ASC Topic 815, *Derivative and Hedging*, which requires that all derivative instruments be reported in the financial statements at fair value regardless of the purpose or intent for holding them. The RF currently has an interest rate swap that is adjusted to fair value, through net deficits. See Note 12.

(i) ***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. Billing rates are reviewed at a minimum of every two years and rates are adjusted prospectively to reduce surplus/deficit amounts.

Amounts to be realized over a period greater than one year are reflected in non-current deferred revenue on the balance sheets.

(j) ***Accrued Vacation and Sick Leave***

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 not reimbursed for accumulated sick leave at termination; however, as described in Note 11, upon retirement up to 200 days of accumulated sick leave is considered in the computation of retirement benefits. The RF has recorded an accrual for the net obligation under this benefit amounting to \$2.2 million as of June 30, 2013.

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

As noted in Note 10, the RF has a defined benefit post-retirement plan covering substantially all of its nonstudent employees upon their retirement. The plan provides post-retirement medical benefits.

The RF records annual amounts relating to its postretirement plan based on calculations that incorporate various actuarial and other assumptions, including discount rates, mortality, assumed rates of return, compensation increases, turnover rates and healthcare cost trend rates. The RF reviews its assumptions on an annual basis and makes modifications to the assumptions based on current rates and trends when it is appropriate to do so. The effect of modifications to those assumptions is recorded in other changes to net assets and amortized to net periodic cost over future periods using the 10% corridor method. The RF believes that the assumptions utilized in recording its obligations under its plans are reasonable based on its experience and market conditions.

The net periodic costs are recognized as employees render the services necessary to earn the postretirement benefits.

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

Notes to Financial Statements

June 30, 2013 and 2012

In 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.

(l) ***Other Information***

Accounts receivable as of June 30, 2013 and 2012 are reported net of an allowance for doubtful accounts of approximately \$9.4 million and \$7.5 million 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 \$1,136,000 and \$1,238,000 at June 30, 2013 and 2012, respectively. Included in the current portion of deposits held for others are approximately \$1,619,000 and \$29,510,000 of construction funds for an affiliated organization at June 30, 2013 and 2012, 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, 2013 and 2012 is approximately \$7,045,000 and \$7,020,000, respectively.

The RF assisted in the creation and expansion of the CNSE 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 4). 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, technology, and facilities for which the revenue is included in other income in the statements of activities.

(m) ***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 RF has two long-term notes receivable: a \$10.0 million note from the University at Buffalo Associates (UBA) and a \$2.6 million note from the New York Genome Center (NYGC). In both cases, no bad debt allowance is considered necessary as of June 30, 2013 and no adverse information on collectability has been received as of financial statement issuance date.

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 6 for additional information regarding fair value considerations with respect to investments.

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

Notes to Financial Statements

June 30, 2013 and 2012

(n) ***Tax Status***

The RF has been determined by the Internal Revenue Service to be an organization described in 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 Subtopic 740-10, *Accounting for Uncertainty in Income Taxes*. Management has evaluated ASC Subtopic 740-10 and has determined there are no unlikely tax positions to be recorded in the financial statements as of June 30, 2013 and 2012.

(o) ***Reclassifications***

Certain 2012 amounts have been reclassified to conform to the 2013 presentation.

**(3) Business Acquisition**

Effective January 1, 2012, the RF acquired substantially all of the assets and assumed the liabilities of Infotonics Technology Center Inc. (Infotonics), now doing business as Smart System Technology and Commercialization Center (STC).

The statement of activities for fiscal 2012 reflects the operations of ITC/STC from the effective date of the acquisition, January 1, 2012, through June 30, 2012. No consideration was exchanged for the net assets contributed. In conjunction with this acquisition, the RF recorded an inherent net contribution of \$7.8 million in fiscal 2012, representing the excess of the fair value of the assets over the liabilities assumed.

**(4) Affiliated Organizations**

The RF has 16 affiliated organizations as of June 30, 2013 that have been established to facilitate partnerships and accelerate the growth of sponsored program and applied research opportunities at SUNY. The affiliated organizations are as follows:

(a) ***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, to 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.

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

BioBAT Holdings, 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 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.

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

Notes to Financial Statements

June 30, 2013 and 2012

(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 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) ***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.

(e) ***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 contribution of \$125,000 in 1998.

The accompanying financial statements of the RF include its share of the net earnings of BSA based on the operating results for the years ended June 30, 2013 and 2012. The RF records distributions received as a reduction of the investment balance.

(f) ***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.

(g) ***Central New York Biotechnology Research Center, Inc.***

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, LeMoyne College and Syracuse University. CNYBRC's board voted during fiscal 2013 to dissolve the entity and the dissolution was pending New York Department of State approval as of June 30, 2013; this approval was granted in July 2013.

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

Notes to Financial Statements

June 30, 2013 and 2012

(h) ***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.

(i) ***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 adjacent 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.

(j) ***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 CNSE at the University at Albany.

(k) ***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 at Albany Foundation. FRMC provides a vehicle for the construction of comprehensive research facilities at CNSE in an effort to promote the advancement of the research portfolio 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 CNSE. Rent payments made by the RF pursuant to the agreement for each of the years ended June 30, 2013 and 2012 were approximately \$7.0 million. 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.

In November 2011, the RF, as tenant, and FRMC, as landlord, executed an agreement for a second lease of clean room facilities which are used for nanotechnology research and development activities at the NanoFabXtension (NFX) facility at CNSE. Rent payments by the RF commenced in fiscal 2013. The term of the lease payments is from January 1, 2013 through December 31, 2021, at an annual amount of \$36.0 million.

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

Notes to Financial Statements

June 30, 2013 and 2012

The annual minimum lease payment commitments for both of these leases are shown in Note 15.

(l) ***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.

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

New York Maritime College Sailing Foundation, Inc. (NYMCSF) was 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 was 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 was never funded and was inactive since inception. During fiscal 2013 the Board of NYMCSF took action to dissolve the corporation which was completed in August 2013.

(n) ***New York Genome Center LLC***

New York Genome Center (NYGC) is a private, nonprofit organization formed in an effort to leverage the collaborative resources of leading academic medical centers, research universities, and commercial organizations. The vision of NYGC is to transform medical research and clinical care in and around New York City through the creation of what will become one of the largest genomics and bioinformatics facilities in North America. The RF participates in NYGC as an Institutional Founding Member on behalf of Stony Brook University; NYGC's other members include an array of New York-based universities and health institutions.

(o) ***Purchase College Advancement Corporation***

Purchase College Advancement Corporation (PCAC) is a private, not-for-profit corporation formed by the RF (on behalf of the State University College at Purchase) and, as of fiscal 2010, the Purchase College Foundation, to operate facilities that will support the college's academic mission and spur economic development in the mid-Hudson region. During fiscal year 2013, the RF withdrew its membership from PCAC.

(p) ***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. During fiscal year 2013, both the RF and Sensis Corporation assigned their remaining partnership interest in



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

Notes to Financial Statements

June 30, 2013 and 2012

Source Sentinel to O'Brien and Gere Limited, which is now the sole controlling partner in Source Sentinel LLC.

(q) ***SUNY China International Corporation***

SUNY China International Corporation was a private, not-for-profit corporation formed by the RF, and, as of fiscal 2009, the Neil D. Levin Graduate Institute of 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. This corporation was dissolved during fiscal year 2013.

(r) ***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.

(s) ***U.S. Photovoltaic Manufacturing Consortium, Inc.***

The Photovoltaic Manufacturing Consortium (PVMC) is a private, not-for-profit corporation, formed by the RF and Sematech, Inc. to facilitate an industry-led consortium for cooperative research and development among industry, university, and government partners to accelerate the development, commercialization, and manufacturing of next-generation solar photovoltaic (PV) systems. Through its programs and advanced manufacturing development facilities, PVMC is a proving ground for innovative solar technologies and manufacturing processes. The RF participates in PVMC on behalf of CNSE.

**(5) Investments**

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

	<u>2013</u>	<u>2012</u>
Cash equivalents	\$ 24,688,851	81,926,902
Mutual funds	64,179,587	55,828,857
Exchange traded funds	12,229,857	11,568,188
Alternative investments	79,433,427	65,875,791
Other	1,144,952	1,253,936
	<u>181,676,674</u>	<u>216,453,674</u>
Total investments carried at fair value		
Investment in BSA partnership	3,337,343	3,258,420
	<u>3,337,343</u>	<u>3,258,420</u>
Total	\$ <u>185,014,017</u>	<u>219,712,094</u>

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

Notes to Financial Statements

June 30, 2013 and 2012

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 6 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 6%. 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 7.5%. The goal is to minimize the probability of a decline in excess of 15% in any single year, with 80% of the portfolio assumed to have a duration of five years or longer. The most significant portfolio allocations in the long-duration pool are equity funds, hedged equities and real estate.

During the 2012 fiscal year, the RF had designated \$10 million of its investments as collateral for a loan between the Dormitory Authority of the State of New York (DASNY) and SUNY Upstate Medical University (Upstate Medical) to effectuate the latter's purchase of Community General Hospital. This collateral balance is being released over the ten-year term of the loan between DASNY and Upstate Medical. The pledged collateral balance as of June 30, 2013 was \$9.5 million. See Note 12 for information on a related \$2.5 million loan taken out by the RF in order to obtain the full collateral required by DASNY.

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

	<u>2013</u>	<u>2012</u>
Dividends and interest	\$ 2,254,408	2,949,457
Net realized and unrealized gains	7,639,789	471,531
Income from investment in BSA partnership	1,494,746	1,959,624
Total return on investments	<u>\$ 11,388,943</u>	<u>5,380,612</u>

**(6) Fair Value Measurements**

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

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

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

Notes to Financial Statements

June 30, 2013 and 2012

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:

U.S. government securities, mutual and exchange 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. The RF owns interests in funds rather than in securities or assets underlying each fund. The NAV is derived primarily using fair 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 assumptions to determine fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

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

Notes to Financial Statements

June 30, 2013 and 2012

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, 2013 and 2012, the RF's investments that are measured at fair value on a recurring basis as well as the liquidity redemption and notification provisions.

	2013				Redemption frequency	Days notice
	Level 1	Level 2	Level 3	Total		
Investments:						
Cash equivalents	\$ 24,688,851	—	—	24,688,851	Daily	1
Mutual funds:						
U.S. government fixed income	19,777,210	—	—	19,777,210	Daily	1
U.S. corporate credit securities	2,928,819	—	—	2,928,819	Daily	1
U.S. equities	10,910,632	—	—	10,910,632	Daily	1
Foreign equities	26,411,359	—	—	26,411,359	Daily	1
Real estate	4,151,567	—	—	4,151,567	Daily	1
Exchange traded funds:						
Real estate	4,375,526	—	—	4,375,526	Daily	4
Commodities	7,854,331	—	—	7,854,331	Daily	4
Alternative investments:						
Absolute multistrategy return	—	40,851,871	—	40,851,871	Quarterly	45 to 95
Hedged equities	—	22,010,991	—	22,010,991	Quarterly	95
U.S. equities	—	6,848,298	—	6,848,298	Quarterly	45
U.S. corporate credit securities	—	3,749,059	—	3,749,059	Monthly/ Quarterly	30 to 90
Foreign corporate credit securities	—	2,733,817	—	2,733,817	Monthly/ Quarterly	45
Private equity	—	—	3,239,391	3,239,391	See (a) below	N/A
Other	1,144,952	—	—	1,144,952	Daily	4
Total	<u>\$ 102,243,247</u>	<u>76,194,036</u>	<u>3,239,391</u>	<u>181,676,674</u>		

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

Notes to Financial Statements

June 30, 2013 and 2012

	2012				Redemption frequency	Days notice
	Level 1	Level 2	Level 3	Total		
Investments:						
Cash equivalents	\$ 81,926,902	—	—	81,926,902	Daily	1
Mutual funds:						
U.S. government fixed income	21,237,479	—	—	21,237,479	Daily	1
U.S. corporate credit securities	2,738,652	—	—	2,738,652	Daily	1
U.S. equities	9,733,123	—	—	9,733,123	Daily	1
Foreign equities	19,035,850	—	—	19,035,850	Daily	1
Real estate	3,083,753	—	—	3,083,753	Daily	1
Exchange traded funds:						
Real estate	4,649,433	—	—	4,649,433	Daily	4
Commodities	4,357,029	—	—	4,357,029	Daily	4
Energy stocks	2,561,726	—	—	2,561,726	Daily	4
Alternative investments:						
Absolute multistrategy return	—	35,193,817	—	35,193,817	Quarterly	45 to 95
Hedged equities	—	14,204,490	—	14,204,490	Quarterly	65 to 95
U.S. equities	—	2,447,137	—	2,447,137	Quarterly	45
U.S. corporate credit securities	—	9,519,534	—	9,519,534	Monthly/ Quarterly	30 to 90
Foreign corporate credit securities	—	2,050,426	—	2,050,426	Monthly/ Quarterly	45
Private equity	—	—	2,460,387	2,460,387	See (a) below	N/A
Other	1,253,936	—	—	1,253,936	Daily	4
Total	<u>\$ 150,577,883</u>	<u>63,415,404</u>	<u>2,460,387</u>	<u>216,453,674</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.

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

	<u>2013</u>	<u>2012</u>
Balance, beginning of year	\$ 2,460,387	1,078,758
Purchases	566,038	1,366,478
Sales	(216,903)	(27,067)
Realized gains	15,557	—
Unrealized gains	414,312	42,218
Balance, end of year	<u>\$ 3,239,391</u>	<u>2,460,387</u>

There has been no significant transfer activity between Level 1 and Level 2 investments during fiscal 2013 and 2012. The RF has unfunded commitments to alternative investments at June 30, 2013 of approximately \$2.3 million.

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

Notes to Financial Statements

June 30, 2013 and 2012

**(7) Other Assets and Other Liabilities**

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

	<b>2013</b>	<b>2012</b>
Other assets:		
Current:		
Royalties receivable	\$ 2,403,803	3,376,243
Advance payments – sponsored programs	898,370	5,370,429
Loans receivable	13,077	24,343
Prepaid and other	28,346	180
Total other current assets	3,343,596	8,771,195
Noncurrent:		
UBA loan receivable	10,049,628	13,734,084
NY Genome Center loan receivable	2,645,351	2,564,100
Section 457(b) assets	4,484,246	4,355,078
NFX lease prepaid	8,400,000	—
Total other noncurrent assets	25,579,225	20,653,262
Total other assets	\$ 28,922,821	29,424,457
Other liabilities – noncurrent:		
Section 457(b) obligation	\$ 4,484,246	4,355,078
Interest rate swap- see note 2h	776,497	1,180,494
Accrued sick leave- see note 2j	2,200,000	—
Total other liabilities	\$ 7,460,743	5,535,572

The RF maintains a deferred compensation plan established in accordance with Section 457(b) of the IRC. Plan funds, totaling approximately \$4,484,000 and \$4,355,000 as of June 30, 2013 and 2012, respectively, are a part of the general assets of the RF, which are subject to claims of creditors of the RF. The assets consist of mutual funds which involve Level 1 inputs under the fair value hierarchy, variable annuities, which involve Level 2 inputs, and annuity contracts, which involve level 3 inputs. The significant majority of these holdings are considered at Levels 1 and 2.

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

Notes to Financial Statements

June 30, 2013 and 2012

**(8) Fixed Assets**

Fixed assets consist of the following at June 30:

<u>Fixed asset classification</u>	<u>Fixed assets June 30, 2012</u>	<u>Additions</u>	<u>Dispositions/ retirements</u>	<u>Fixed assets June 30, 2013</u>
Building	\$ 6,500,000	—	—	6,500,000
Office furniture and equipment	56,920,320	54,443,368	566,309	110,797,379
Information systems	33,227,765	—	—	33,227,765
Total fixed assets	<u>96,648,085</u>	<u>54,443,368</u>	<u>566,309</u>	<u>150,525,144</u>
Less accumulated depreciation:				
Building	1,300,000	130,000	—	1,430,000
Office furniture and equipment	33,089,817	11,721,054	526,696	44,284,175
Information systems	32,880,363	177,066	128,752	32,928,677
Total accumulated depreciation	<u>67,270,180</u>	<u>12,028,120</u>	<u>655,448</u>	<u>78,642,852</u>
Fixed assets, net	<u>\$ 29,377,905</u>	<u>42,415,248</u>	<u>(89,139)</u>	<u>71,882,292</u>

Fixed asset additions above include \$26.2 million in economic development and research infrastructure assets, as well as \$24.1 million in capitalized equipment donations.

The amortization expense for the right to use asset under the sale-leaseback referred to in Note 2(g) was \$6.8 million and \$3.8 million for June 30, 2013 and 2012, respectively. This asset is being concurrently amortized and netted with the recognition of deferred gain and results in no net increase to fixed assets.

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

Notes to Financial Statements

June 30, 2013 and 2012

**(9) Intangible Assets**

Intangible assets at June 30, consist of the following:

<u>Intangible asset classification</u>	<u>Intangible assets June 30, 2012</u>	<u>Additions</u>	<u>Dispositions/ retirements</u>	<u>Intangible assets June 30, 2013</u>
Technology Licenses	\$ 54,200,000	35,000,000	—	89,200,000
Software Upgrade Costs	—	2,752,031	—	2,752,031
Total intangible assets	<u>54,200,000</u>	<u>37,752,031</u>	<u>—</u>	<u>91,952,031</u>
Less accumulated amortization:				
Technology Licenses	7,350,500	8,962,500	—	16,313,000
Software Upgrade Costs	—	—	—	—
Total accumulated amortization	<u>7,350,500</u>	<u>8,962,500</u>	<u>—</u>	<u>16,313,000</u>
Intangible assets, net	<u>\$ 46,849,500</u>	<u>28,789,531</u>	<u>—</u>	<u>75,639,031</u>

The expected annual amortization of the technology licenses over the next 5 years approximates \$11,150,000.

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

***Plan Information and Amendment***

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 cost sharing requirements with respect to medical coverage. With respect to dental coverage, retirees must pay the full premium cost of the coverage selected.

In fiscal 2011 and 2013, the RF amended the plan to increase the participant contribution rates for those hired after 1985 with the specific rates to be determined based on an employee's years of service.

***Plan Funded Status and Related Assumptions***

Annual contributions 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(k) above, the RF established a VEBA trust with Bank of New York Mellon as the trustee. The VEBA trust held assets of \$124.8 million and \$106.6 million as of June 30, 2013 and 2012, respectively. The assets held in the VEBA trust reduce the



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

Notes to Financial Statements

June 30, 2013 and 2012

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 6,637 participants in the plan as of July 1, 2012.

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>2013</u>	<u>2012</u>
Change in benefit obligation:		
Benefit obligation at beginning of year	\$ 410,182,000	310,459,000
Service cost	12,304,410	7,627,000
Interest cost	16,076,575	16,794,000
Plan participants' contributions	612,602	496,000
Retiree drug subsidy receipts	279,470	472,000
Plan amendments	(3,360,376)	—
Actuarial (gain) loss	(20,555,717)	84,468,000
Benefits paid	<u>(10,106,013)</u>	<u>(10,134,000)</u>
Benefit obligation at end of year	<u>405,432,951</u>	<u>410,182,000</u>
Change in plan assets:		
Fair value of plan assets at beginning of year	106,602,000	101,424,000
Return on plan assets	10,270,913	(1,638,000)
Employer contributions	17,169,941	15,982,000
Plan participants' contributions	612,602	496,000
Retiree drug subsidy receipts	279,470	472,000
Benefits paid	<u>(10,106,013)</u>	<u>(10,134,000)</u>
Fair value of plan assets at end of year	<u>124,828,913</u>	<u>106,602,000</u>
Funded status	<u>\$ (280,604,038)</u>	<u>(303,580,000)</u>
Amount recognized in the balance sheet:		
Noncurrent liability	\$ (280,604,038)	(303,580,000)
Amount recognized in unrestricted net assets:		
Prior service credit	\$ 25,767,990	28,527,000
Net actuarial loss	<u>(150,289,971)</u>	<u>(187,389,000)</u>
Total	<u>\$ (124,521,981)</u>	<u>(158,862,000)</u>

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

Notes to Financial Statements

June 30, 2013 and 2012

	<b>2013</b>	<b>2012</b>
Weighted average assumptions used to determine benefit obligation:		
Discount rate at end of year	4.72%	4.05%
Components of net periodic benefit cost:		
Service cost	\$ 12,304,410	7,627,000
Interest cost	16,076,575	16,794,000
Expected return on plan assets	(8,591,849)	(8,417,000)
Amortization of:		
Prior service credit	(6,119,386)	(5,578,000)
Actuarial loss	14,864,248	6,236,000
Net periodic post-retirement benefit cost	\$ 28,533,998	16,662,000
Weighted average assumptions used to determine net periodic benefit cost:		
Discount rate for the year	4.05%	5.60%
Expected long term rate of return	7.50	8.00
	<b>2013</b>	<b>2012</b>
Other changes in plan assets and benefit obligations recognized in unrestricted net assets:		
Net actuarial gain (loss)	\$ 22,234,781	(94,523,000)
Prior service credit	3,360,376	—
Amortization of:		
Prior service credit	(6,119,386)	(5,578,000)
Actuarial loss	14,864,248	6,236,000
Total recognized as a increase (decrease) in unrestricted net assets	\$ 34,340,019	(93,865,000)

Expected amounts amortized from unrestricted net assets into net periodic benefit cost for fiscal year ending 2014 include prior service credit of \$5,838,386 and actuarial loss of (\$11,479,778).

Estimated net benefits payments over future years are as follows:

Fiscal year ending 2014	\$ 10,827,000
Fiscal year ending 2015	12,059,000
Fiscal year ending 2016	13,514,000
Fiscal year ending 2017	14,903,000
Fiscal year ending 2018	16,331,000
Fiscal years ending 2019-2023	103,192,000

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

Notes to Financial Statements

June 30, 2013 and 2012

For measurement purposes, the initial trend rates vary by coverage. The health maintenance organization rate is 9.00%, the preferred provider organization (PPO) Medical Pre-65 rate is 8.50%, the PPO Medical Post-65 rate is 6.50%, the PPO Rx rate is 7.50% and administrative fees are 5.00%. Trend rates grade down to an ultimate rate of 5.00% in 2021 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 point increase</b>	<b>One-percentage point decrease</b>
Effect on total service and interest cost components	\$ 5,866,825	(4,536,036)
Effect on post-retirement benefit obligation	71,692,886	(57,390,056)

**Fair Value of Plan Assets** The following tables summarize as of June 30, 2013 and 2012 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 inputs to valuation techniques to measure fair value of the plan's investments are outlined above in Note 6.

	2013				Redemption frequency	Days' notice
	Level 1	Level 2	Level 3	Total		
Investments:						
Cash equivalents	\$ 1,125,431	—	—	1,125,431	Daily	1
Mutual funds:						
U.S. government fixed income	15,860,203	—	—	15,860,203	Daily	1
U.S. equities	15,670,888	—	—	15,670,888	Daily	1
Foreign equities	25,308,271	—	—	25,308,271	Daily	1
Real estate	4,019,872	—	—	4,019,872	Daily	1
Exchange traded funds:						
Real estate	4,019,522	—	—	4,019,522	Daily	4
Commodities	6,553,778	—	—	6,553,778	Daily	4
Alternative investments:						
Absolute multistrategy return	—	23,911,996	—	23,911,996	Quarterly	45-95
Hedged equities	—	19,037,283	—	19,037,283	Quarterly	95
U.S. equities	—	1,279,123	—	1,279,123	Quarterly	45
Real estate	—	—	1,401,504	1,401,504	See note 6(a)	N/A
Private equity	—	—	6,641,042	6,641,042	See note 6(a)	N/A
	\$ 72,557,965	44,228,402	8,042,546	124,828,913		

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

Notes to Financial Statements

June 30, 2013 and 2012

2012						
	Level 1	Level 2	Level 3	Total	Redemption frequency	Days' notice
Investments:						
Cash equivalents	\$ 271,000	—	—	271,000	Daily	1
Mutual funds:						
U.S. government fixed income	9,851,000	—	—	9,851,000	Daily	1
U.S. equities	14,190,000	—	—	14,190,000	Daily	1
Foreign equities	21,604,000	—	—	21,604,000	Daily	1
Real estate	3,281,000	—	—	3,281,000	Daily	1
Exchange traded funds:						
Real estate	3,892,000	—	—	3,892,000	Daily	4
Commodities	3,709,000	—	—	3,709,000	Daily	4
Energy stocks	1,782,000	—	—	1,782,000	Daily	4
Alternative investments:						
Absolute multistrategy return	—	15,482,000	—	15,482,000	Quarterly	95
Hedged equities	—	24,925,000	—	24,925,000	Quarterly	95
U.S. equities	—	979,000	—	979,000	Quarterly	45
Real estate	—	—	1,125,000	1,125,000	See note 6(a)	N/A
Private equity	—	—	5,511,000	5,511,000	See note 6(a)	N/A
	<u>\$ 58,580,000</u>	<u>41,386,000</u>	<u>6,636,000</u>	<u>106,602,000</u>		

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

	<u>2013</u>	<u>2012</u>
Balance, beginning of year	\$ 6,636,000	3,739,000
Purchases	1,634,000	3,419,000
Sales	(1,348,000)	(503,000)
Net realized gains	39,000	191,000
Net unrealized gains (losses)	1,082,000	(210,000)
Balance, end of year	<u>\$ 8,043,000</u>	<u>6,636,000</u>

There has been no significant transfer activity between Level 1 and Level 2 investments during fiscal 2013 and 2012. The RF has unfunded commitments to the plan's alternative fund investments at June 30, 2013 of approximately \$4.7 million.

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

Notes to Financial Statements

June 30, 2013 and 2012

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.

***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.

The plan's asset allocation, utilizing various investment vehicles, as of June 30, 2013, as shown in the table below, is expected to meet the plan's expected return.

<u>Asset class</u>	<u>Long-term target</u>	<u>Short-term target</u>	<u>Ranges</u>	<u>Actual</u>
Cash	2%	1%	0%-10%	1.7%
Fixed income	10	16	5%-30%	15.4
Equities:				
Global equities	25	33	20%-33%	33.9
Hedged equities	16	15	10%-30%	15.3
Private equity	10	3	0%-15%	4.0
Absolute return	15	10	5%-25%	9.3
Real assets:				
Inflation-protected	5	7	3%-10%	6.3
Commodities	5	6	2%-7%	5.3
Global real estate	12	9	4%-14%	8.8

**(11) 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),

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

Notes to Financial Statements

June 30, 2013 and 2012

which offers a guaranteed income account, the College Retirement Equities Fund (CREF), which offers an assortment of 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, 2013 and 2012 was approximately \$355,172,000 and \$371,764,000 respectively. The RF pension contributions were approximately \$30,125,000 and \$31,600,000 for the years ended June 30, 2013 and 2012, respectively. These contributions are equal to 100% of the required contribution for the year.

**(12) 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, 2013, the tax-exempt bond debt totaled \$5,030,000 with maturity in 2032 at an interest rate of 0.32% at June 30, 2013. The taxable bond debt was extinguished in 2009. Subsequent to June 30, 2013, the tax-exempt bonds 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, 2013 and 2012 was \$(776,497) and \$(1,180,494), respectively. The RF records the interest rate swap agreement at fair value and considers it to be a Level 2 financial liability. The balances are included within other liabilities in the accompanying balance sheets.

During fiscal 2012, the RF took on two more debt agreements. The first was a note payable to the Simons Foundation for a loan made to fund the RF's payment, as a founding member of the New York Genome Center, of \$2.5 million with an interest rate of 3.25% accruing interest annually and payable at the maturity date of 2031 with available extension to 2051. The second was a non-interest bearing note payable over a four year period for \$2.5 million to provide Upstate Medical University (Upstate) with collateral on its debt to the NYS Dormitory Authority to facilitate Upstate's purchase of the Community General Hospital. The RF also entered into sale-leaseback transactions in fiscal 2012; these are accounted for as capital leases, with current and non-current balances included in the accompanying balance sheets.

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

Notes to Financial Statements

June 30, 2013 and 2012

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

	<u>Balance June 30, 2012</u>	<u>Additions</u>	<u>Reductions</u>	<u>Balance June 30, 2013</u>	<u>Current Portion</u>
Long-term debt:					
Capital lease obligations	\$ 23,861,207	—	6,452,681	17,408,526	6,738,508
Loan – Genome Center (SB)	2,564,100	81,252	—	2,645,352	—
Demand Note (Upstate)	2,500,000	—	481,812	2,018,188	970,878
Bonds payable	5,205,000	—	175,000	5,030,000	180,000
Total long-term debt	<u>34,130,307</u>	<u>81,252</u>	<u>7,109,493</u>	<u>27,102,066</u>	<u>7,889,386</u>
Other long-term liabilities:					
Post-retirement benefit obligation	303,580,000	—	22,975,962	280,604,038	
Deposits held for others	1,237,554	163,241	265,050	1,135,745	
Deferred revenue- long term	—	58,709,796	5,675,526	53,034,270	
Other liabilities	5,535,572	1,925,171	—	7,460,743	
Total other long-term liabilities	<u>310,353,126</u>	<u>60,798,208</u>	<u>28,916,538</u>	<u>342,234,796</u>	
Total long-term liabilities	<u>\$ 344,483,433</u>	<u>60,879,460</u>	<u>36,026,031</u>	<u>369,336,862</u>	

Future payments of long-term debt as of June 30, 2013 are as follows:

	<u>Bonds and notes payable</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:						
2014	\$ 1,150,878	19,400	6,738,508	627,281	7,889,386	646,681
2015	1,165,631	18,660	7,037,035	328,754	8,202,666	347,414
2016	261,679	17,880	3,632,983	58,466	3,894,662	76,346
2017	200,000	17,080	—	—	200,000	17,080
2018	205,000	16,260	—	—	205,000	16,260
Thereafter	6,710,352	1,594,672	—	—	6,710,352	1,594,672
Total	<u>\$ 9,693,540</u>	<u>1,683,952</u>	<u>17,408,526</u>	<u>1,014,501</u>	<u>27,102,066</u>	<u>2,698,453</u>

***Line of Credit***

The RF maintains an unsecured line of credit in the amount of \$65,000,000 of which \$25,096,988 and \$28,176,445 were outstanding as of June 30, 2013 and 2012, respectively. During this fiscal year, the borrowing rate ranged between 1.0-2.0%; it was 1.5% at June 30, 2013. The original terms of the line included the specification that each draw must be repaid within one year, however this has been amended so that \$19.2 million has the specified repayment date of December 31, 2013.

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

Notes to Financial Statements

June 30, 2013 and 2012

**(13) Revenues**

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

	<u>2013</u>	<u>2012</u>
Federal grants and contracts	\$ 532,580,865	548,261,142
State grants and contracts	180,436,356	145,903,894
Local grants and contracts	12,568,168	8,437,878
Private grants and contracts	289,646,332	179,392,842
Investment income	3,741,875	4,909,081
Net realized and unrealized gains on investments	7,647,068	471,531
Gifts, capital gifts and grants	101,031	57,649
Inventions and licenses income	7,847,137	10,853,368
Other income	44,934,562	40,131,442
Total revenues	<u>\$ 1,079,503,394</u>	<u>938,418,827</u>

**(14) Expenses**

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

	<u>2013</u>	<u>2012</u>
Instruction	\$ 72,024,500	67,225,744
Research	601,933,273	501,685,276
Public service	126,779,841	144,202,183
Academic support	21,129,725	21,151,153
Student services	2,103,326	2,492,122
Operations and maintenance	23,965,153	26,815,877
Institutional support	187,191,418	136,791,558
Scholarships and fellowships	3,778,712	4,147,208
Auxiliary enterprises	15,309	9,938
Hospitals	—	71,784
Depreciation and amortization expense	27,740,620	15,561,752
Interest expense on capital related debt	1,108,208	729,808
Loss on disposal of fixed assets	89,139	255,858
Total expenses	<u>\$ 1,067,859,224</u>	<u>921,140,261</u>



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

Notes to Financial Statements

June 30, 2013 and 2012

**(15) Commitments and Contingencies**

*Lease Obligations*

In addition to the long-term leases with FRMC, described in Note 4(k), the RF contracts with various entities to lease space as part of its mission to support SUNY research and partnerships. Future minimum payments, as of June 30, 2013, for lease terms in excess of one year are as follows:

<u>Fiscal year</u>	<u>FRMC</u>	<u>Other</u>	<u>Total</u>
2014	\$ 43,014,458	5,761,819	48,776,277
2015	43,014,458	5,771,335	48,785,793
2016	43,014,458	2,611,801	45,626,259
2017	43,014,458	1,545,530	44,559,988
2018	43,014,458	1,112,485	44,126,943
Thereafter	210,999,401	8,890,599	219,890,000
Total	<u>\$ 426,071,691</u>	<u>25,693,569</u>	<u>451,765,260</u>

*Collateral*

As discussed in Note 5, the RF has placed \$10 million in collateral for a 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. This collateral will be released at the rate of \$1 million per year over the next 10 years, starting January 1, 2013.

*Contingencies*

During the ordinary course of business, the RF is exposed to risks associated with legal proceedings and claims. A liability is recognized with respect to legal proceedings and claims if incurrence of a loss is probable and the amount of loss is reasonably estimable. Accurately predicting the outcome and potential loss of legal proceedings and claims, including the amounts of any settlements, judgments or fines, is inherently subject to obtaining all of the relevant facts, applying often complex legal principles, and making judgments about potential responses by other parties. Accordingly, it is possible that the RF may incur unanticipated losses pertaining to such proceedings or claims in the form of settlements or adverse judgments in amounts other than those accrued.

As of the financial statement issuance date, a Federal investigation relating to programs at Buffalo State College is being conducted by the United States Attorney's Office. This matter has been transferred to the civil division of the United States Attorney's Office for review of potential civil penalties. The potential liability resulting from this matter cannot reasonably be determined at this time.

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

Notes to Financial Statements

June 30, 2013 and 2012

**(16) 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, 2013 were available to be issued on November 5, 2013 and subsequent events have been evaluated through that date.

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
Research and Development Cluster:					
International Development:					
U.S. Agency for International Development	98.000		\$ 59,580	—	59,580
Total International Development			59,580	—	59,580
U.S. Department of Agriculture:					
Agricultural Research Service	10.000		70,773	—	—
Animal and Plant Health Inspection Service	10.000		47,525	—	—
Cooperative State Research Service	10.000		816,166	—	—
Department of Agriculture	10.000		30,084	—	—
Forest Service	10.000		514,931	—	—
National Institute of Food and Agriculture	10.000		480,186	—	—
Natural Resources Conservation Service	10.000		171,200	—	—
Northeastern States Research Cooperative	10.000		149,016	—	—
Drexel University	10.000	211030	—	6,636	—
United States Endowment for Forestry and Communities Incorporated	10.000	2012008	—	39,367	—
University of Illinois Urbana Champaign	10.000	P0767596	—	3,626	2,329,510
Connecticut Agricultural Experiment Station	10.025		—	788	—
NYS Department of Environmental Conservation	10.025	AM07795	—	46,540	—
Regents of the University of California, Riverside	10.025	S000530	—	31,186	—
Regents of the University of California, Riverside	10.025	S000581	—	18,704	97,218
University of Maine at Orono	10.200	Z540601 UMS834	—	3,693	3,693
North Carolina State University	10.206	2008143003	—	8,269	8,269
Connecticut Agricultural Experiment Station	10.310	CAESAC201103	—	70,356	—
Pennsylvania State University	10.310	4716SUNYU.S.DA9703	—	17,303	—
University of Delaware	10.310	21924	—	2,460	—
University of North Carolina at Charlotte	10.310	2011072101SUN	—	50,932	141,051
Cornell University	10.320	629649765	—	34,047	34,047
United States Endowment for Forestry and Communities Incorporated	10.652	138RFP2008011	—	1,088,332	—
University of New Hampshire	10.652	12013	—	33,300	—
University of New Hampshire	10.652	PZ11002	—	39,041	—
University of Vermont	10.652	23281 Bevilacqua	—	180	—
University of Vermont	10.652	23281-Beier-Bishop	—	330	—
University of Vermont	10.652	23281-Germain	—	3,285	—
University of Vermont	10.652	23281-McNulty	—	5,575	—
University of Vermont	10.652	23281-Yanai	—	3,379	—
University of Vermont	10.652	25878/Bowden/Beier	—	32,381	—
University of Vermont	10.652	25878/Bowden/Nyland	—	26,099	—
Watershed Agricultural Council	10.652	349	—	51,059	1,282,961
NYS Department of Environmental Conservation	10.664	AM07854	—	91,544	91,544
NYS Department of Environmental Conservation	10.675	AM08410	—	97,785	97,785
NYS Department of Environmental Conservation	10.683	AM08622	—	37,201	37,201
Syracuse Center of Excellence in Environmental and Energy System	10.761		—	(1,929)	—
Syracuse University	10.761	2600503153503	—	676	(1,253)
Syracuse University	10.762	2495302904S02	—	5,000	—
Syracuse University	10.762	2496702903S01	—	4,937	9,937
Total U.S. Department of Agriculture			2,279,881	1,852,082	4,131,963
U.S. Department of Commerce:					
National Institute of Standards and Technology			175,762	—	—
National Oceanic and Atmospheric Administration			3,698,132	—	—
NMFS Northeast Fisheries Science Center			(1,155)	—	—
U.S. Department of Commerce			94,041	—	3,966,780
Fugro Earth Data Incorporated	11.008	2009	—	8,042	8,042
Board of Regents of the University of Wisconsin System	11.417	256K255	—	6,164	—
University of Illinois Urbana Champaign	11.417	20100224704 A2287	—	7,514	—
University of Vermont	11.417	25605-Bowden	—	41,865	—
University of Vermont	11.417		—	38,511	94,054
Cornell Cooperative Extension	11.431	RFTD12	—	22,972	22,972
University of Michigan	11.432	3001092444	—	186,298	—
University of Michigan	11.432	3002475301	—	14,299	200,597
Ducks Unlimited Incorporated	11.463	U.S.-NY-156-1	—	137,167	137,167
University Corporation for Atmospheric Research	11.467	S1071092	—	17,505	17,505
University of California at Los Angeles	11.468	0965GQA166	—	30,355	30,355
Florida Fish and Wildlife Conservation Commission	11.472	11187	—	41,374	41,374
University of Tennessee	11.478	A120074S001	—	67,599	—
Woods Hole Oceanographic Inst	11.478	A100654	—	14,511	—
Woods Hole Oceanographic Inst	11.478	S117968	—	(5)	82,105
Howard University	11.481	00073421000035576	—	16,789	—
Howard University	11.481	00073421000041742	—	79,841	—
Howard University	11.481	631017H040948	—	(933)	95,697
ARRA - General Motors Corporation	11.609	GVS00978	—	95,210	—
Nanoelectronics Research Corporation (NERC)	11.609	2006NE1463	—	1,281,065	—
University of Nebraska	11.609	2605210129006	—	49,835	1,426,110
Total U.S. Department of Commerce			3,966,780	2,155,978	6,122,758
U.S. Department of Defense:					
Air Force Office of Scientific Research	12.000		4,217,569	—	—
Air Force Research Laboratory	12.000		2,232,679	—	—
Air Force Rome Lab Griffis Air Force Base	12.000		1,005,946	—	—
Army Corps Engineers	12.000		395,281	—	—
Army Medical Research Acquisition Activity	12.000		3,871,737	—	—
Army Picatinny Arsenal	12.000		854,037	—	—
Army Research Development & Engineering Command	12.000		1,692,786	—	—
Army Research Laboratory	12.000		622,171	—	—
Army Research Office	12.000		1,247,065	—	—
Defense Advanced Research Projects Agency (DARPA)	12.000		343,905	—	—
Defense Threat Reduction Agency	12.000		222,651	—	—
Department of Defense	12.000		348,410	—	—
Department of the Interior	12.000		157,323	—	—
Fleet Industrial and Supply Center (FISC) San Diego	12.000		113,678	—	—
Intelligence Advanced Research Projects Activity (IARPA)	12.000		3,509,090	—	—
National Security Agency	12.000		77,781	—	—
Navy Experimental Diving Unit	12.000		598,487	—	—
Navy Office of Naval Research	12.000		4,591,793	—	—
Navy Research Laboratory	12.000		501,100	—	—
Navy Space& Naval Warfare Systems Ctr San Diego	12.000		2,594,364	—	29,197,853
AECOM	12.000	BTRP3438	—	21,028	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
Aegis Technology	12.000	57-TPPA-BUFF-0118	\$	(746)	—
Andro Computational Solutions LLC	12.000	ACS12AF10BT0905	—	70,695	—
BBN Technologies Corporation	12.000	9500009218	—	814,132	—
BerrieHill Research Corporation	12.000	—	—	56,326	—
BerrieHill Research Corporation	12.000	—	—	26,152	—
Charles River Analytics Inc	12.000	SC1003801	—	101,998	—
Creare Incorporated	12.000	66024	—	21,900	—
CUBRC Incorporated	12.000	0770601	—	85,117	—
CUBRC Incorporated	12.000	07719.02.02	—	6,782	—
CUBRC Incorporated	12.000	07774-04	—	324,630	—
CUBRC Incorporated	12.000	07782-01	—	34,818	—
CUBRC Incorporated	12.000	07797S1	—	72	—
CUBRC Incorporated	12.000	07809S1	—	144,945	—
CUBRC Incorporated	12.000	07847S1	—	10,354	—
CUBRC Incorporated	12.000	07855S1	—	252,016	—
CUBRC Incorporated	12.000	07862S1	—	182,894	—
CUBRC Incorporated	12.000	07875S2	—	92,734	—
CUBRC Incorporated	12.000	0788102	—	15,883	—
Government of Israel Ministry of Defense	12.000	4440158606	—	174,148	—
Henry M Jackson Fdn for Adv of Military Med Inc.	12.000	774900	—	66,948	—
Intelligent Automation Incorporated	12.000	9591	—	9,260	—
Kitware Incorporated	12.000	K000139-S02	—	187,883	—
Magnolia Optical Technologies Incorporated	12.000	W15PT112C5007	—	820	—
Power Photonic Corporation	12.000	STTR2009	—	98,853	—
Reaction Engineering International	12.000	REI 5118-1	—	122,855	—
TRAC Labs	12.000	T005801T007	—	87,394	—
UES Inc	12.000	S-875-040-006	—	4,410	—
UES Inc	12.000	S-875-060-021	—	99,881	—
UES Inc	12.000	S875194001	—	24,999	—
University of Central Florida	12.000	232896	—	75,095	3,214,276
ReliaCoat Technologies LLC	12.114	—	—	43,815	—
Rockwell Collins Incorporated	12.114	4504947155	—	6,975	50,790
APIC Corporation	12.300	SOW2	—	4,903	—
Arsenal Business & Technology Partnership	12.300	W15QKN0790001	—	51,308	—
Brookhaven Science Associates LLC	12.300	162129	—	160	—
Charles River Analytics Inc	12.300	SC1200801	—	123,655	—
Florida Atlantic University	12.300	FA87501120089/P0205577	—	20,541	—
Florida Institute for Human and Machine Cognition	12.300	FA875012203481	—	97,461	—
Hypres Incorporated	12.300	HYPN0001409C0529	—	91,499	—
Hypres Incorporated	12.300	—	—	57,065	—
Mesoscribe Technologies Inc	12.300	FA955009C0142	—	19	—
Oregon State University	12.300	N0268AA	—	45,845	—
Pennsylvania State University	12.300	3866SBUONR0557	—	14,004	—
Referentia Systems Incorporated	12.300	SBU0020131	—	40,594	—
Sherwin-Williams	12.300	11718112	—	113,310	—
University of North Carolina at Chapel Hill	12.300	555047	—	9,213	669,577
Arizona Board of Regents	12.351	POY554529	—	107,786	—
Arizona State University	12.351	Subagreement No. 09-205	—	111,224	—
CUBRC Incorporated	12.351	7864S1	—	31,760	—
Humintell LLC	12.351	S-001071.01	—	892	—
Vanderbilt University	12.351	21243S1	—	75,604	—
Virginia Polytechnic Institute and State Univ	12.351	45010419191	—	105,493	432,759
Daemen College	12.420	11-1 0082-UB-2	—	(2,130)	—
Geneva Foundation	12.420	S 121301 W81XWH0920162	—	(6,211)	—
Hauptman Woodward Medical Research Institute Inc.	12.420	6200	—	84,375	—
Health Research Inc.	12.420	57-8087-01	—	1,834	—
Health Research Inc.	12.420	57808803	—	6,254	—
Research Corporation of Long Island	12.420	SC090068	—	154,064	—
Research Corporation of Long Island	12.420	W81XWH1011032.Sub1	—	63,206	—
Rutgers University	12.420	S1031970	—	458,596	—
University of Dayton Research Institute	12.420	RSC10040 4407020001	—	9,836	—
University of Mississippi	12.420	1101042	—	229,472	999,296
HexaTech Incorporated	12.431	12012401	—	81,927	—
HexaTech Incorporated	12.431	12100102	—	58,387	—
ReliaCoat Technologies LLC	12.431	—	—	33,027	—
Spectral Energetics Incorporated	12.431	—	—	92,766	—
Texas A M University	12.431	B5703	—	16,493	—
University of Maryland	12.431	Z847709	—	81,691	364,291
University of South Florida	12.599	6201110200A	—	42,191	42,191
II VI Incorporated	12.630	FA86501121063	—	85,993	—
Imperial Machine and Tool Company	12.630	223099JS	—	12,372	—
Imperial Machine and Tool Company	12.630	23538JS	—	240,719	—
Lockheed Martin Corporation	12.630	BBMKS6355	—	33,843	372,927
Esesors Incorporated	12.800	STTR Phase II	—	2,585	—
Intelligent Fusion Technology Incorporated	12.800	Subcontract No. 008-5	—	442	—
PAR Government Systems Corporation	12.800	PGSC-SC-117342-01	—	90,000	—
Regents of the University of Minnesota	12.800	A001650201	—	322,128	—
Trustees of the California State University	12.800	S9-94504 A1	—	188,378	—
University of California at Santa Barbara	12.800	KK1236	—	107,244	—
University of California Berkeley	12.800	00006770	—	159,025	—
University of Maryland	12.800	Z809301	—	38,144	—
University of Maryland Baltimore	12.800	SR00001514	—	48,814	—
University of Rochester	12.800	414917-G 5-89812	—	1,099	—
University of Virginia	12.800	GG11221-133954	—	120,205	—
University of Wisconsin at Madison	12.800	F308114	—	124,363	—
Wyle Laboratories Incorporated	12.800	APSC01043 A10160-S049	—	68,362	1,270,789
BAE Systems Controls Incorporated	12.910	209630	—	50,073	—
Carnegie Institution of Washington	12.910	41043402	—	3,075	—
General Electric Global Research	12.910	PO400059756	—	(33,762)	—
Massachusetts Institute of Technology	12.910	5710003112	—	845,970	—
Northrop Grumman Corporation	12.910	11HOD22MSC/8200155875	—	15,724	—
Palo Alto Institute for Research and Education Inc	12.910	MP307372	—	72,985	—
University of Florida	12.910	UFEIES1205018SNY	—	61,574	—
Viridis Solutions LLC	12.910	D113PC00043	—	10,481	1,026,120
Total U.S. Department of Defense			29,197,853	8,443,016	37,640,869

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
Central Intelligence Agency:					
Central Intelligence Agency	13.000	2011-11071400-006	\$ 78,869	—	—
Central Intelligence Agency	13.000	2010-0936530-000	74,340	—	—
Central Intelligence Agency	13.000	2009-1247611-000	131,882	—	285,091
Total Central Intelligence Agency			285,091	—	285,091
U.S. Department of Housing and Urban Development:					
Department of Housing and Urban Development	14.000		59,080	—	—
Niagara Frontier Transportation Authority	14.000		—	625,592	684,672
New York City Department of Homeless Services	14.524		—	52,926	52,926
Buffalo Municipal Housing Authority	14.889		—	259,411	259,411
Total U.S. Department of Housing and Urban Development			59,080	937,929	997,009
U.S. Department of the Interior:					
U.S. Department of the Interior	15.000		285,563	—	—
Fish and Wildlife Service	15.000		333,391	—	—
Geological Survey	15.000		201,838	—	—
National Park Service	15.000		193,402	—	1,014,194
Cornell University	15.000	611039833	—	8,848	—
NYS Department of Environmental Conservation	15.000	AM08643	—	25,023	—
NYS Department of Environmental Conservation	15.000	AM08634	—	41,304	75,175
NYS Department of Environmental Conservation	15.231	AM08525	—	674,457	674,457
Central Michigan University	15.608		—	22,523	22,523
NYS Department of Environmental Conservation	15.611	AM06396	—	38,929	—
NYS Department of Environmental Conservation	15.611	AM08082	—	156,932	—
NYS Department of Environmental Conservation	15.611		—	32,322	228,183
Texas Parks and Wildlife	15.615	419446	—	82,611	—
University of Arizona	15.615	Y502685	—	3,600	86,211
Florida Fish and Wildlife Conservation Commission	15.634	10068	—	19,333	—
NYS Department of Environmental Conservation	15.634	AM07297	—	9,893	—
Texas Parks and Wildlife	15.634	407709	—	(1)	29,225
New Jersey Department of Environmental Protection, Division of Fish and Wildlife	15.655	PO# 7619391 PO# 7635524	—	6,342	6,342
Board of Trustees of the University of Illinois	15.662	2013044180	—	1,118	1,118
University of California at Santa Cruz	15.663	S0184014	—	100,007	100,007
Cornell University	15.805	640389616	—	13,515	—
Cornell University	15.805	640389839	—	16,132	—
Cornell University	15.805	640389840	—	14,198	43,845
University of Florida	15.808	UF09148	—	48,814	—
University of Nevada Las Vegas	15.808	13724A00	—	20,637	69,451
AmericaView	15.815		—	467	467
Rome Area Chamber of Commerce	15.926	GA-2255-11-017	—	33,044	33,044
National Parks of New York Harbor	15.954	P13PX22027	—	29,310	29,310
Total U.S. Department of the Interior			1,014,194	1,399,358	2,413,552
U.S. Department of Justice:					
U.S. Department of Justice	16.000		761,164	—	761,164
NYS Division of Criminal Justice Services	16.000		—	36,807	36,807
University of Texas at El Paso	16.300	2630018934	—	43,145	43,145
University of Texas at El Paso	16.302	2630024133	—	120,754	120,754
University of Maryland	16.541	Z955101	—	120,581	120,581
National Opinion Research Center	16.550	6761SUNY01	—	2,491	2,491
General Electric Global Research	16.560	400103885	—	7,143	7,143
State of Minnesota	16.560	49727	—	38,217	38,217
Rochester Institute of Technology	16.609	30997-02	—	4,747	4,747
Broome Tioga BOCES	16.726	DOJ #2010-JU-FX-0055	—	6,618	—
Broome Tioga BOCES	16.726	DOJ# 2010-JU-FX-0055	—	29,496	—
Broome Tioga BOCES	16.726	DOJ#2010-JU-FX-0055	—	3,280	—
Broome Tioga BOCES	16.726		—	29,561	68,955
ARRA - NYS Division of Criminal Justice Services	16.738	C632563	—	97,315	97,315
Total U.S. Department of Justice			761,164	540,155	1,301,319
Federal Reserve System:					
Federal Reserve Bank of New York	18.000		19,162	—	19,162
Total Federal Reserve System			19,162	—	19,162
U.S. Department of State:					
U.S. Department of State	19.000		779,019	—	779,019
President and Fellows of Middlebury College	19.901	SPMECO12CA1006	—	47,296	47,296
Total U.S. Department of State			779,019	47,296	826,315
U.S. Department of Transportation:					
Federal Highway Administration	20.000		970,425	—	—
National Transportation Safety Board	20.000		5,701	—	—
Research Foundation of City University of New York	20.000	491112924	—	33,507	—
Research Foundation of City University of New York	20.000	499973424	—	350	—
Stantec Consulting Services Inc	20.000		—	32,393	1,042,376
Lehigh University	20.200	542621-78004	—	96,489	—
Parsons Brinckerhoff	20.200		—	51,677	—
Rensselaer Polytechnic Institute	20.200	A90379	—	41,517	189,683
CUBRC Incorporated	20.205	07605S06	—	38,903	—
CUBRC Incorporated	20.205	07605S07	—	137,255	—
NYS Education Department	20.205	C008795	—	69,893	—
NYS Education Department	20.205	C010915	—	1,484,937	—
Research Foundation of City University of New York	20.205	555050305	—	453,020	2,184,008
Rand Corporation	20.237	9920120062	—	23,203	23,203
Research Foundation of City University of New York	20.502	555050601	—	43,191	43,191
Transportation Learning Center	20.514	TCRP F17	—	14,351	14,351
National Academy of Sciences	20.614	NCHRP155	—	14,176	14,176
Research Foundation of City University of New York	20.701	49111-12-23	—	6,000	—
Research Foundation of City University of New York	20.701	491111323	—	1,351	—
Research Foundation of City University of New York	20.701	49111-18-23	—	14,317	—
Research Foundation of City University of New York	20.701	49111-23-23	—	21,213	—
Research Foundation of City University of New York	20.701	49111-27-23	—	52,809	—
Research Foundation of City University of New York	20.701	49111-30-21	—	32,979	—
Research Foundation of City University of New York	20.701	491113121	—	33,810	—
Research Foundation of City University of New York	20.701	491113123	—	23,847	—
Research Foundation of City University of New York	20.701	49111-32-21	—	14,938	—
Research Foundation of City University of New York	20.701	499972824	—	29,775	—
Research Foundation of City University of New York	20.701	555050603A	—	89,391	—
Research Foundation of City University of New York	20.701		—	52,250	372,680
Cornell University	20.761	521109290	—	98	98
Total U.S. Department of Transportation			976,126	2,907,640	3,883,766

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
U.S. Postal Service:					
U.S. Postal Service	22.000		\$ 484,452	—	—
Lockheed Martin	22.000	DW461522	—	155,230	—
Lockheed Martin	22.000	DW488565	—	26,870	666,552
Total U.S. Postal Service			484,452	182,100	666,552
Veterans Administration:					
Department of Veterans Affairs	27.000		54,750	—	—
Veterans Administration Medical Ctr at Northport	27.000		264,751	—	—
Veterans Affairs Medical Center	27.000	DW461522	46,916	—	366,417
Total Veterans Administration			366,417	—	366,417
Eensors Incorporated	43.000		—	32,480	32,480
National Aeronautics and Space Administration:					
Ames Research Center	43.000		243,949	—	—
Goddard Space Flight Center	43.000		2,531,085	—	—
John C Stennis Space Center	43.000		154,098	—	—
Langley Research Center	43.000		119,520	—	—
Lyndon B Johnson Space Center	43.000		454,675	—	—
Marshall Space Flight Center	43.000		23,742	—	—
Washington	43.000		155,566	—	—
Autonomous Exploration Incorporated	43.000		—	10,522	—
Howard University	43.000	00065011000038170	—	36,790	—
Howard University	43.000	NNX10AQ11A	—	32,387	—
Jet Propulsion Laboratory	43.000	1388189	—	31,677	—
Jet Propulsion Laboratory	43.000	1472163	—	34,701	—
Jet Propulsion Laboratory	43.000	1473194	—	19,497	—
Rochester Institute of Technology	43.000	31164-01	—	74,794	—
Space Telescope Science Institute	43.000	HSTGO1230801A	—	821	—
Unisys Corporation	43.000	RKR-000139	—	152,438	4,076,262
American Museum of Natural History	43.001	12009	—	20,659	—
Arizona State University	43.001	1228404 12893	—	25,993	—
Cornell University	43.001	61420-9293	—	13,789	—
Cornell University	43.001	614209294	—	11,264	—
Cornell University	43.001	614209295	—	9,000	—
Georgia Institute of Technology	43.001	RD399601	—	5,253	—
Jet Propulsion Laboratory	43.001	1373103	—	26,641	—
Jet Propulsion Laboratory	43.001	1438780	—	75,293	—
Jet Propulsion Laboratory	43.001	1457128	—	133,619	—
Jet Propulsion Laboratory	43.001	1467483	—	35,855	—
Jet Propulsion Laboratory	43.001	1472792	—	663	—
Johns Hopkins University Applied Physics Laboratory	43.001	103790	—	11,165	—
Jpl Caltech	43.001	1242685	—	34,515	—
Metron Aviation Incorporated	43.001	SUNY000752CN109	—	68,212	—
Metron Aviation Incorporated	43.001	SUNY000899CN115	—	89,147	—
Montana State University	43.001	G25008W1818	—	40,931	—
National Space Biomedical Research Institute	43.001	SMST01603	—	228,335	—
Planetary Science Institute	43.001	639	—	37,806	—
Planetary Science Institute	43.001	693	—	19,294	—
Regents of the University of California	43.001	09955NB140	—	96,779	—
Smithsonian Astrophysical Observatory	43.001	GO213023X	—	8,824	—
Smithsonian Astrophysical Observatory	43.001	GO213030X	—	13,267	—
Southwest Research Institute	43.001	A991881D	—	1,820	—
Space Telescope Science Institute	43.001	HSTGO1220003A	—	4,704	—
Space Telescope Science Institute	43.001	HSTGO1248403A	—	5,452	—
Space Telescope Science Institute	43.001	HSTGO1249001A	—	17,262	—
TRS Technologies Incorporated	43.001	1404 - 120518315702	—	37,526	—
University of Houston	43.001	R110127	—	21,560	—
University of Kansas Center for Research Incorporated	43.001	FY2012-039	—	65,298	—
University of Maryland	43.001	Z662302	—	21,895	—
University of Washington	43.001	745792	—	10,671	—
Virginia Institute of Marine Science	43.001	NNX11AD47G/715676-712683	—	10,633	1,203,125
Rensselaer Polytechnic Institute	43.002	B10554	—	44,908	44,908
Total National Aeronautics and Space Administration			3,682,635	1,641,660	5,324,295
National Foundation on the Arts and Humanities:					
National Endowment for the Humanities	45.000		56,898	—	—
Institute of Museum and Library Services	45.000		120,640	—	177,538
University of Vermont	45.163	26849SUB51336	—	30,963	30,963
Drexel University	45.312	219059-3629	—	20,758	20,758
Total National Foundation on the Arts and Humanities			177,538	51,721	229,259
National Science Foundation:					
National Science Foundation	47.000		167,050	—	—
Hudson Valley Community College	47.000	1003574	—	120,813	—
University of Illinois Urbana Champaign	47.000	20100658206	—	55,197	—
Michigan Technological University	47.000	090704Z1	—	13,392	—
NISE Network	47.000		—	154	356,606
National Science Foundation	47.041		7,175,024	—	—
Engineering Grants	47.041		47,256	—	—
Clarkson University	47.041	80487	—	2,627	—
University of Washington	47.041	576722	—	34,343	—
North Carolina State University	47.041	2008113802	—	26,131	—
Northeastern University	47.041	50194778051	—	31,547	—
Regents of the University of California	47.041	00006218/ PO#B00065274	—	47,810	—
Board of Trustees of the Leland Stanford Junior University	47.041	24145260-46334-C	—	71,485	—
Rochester Institute of Technology	47.041	30950-01	—	4,878	—
Research Foundation of City University of New York	47.041	40B66-A	—	50,602	—
Cornell University	47.041	62101-9359	—	149,302	—
University of Nevada Reno	47.041	CUREE Subcontract No 6	—	19,157	—
Board of Governors of the Colorado State University System	47.041	G49484	—	13,622	—
Optoelectronic Nanodevices LLC	47.041	IIP1215033	—	42,680	—
Purdue University	47.041	NEES410131871	—	1,014,322	—
Purdue University	47.041	NEES-4101-31871	—	502,067	—
William Marsh Rice University	47.041	R3B592	—	50,562	—
Gouma Incorporated (Nano Grid Tech)	47.041	SBIRPhase1	—	17,186	—
University of Nevada Reno	47.041	UNR1169/132011713NB/11BP179399	—	33,198	9,333,799

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
National Science Foundation	47.047		\$ 34,884	—	—
Texas A M University	47.047	02S130238	—	1,437	36,321
National Science Foundation	47.049		11,364,297	—	—
Mathematical and Physical Sciences	47.049		305,135	—	—
Trustees of Princeton University	47.049	00002033	—	31,469	—
Trustees of Princeton University	47.049	00002036	—	2,725	—
University of Texas at Dallas	47.049	100472	—	116,064	—
Johns Hopkins University	47.049	2001597618	—	37,472	—
Columbia University	47.049	11GG006141	—	114,287	—
Portland State University	47.049	20SHAM122	—	(340)	—
University of North Carolina at Chapel Hill	47.049	5-37431	—	12,000	—
Occidental College	47.049	G478	—	22,449	—
University of Notre Dame	47.049		—	1,400	—
University of Notre Dame	47.049		—	56	—
Johns Hopkins University	47.049	PHY0969510	—	18,004	—
Regents of the University of California, Riverside	47.049	S-000527	—	15,103	—
Regents of the University of California, Santa Cruz	47.049	S0183166	—	5,120	12,045,241
National Science Foundation	47.050		6,935,789	—	—
Geosciences	47.050		244,752	—	—
University of Southern California	47.050	10007086	—	18,004	—
University of Illinois Urbana Champaign	47.050	20100658201	—	177,454	—
University of Illinois Urbana Champaign	47.050	20120097504	—	576,093	—
Brown University	47.050	00000360 PO# P267976	—	34,845	—
Consortium for Ocean Leadership	47.050	BA94	—	5,127	—
Colorado State University	47.050	G36241	—	63,617	—
Brookhaven Science Associates LLC	47.050		—	32,097	—
University of Houston	47.050	R110111	—	11,378	8,099,156
National Science Foundation	47.070		8,516,398	—	—
Computer and Information Science and Engineering	47.070		9,242	—	—
Computing Research Association	47.070	CIFC136	—	34,850	8,560,490
National Science Foundation	47.074		5,381,596	—	—
Biological Sciences	47.074		135,757	—	—
University of Missouri – St Louis	47.074	000355351	—	8,387	—
Cornell University	47.074	614689518	—	25,344	—
Washington State University	47.074	107476G002259	—	104,362	—
University of Rochester	47.074	414626G	—	8,936	—
University of Rochester	47.074	416079G	—	14,836	—
Pennsylvania State University	47.074	4192-RFSUNY-NSF-2742	—	234,414	—
University of Tennessee	47.074	A130200S001	—	6,939	—
University of Puerto Rico	47.074	DEB0620910	—	3,435	—
Chicago Zoological Society	47.074	DEB1146198	—	38,312	—
Columbia University	47.074	R01HL098037/PO#COLUM0000014928	—	75,430	6,037,748
National Science Foundation	47.075		1,975,426	—	—
Social, Behavioral, and Economic Sciences	47.075		116,727	—	—
University of New Hampshire	47.075	12017	—	38,193	—
University of Cincinnati	47.075	008149/L13-4500067447	—	30,547	—
University of California at San Diego	47.075	10321141-SUB	—	52,237	—
Syracuse University	47.075	2565002884S01	—	28,580	—
Research Foundation of City University of New York	47.075	40C87A	—	11,862	—
Columbia University	47.075	R01HL115941	—	12,679	—
Association for Institutional Research	47.075	RG11-35	—	2,559	—
Saint Francis University	47.075	SES1126175SMESSNER	—	70,187	—
University of Maryland	47.075	Z314801	—	21,496	2,360,493
Education and Human Resources	47.076		7,194,957	—	—
National Science Foundation	47.076		2,270,912	—	—
Drexel University	47.076	235713	—	66,874	—
Cornell University	47.076	582179649	—	1,416	—
Illinois State University	47.076	07C210-01B	—	3,226	—
Syracuse University	47.076	2499201836S01	—	22,811	—
Cornell University	47.076	51306-8588	—	5,557	—
Children's Hospital of Philadelphia	47.076	960172RSUB	—	200,476	—
Children's Hospital of Philadelphia	47.076	960649RSUB	—	6,858	—
Colorado Seminary – University of Denver	47.076	SC37058A0100	—	158,233	—
New York City Board of Education	47.076	WO1011406 RF20111	—	16,591	9,947,911
National Science Foundation	47.078		631,770	—	631,770
National Science Foundation	47.079		219,322	—	—
Michigan Technological University	47.079	1110090ZS PO# P0090504	—	8,754	—
University of California at Los Angeles	47.079	2155GQA198	—	74,300	—
William Marsh Rice University	47.079	R3C754	—	25,303	—
William Marsh Rice University	47.079	R3C75D	—	120,064	447,743
National Science Foundation	47.080		2,129,967	—	—
University of Tennessee	47.080	A120848S003	—	77,103	2,207,070
ARRA – National Science Foundation	47.082		4,889,416	—	—
ARRA – Trans-NSF Recovery Act Reasearch Support	47.082		2,041,224	—	—
ARRA – Trustees of Princeton University	47.082	00002006	—	23,606	—
ARRA – Trustees of Princeton University	47.082	00002039	—	161,746	—
ARRA – Board of Supervisors of LSU and Agricultural and Mechanical College	47.082	55666	—	87,355	—
ARRA – University of Vermont	47.082	24143 DMR0959486	—	11,245	—
ARRA – Georgetown University	47.082	RX2220491SUNY	—	4,521	7,219,113
Total National Science Foundation			61,786,901	5,496,560	67,283,461
Small Business Administration:					
Small Business Administration	59.000		17,481	—	—
Connecticut Center for Advanced Technology Incorporated	59.000	10K142	—	8,402	—
Connecticut Center for Advanced Technology Incorporated	59.000	12K031	—	1,894	27,777
Total Small Business Administration			17,481	10,296	27,777
U.S. Department of Veterans Affairs:					
Veterans Admin Western New York Healthcare Systems	64.000		263,129	—	—
Veterans Affairs Medical Center	64.000		9,731	—	272,860
Total U.S. Department of Veterans Affairs			272,860	—	272,860
Environmental Protection Agency:					
Environmental Protection Agency	66.000		905,951	—	—
AMEC	66.000	EPW09028	—	3,041	—
Battelle Memorial Institute	66.000	227310	—	56,582	—
Clarkson University	66.000	CLKSN0000083562	—	7,281	—
NYS Department of Environmental Conservation	66.000	AMO7887	—	5,202	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
Onondaga Lake Partnership	66.000		\$ —	1,387	979,444
University of Connecticut	66.437	22356	—	6,980	6,980
Tioga County Soil and Water Conservation District	66.461	EPA-R2-09WPDG	—	4,721	4,721
Upper Susquehanna Coalition	66.466	EPA-R3CBP-09-02	—	27,761	27,761
Central Michigan University	66.469	GL00E006120	—	219,390	—
Clarkson University	66.469	375325741	—	103,732	—
Clarkson University	66.469	375325742 PO CLKSN70630	—	264,944	—
Cornell University	66.469	6850010015	—	15,376	—
Great Lakes Observing System	66.469	EPAG63606	—	103,141	—
Indiana University	66.469	GL00E766010/Hites4340133	—	5,645	—
University of Illinois Urbana Champaign	66.469	20100393202 A1571	—	6,456	718,684
New England Interstate Water Pollution Cntrl Comm	66.481	X979187301	—	4,499	4,499
Sonoma Technology Incorporated	66.500	910100	—	23,082	—
Sonoma Technology Incorporated	66.500	910404404	—	38,505	61,587
Total Environmental Protection Agency			905,951	897,725	1,803,676
U.S. Department of Energy:					
Argonne National Laboratory	81.049		34,125	—	—
Bonneville Power Administration	81.049		147,150	—	—
Fermi National Accelerator Laboratory	81.049		7,422	—	—
Los Alamos National Laboratory	81.049		46,883	—	—
National Energy Technology Laboratory	81.049		442,455	—	—
National Nuclear Security Administration	81.049		187,342	—	—
ARRA – U.S. Department of Energy	81.049		26,682,311	—	27,547,688
Honeywell Federal Manufacturing – Technologies LLC	81.000	EP44443	—	104,690	—
Regents of the University of California	81.000	6978802	—	123,162	—
URS Energy and Construction Incorporated	81.000	RES1100874	—	22,381	—
URS Energy and Construction Incorporated	81.000	RES1301845	—	13,610	—
UT Battelle LLC	81.000	4000103107	—	55,405	—
UT Battelle LLC	81.000	4000120146	—	19,682	338,930
Aegis Technology	81.049	Agreement 09061228	—	43,584	—
Alliance for Sustainable Energy LLC	81.049	AGG22219401	—	37,659	—
Alliance for Sustainable Energy LLC	81.049	AGG32227201	—	12,779	—
Battelle	81.049	174303	—	43,569	—
Battelle Energy Alliance LLC	81.049	00088495	—	51,584	—
Battelle Energy Alliance LLC	81.049	00129362	—	50,031	—
Battelle Memorial Institute	81.049	113152	—	(3,444)	—
Battelle Memorial Institute	81.049	136630	—	(1,191)	—
Brookhaven Science Associates LLC	81.049	162350	—	27,783	—
Brookhaven Science Associates LLC	81.049	181030	—	32,558	—
Brookhaven Science Associates LLC	81.049	181069	—	9,285	—
Brookhaven Science Associates LLC	81.049	200265	—	59,645	—
Brookhaven Science Associates LLC	81.049	200934	—	48,465	—
Brookhaven Science Associates LLC	81.049	201565	—	8,380	—
Brookhaven Science Associates LLC	81.049	205534	—	55,228	—
Brookhaven Science Associates LLC	81.049	214956	—	93	—
Brookhaven Science Associates LLC	81.049	218213	—	52,941	—
Brookhaven Science Associates LLC	81.049	219169	—	280,808	—
Brookhaven Science Associates LLC	81.049	219291	—	109,247	—
Brookhaven Science Associates LLC	81.049	227554	—	25,407	—
Brookhaven Science Associates LLC	81.049	229886	—	11,000	—
Brookhaven Science Associates LLC	81.049	241375	—	8,990	—
Central Michigan University	81.049	Subaward No. 615771	—	50,040	—
Colorado State University	81.049	G46131	—	10,260	—
Cornell University	81.049	562879319	—	50,348	—
Materials Development Incorporated	81.049	MDISBU101101/DE-SC0004648	—	34,287	—
President and Fellows of Harvard College	81.049	1331835041153	—	126,199	—
Regents of the University of California	81.049	7038944	—	17,453	—
Rensselaer Polytechnic Institute	81.049	A12141	—	76,991	—
Reservoir Labs Incorporated	81.049	DESC0009678	—	22,596	—
Sandia National Laboratories	81.049	1275961	—	121,789	—
ARRA – Suffolk County Department of Public Works	81.049	CP1664	—	4,211	—
TreadStone Technologies Incorporated	81.049	DOEEERE01SBU01	—	589	—
University Corporation for Atmospheric Research	81.049	Z1155381	—	172,903	—
University of Rochester	81.049	414091G	—	219,522	—
University of Texas at Arlington	81.049	2608013661	—	36,465	—
UT Battelle LLC	81.049	400092310	—	89	—
UT Battelle LLC	81.049	4000101997	—	339	1,908,482
South Dakota State University	81.079	3TD155	—	152,399	152,399
Alliance for Sustainable Energy LLC	81.087	ZGB04064201	—	66,813	—
Cold Spring Harbor Laboratory	81.087	51030212	—	52,442	119,255
University of Rochester	81.112	415939G	—	140,247	140,247
Lawrence Berkeley National Laboratory	81.117	6807148	—	26,904	—
Lawrence Berkeley National Laboratory	81.117	6951372	—	190,450	217,354
ARRA – Long Island Power Authority	81.122	DEOE0000220	—	2,243,917	—
ARRA – University of Minnesota	81.122	A000211512	—	7,358	2,251,275
Board of Trustees of the Leland Stanford Junior University	81.124	2175022040367A	—	152,150	152,150
Total U.S. Department of Energy			27,547,688	5,280,092	32,827,780
ImageCat Incorporated	97.000	12640604	—	25,613	25,613
U.S. Department of Education:					
U.S. Department of Education	84.000		3,904,762	—	3,904,762
Michigan Technological University	84.116	090367Z1	—	15,060	15,060
Aspen Systems Incorporated	84.133	4833	—	65,129	—
Carnegie Mellon University	84.133	Subrecipient No 1100028-221807	—	236,187	—
Duke University	84.133	Subaward No: 343-0053	—	133,660	—
Luna Innovations Incorporated	84.133	2998ARM1SSUNY	—	14,437	—
SEDL	84.133	058109	—	5,991	455,404
Albany City School District	84.165	U165A100043	—	178,334	178,334
Broome Tioga BOCES	84.184		—	37,603	—
Broome Tioga BOCES	84.184	U.S. DOE Award Q184L090208	—	859,671	897,274
Colorado Seminary – University of Denver	84.305	SC37034A0200	—	289,013	—
Colorado Seminary – University of Denver	84.305	SC37035A0200	—	47,428	—
Rutgers University	84.305	Subaward No. 3585	—	39,348	375,789
Johns Hopkins University	84.324	R324A110107	—	29,117	—
University of Connecticut	84.324	PO# 5009/KFS#5258180	—	131,599	160,716
ARRA – NYS Office of Children and Family Services	84.390	1102226	—	9	9
Total U.S. Department of Education			3,904,762	2,082,586	5,987,348





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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
Retreat Incorporated	93.086	90FK0047	\$ —	55,465	—
Retreat Incorporated	93.086		—	63,564	119,029
North Carolina Agricultural and Technical State University	93.103	240535A	—	2,202	2,202
Chautauqua County Department of Mental Hygiene	93.104		—	193,866	—
Orange County Dept of Mental Health	93.104		—	217,494	411,360
Health Research Inc.	93.110	15-0594-02	—	37,623	—
Health Research Inc.	93.110	4170-02	—	11,486	—
Health Research Inc.	93.110	4170-03	—	28,394	—
Mount Sinai School of Medicine	93.110	025365414609	—	17,695	95,198
Alaska Community Action on Toxics	93.113	NIESR01UNIVERSITYATALBANY	—	7,619	—
Health Research Inc.	93.113	418801	—	17,115	—
Oregon Health & Science University	93.113	GCROE0137A	—	25,029	—
University of Kansas Medical Center Research Institute Incorporated	93.113	QK850573	—	169,893	—
University of Medicine & Dentistry of New Jersey	93.113	3R01ES0101599104S1	—	32,344	—
University of New England	93.113	23000171745	—	9,689	—
Wayne State University	93.113	WSU11104	—	176,713	438,402
Curators of the University of Missouri Kansas City at Kansas City	93.121	0039118	—	240,882	—
Curators of the University of Missouri Kansas City at Kansas City	93.121	10039 00015290	—	(20,983)	—
Forsyth Institute	93.121	21127UBUFF-2335	—	544,865	—
Georgia Health Sciences University	93.121	258051	—	8,410	—
GlycoMira Limited Liability Corporation	93.121		—	7,798	—
Imagination Software Corporation	93.121		—	115,447	—
Massachusetts Institute of Technology	93.121	5710003093	—	116,447	—
New York University	93.121	F678802	—	15,266	—
New York University	93.121	F714602	—	119,429	—
Regents of the University of Michigan	93.121	3001642450 - 7R21ED018820-03	—	7,885	—
Regents of the University of Minnesota	93.121	P001901002	—	239,865	—
University of North Carolina at Chapel Hill	93.121	532962	—	322,045	—
University of North Carolina at Chapel Hill	93.121	5-51216	—	46,609	—
University of Pennsylvania	93.121	558734/2793935	—	91,778	—
University of Pittsburgh	93.121	00176911206502	—	14,995	—
University of Pittsburgh	93.121	00262361205171	—	6,581	1,877,319
Board of Trustees of the University of Illinois	93.134	2012024090100	—	38,800	—
NY Alliance for Donation	93.134	D71HS22062	—	122,513	—
NY Alliance for Donation	93.134	R39OT22058-01-00	—	26,541	—
NY Alliance for Donation	93.134	R39OT220580200	—	90,837	—
Upstate New York Transplant Services Inc.	93.134		—	118,698	—
Upstate New York Transplant Services Inc.	93.134	R39OT150610101	—	16,159	413,548
Mount Sinai Medical Center	93.135		—	17,866	—
University of Rochester	93.135	416006G	—	94,083	111,949
Research Foundation of City University of New York	93.136	417177A	—	1,431	—
Research Institute at Nationwide Childrens Hospital	93.136	524338	—	32,182	—
University of Maryland	93.136	Z022901	—	66,145	—
University of North Carolina at Chapel Hill	93.136	539502	—	51,334	—
University of Rochester	93.136	UR Account 415560-G	—	14,495	—
Washington University	93.136	WU-HT-12-37/2917511T	—	3,185	168,772
Columbia University	93.145	3GG00640402	—	91,633	—
Columbia University	93.145	539397	—	658	92,291
Erie County Medical Center	93.153	H12HA24856	—	49,636	—
Westat Corporation	93.153	HHSN267200800001C 8530S030	—	864,737	—
Westat Corporation	93.153	HHSN275201300003C	—	209,488	—
Westat Corporation	93.153	N01HD33345	—	17,627	1,141,488
ARRA - Lawrence Berkeley National Laboratory	93.172	Subcontract No. 7001829	—	27,179	27,179
Board of Regents of the University of Wisconsin System	93.173	411K972	—	56,916	—
Cornell University	93.173	Subaward 59774-9213	—	37,675	—
Jackson Laboratory	93.173	647819	—	60,752	—
Purdue University	93.173	4102-22866	—	98,453	—
University of California at San Diego	93.173	10292738004	—	34,804	—
University of Maryland Baltimore	93.173	SR00000302	—	5,559	294,139
Mount Sinai School of Medicine	93.184	025893314609	—	13,973	13,973
Board of Regents of the University of Oklahoma Health Sciences Center	93.226	C1077501	—	8,178	—
Children's Hospital of Philadelphia	93.226	951118RSUB	—	(22,853)	—
University of Michigan	93.226	3002430434	—	18,541	—
Virginia Commonwealth University	93.226	PD302776SC103991	—	11,121	14,987
University of South Carolina	93.233	122004 PO#41574	—	134,034	134,034
Broad Institute Incorporated	93.242	52107615500000504	—	164,245	—
Columbia University	93.242	5GG00572705/POG03481	—	352,696	—
Columbia University	93.242	POG03479/4GG00572703	—	210,581	—
Harvard School of Public Health	93.242	23590114352 1R01MH08759001	—	94,921	—
Johns Hopkins University	93.242	2001602986	—	42,445	—
Johns Hopkins University	93.242	2001603365	—	84,332	—
Mount Sinai School of Medicine	93.242	025525454609	—	63,307	—
New York University School of Medicine	93.242	PO M130033219 1201978	—	8,633	—
Northeastern University	93.242	50202678050	—	108,839	—
Research Foundation for Mental Hygiene	93.242	9031742B PO#95006	—	101,797	—
Social and Scientific Systems Incorporated	93.242	BRSIMPCTS12000012002332	—	1	—
Trustees of Boston University	93.242	76665RA528935BAJ	—	15,026	—
University of California at San Diego	93.242	10279541005	—	4,710	—
University of California at San Diego	93.242	10293040003	—	3,093	—
University of California at San Diego	93.242	10293040004	—	53,245	—
University of Illinois at Chicago	93.242	5R01MH08983002 2009061000102	—	27,717	—
University of North Carolina at Chapel Hill	93.242	532720	—	43,851	—
University of Southern California	93.242	H39738	—	48,722	—
University of Southern California	93.242	H46585/PO#50006060	—	84,308	—
University of Southern California	93.242	PO50006835 H40038	—	42,639	—
Yale University	93.242	M12A11380 (A08021)	—	7,385	1,562,493
Addictions Care Center of Albany Incorporated	93.243		—	30,848	—
CRP Incorporated	93.243	277080218	—	8,455	39,303
University of Cincinnati	93.262	005180	—	24,503	—
University of Massachusetts Lowell	93.262	S51130000017516 PO:0005248760	—	1,265	—
University of Massachusetts Lowell	93.262	S51130000021503 PO:0005248760	—	5,134	30,902
Medical University of South Carolina	93.279	MU.S.C12116	—	11,074	—
Regents of the University of California, San Francisco	93.279	54378c	—	40,051	—
Trustees of the University of Pennsylvania	93.279	557226	—	83,968	—
Trustees of the University of Pennsylvania	93.279	558986	—	402,083	—
Trustees of the University of Pennsylvania	93.279		—	17,374	—
University of Alabama	93.279	UA11-047	—	26,965	—
University of Arizona	93.279	21205	—	16,461	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
University of Maryland	93.279	Z016101	\$	357,535	—
University of Miami	93.279	M168590 5P50DA02458405	—	77,147	—
University of Texas Health Science Center	93.279	0009050	—	191,851	1,224,509
Health Research Inc.	93.283	15043904	—	104,008	—
Health Research Inc.	93.283	15043905	—	109,031	—
Health Research Inc.	93.283	3152-08	—	24,049	—
University of South Carolina	93.283	18130FA19	—	77,547	314,635
Louisiana State University	93.286	54957 R01EB01008701 POS4957	—	321,296	—
University of Tennessee	93.286	UTSI08002	—	713	—
Washington University St Louis	93.286	WUHT1205	—	81,267	403,276
University of Rochester	93.297	415849-G	—	4,302	—
University of Rochester	93.297	415890-G	—	39,110	—
University of Rochester	93.297	416044-G	—	25,816	69,228
Board of Trustees of the Leland Stanford Junior University	93.310	26491520-33465-L	—	143,930	—
University of Delaware	93.310	24730	—	95,075	239,005
University of Rochester	93.350	416009G	—	11,550	11,550
NexBio Incorporated	93.360	DASA181204	—	3,525	3,525
Warren Stress Management	93.361	2R42NR010496	—	153,452	153,452
Oregon Health & Science University	93.389	90073565TO	—	53,454	—
Oregon State University	93.389	P0274AA	—	4,104	—
Stony Brook Biotechnology	93.389	IR41RR03211201A1	—	19	—
University of Rochester	93.389	415927G	—	30,143	87,720
American College of Surgeons Oncology Group	93.393	SITE 094 - 184	—	3,414	—
Eastern Cooperative Oncology Group	93.393	PSASBUAK00	—	36,729	—
Health Research Inc.	93.393	10601	—	3,403	—
Health Research Inc.	93.393	10701	—	1,202	—
Health Research Inc.	93.393	5401	—	10,312	—
Health Research Inc.	93.393	55098901	—	282,363	—
Health Research Inc.	93.393	55-1011-01	—	3,624	—
Health Research Inc.	93.393	55-7901-03/6-01	—	16,734	—
Health Research Inc.	93.393	55-8008-01	—	931	—
Health Research Inc.	93.393	73-01	—	72,653	—
Health Research Inc.	93.393	7501	—	11,548	—
Health Research Inc.	93.393	9401	—	583	—
University of Utah	93.393	10001746 PO 0000144038	—	(1)	443,495
Health Research Inc.	93.394	431801	—	113,228	—
Purdue University	93.394	410238842	—	53,612	—
Trustees of Columbia University	93.394	2 (Acct. #5-30079)	—	48,680	—
Trustees of the University of Pennsylvania	93.394	557445	—	8,846	—
Vitavax Inc	93.394	1R44CA14004701	—	137,394	361,960
American College of Surgeons Oncology Group	93.395	309	—	3,831	—
Chem-Master International Incorporated	93.395	2R44CA13239602A1	—	49,408	—
Cornell University	93.395	576119120	—	89,057	—
Frontier Science and Technology Research Foundation Incorporated	93.395	PSASUDWS00 CA21115	—	10,578	—
Gynecologic Oncology Group	93.395	02522530 2181RF CTSU 2746970	—	5,943	—
Gynecologic Oncology Group	93.395	27469056	—	31,985	—
Gynecologic Oncology Group	93.395	27469070	—	123,788	—
Health Research Inc.	93.395	1-01	—	1,752	—
Health Research Inc.	93.395	13-01/58-0978-03	—	1,188	—
Health Research Inc.	93.395	1501	—	34,998	—
Health Research Inc.	93.395	2002	—	178,014	—
Health Research Inc.	93.395	2-01	—	11,112	—
Health Research Inc.	93.395	27-01	—	148,853	—
Health Research Inc.	93.395	4301	—	16,551	—
Health Research Inc.	93.395	4901	—	40,683	—
Health Research Inc.	93.395	5201	—	18,373	—
Health Research Inc.	93.395	55-0818-18 / 28-01	—	44,203	—
Health Research Inc.	93.395	55094101	—	7,097	—
Health Research Inc.	93.395	9201	—	4,081	—
John Wayne Cancer Institute	93.395	CA029605	—	143	—
National Childhood Cancer Foundation	93.395	14052 985431158	—	347	—
NSABP Foundation Incorporated	93.395	PFED25ST001	—	13,350	—
NSABP Foundation Incorporated	93.395	TFED36 37 38 39-345	—	11,729	—
Regents of the University of Michigan	93.395	3002300437	—	5,625	—
University of Chicago	93.395		—	6,108	—
Weill Medical College of Cornell University	93.395	1N01CN43302WA22	—	186,002	—
West Virginia University	93.395	10376SUNY5D43CA153707	—	182,170	1,226,969
Advanced BioMedical Machines Incorporated	93.396		—	716,881	—
Albert Einstein College of Medicine	93.396	95263883	—	11,101	—
Health Research Inc.	93.396	3901	—	22,653	750,635
Board of Regents of the University of Wisconsin System	93.397	397K526	—	79,125	—
Cornell University	93.397	58407-9121	—	57,590	—
Health Research Inc.	93.397	12-01	—	1,635	—
Health Research Inc.	93.397	3801	—	208,120	—
Health Research Inc.	93.397	55-7753-01	—	3,322	—
Health Research Inc.	93.397	55-7755-01	—	8,603	—
Health Research Inc.	93.397	8501	—	21,947	—
Mount Sinai School of Medicine	93.397	025840614609	—	50,758	431,100
Health Research Inc.	93.398	55-1012-01	—	860	860
American College of Radiology	93.399		—	5,818	—
Frontier Science and Technology Research Foundation Incorporated	93.399	PSASUDWS00 CA37403	—	2,989	—
Southwest Oncology Group	93.399	CA37429	—	1,466	—
University of Chicago	93.399		—	750	11,023
NYS Office of Children and Family Services	93.558	C004009	—	261,432	—
NYS Office of Children and Family Services	93.558	C004529	—	645,356	906,788
NYS Office of Children and Family Services	93.590	C004010	—	134,051	—
NYS Office of Children and Family Services	93.590	C004527	—	266,609	400,660
University of Southern Maine	93.652	6100038890	—	23,899	—
University of Southern Maine	93.652	64814814	—	50,781	74,680
ARRA - Albany Medical College	93.701	2716	—	17,592	—
ARRA - Bio-Signal Group Corporation	93.701	IRC3NS0765801	—	118,367	—
ARRA - Board of Regents of the University of Oklahoma Health Sciences Center	93.701	RS20090553-07	—	(361)	—
Children's Hospital of Philadelphia	93.701	U10CA098543	—	180	—
ARRA - Colorado State University	93.701	G76821	—	1,718	—
Duke University	93.701	08200	—	1,540	—
ARRA - Duke University	93.701	PROMISE Site #385	—	9,961	—
ARRA - Emmes Corporation	93.701		—	26,176	—
ARRA - Hospital for Special Surgery	93.701		—	259,184	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
ARRA – John Wayne Cancer Institute	93.701	CA029605	\$ —	2,966	—
ARRA – Johns Hopkins University	93.701	2001282212	—	14,199	—
ARRA – Montefiore Hospital and Medical Center	93.701	5U01AI3500418	—	465	—
ARRA – Oregon Health & Science University	93.701	ABMCS0010AST	—	317	—
ARRA – Tulane University	93.701	TUL-HSC-329-11/12	—	6,950	—
ARRA – University of Pittsburgh	93.701	9004641	—	70,257	—
ARRA – University of Rochester	93.701	100049-8	—	190,396	—
ARRA – University of Rochester	93.701	100050D 1DP4GM09685001	—	83,993	—
ARRA – University of Texas Health Science Center	93.701	0007248E	—	5,248	809,148
ARRA – Brigham and Womens Hospital	93.704	106458	—	154,529	154,529
American College of Radiology	93.715	ACRIN4701	—	3,500	—
ARRA – Board of Regents of the University of Oklahoma Health Sciences Center	93.715	20101741	—	1,632	—
ARRA – Board of Regents of the University of Oklahoma Health Sciences Center	93.715	C1067201	—	2,056	—
ARRA – Health Research Inc.	93.715	35004101	—	117,776	—
ARRA – Michigan State University	93.715	RC060967SUNY	—	15,081	140,045
ARRA – Health Research Inc.	93.723	35003201	—	30,322	30,322
ARRA – Mayo Clinic Rochester Minnesota	93.728	63101087	—	18,301	—
ARRA – Mayo Clinic Rochester Minnesota	93.728	90TR000201	—	80,354	98,655
Albert Einstein College of Medicine	93.837	—	—	1,000	—
Baylor College of Medicine	93.837	5600856261	—	101,845	—
Columbia University	93.837	1GG00659015	—	175,148	—
Columbia University	93.837	G04096	—	39,221	—
Columbia University	93.837	GG00659007	—	348,936	—
Columbia University	93.837	GG00659013	—	79,790	—
Columbia University	93.837	P01HL047540	—	134,504	—
Columbia University	93.837	R01AG035015	—	14,966	—
Columbia University	93.837	R01HL077612	—	14,972	—
Columbia University	93.837	R01HL094423	—	14,985	—
Fred Hutchinson Cancer Research Center	93.837	0000772463	—	25,432	—
Johns Hopkins University	93.837	1R01HL6892701	—	640	—
New England Research Institute	93.837	—	—	5,482	—
Provid Pharmaceuticals Incorporated	93.837	1R43HL103037-01	—	462	—
Rhode Island Hospital	93.837	U01HL077221	—	2,840	—
Trustees of Columbia University in the City of New York	93.837	576630 POG02882	—	31,988	—
Trustees of the University of Pennsylvania	93.837	548973/2719457	—	18,040	—
Trustees of the University of Pennsylvania	93.837	556681	—	50,679	—
Trustees of the University of Pennsylvania	93.837	PO2885550 556681	—	42,865	—
University of Chicago	93.837	R01HL059199 44709	—	66,098	—
University of Iowa	93.837	1001003032	—	25,582	—
University of Pittsburgh	93.837	0022964 1198353	—	31,061	—
University of Rochester	93.837	415494G001	—	177	—
University of Rochester	93.837	451288G 5R21HL09280103	—	483,933	—
University of Rochester	93.837	529437	—	8,502	—
Yale University	93.837	R01HL081153	—	558	—
Yale University	93.837	VIRGO	—	6,140	1,725,846
Childrens Hospital of Boston	93.838	74159	—	3,019	—
Henry Ford Health System	93.838	R01HL09257604	—	2,139	—
Johns Hopkins University	93.838	2001123424	—	133,763	—
Johns Hopkins University	93.838	2001123424/2001124561	—	20,244	—
Johns Hopkins University	93.838	2001124561	—	107,203	—
Johns Hopkins University	93.838	PO2001124561	—	(3,587)	—
Northwestern University	93.838	60026866 RF SUNY	—	29,217	—
Oklahoma Medical Research Foundation	93.838	—	—	43,226	—
Regents of the University of California	93.838	5912sc	—	12,010	—
Regents of the University of California	93.838	Sub 5912sc – U01HL094338	—	2,500	—
Regents of the University of California	93.838	—	—	17,735	—
Regents of the University of California, San Francisco	93.838	5913sc	—	2,332	—
University of Michigan	93.838	3001128187	—	17,519	—
University of Rochester	93.838	415605-G	—	135,382	—
University of Rochester	93.838	5-24166 415782G	—	10,760	—
University of Rochester	93.838	PO# 415700-G / UR# 5-24028	—	29,549	563,211
Baylor College of Medicine	93.839	101731662 5R01HL09564704	—	23,661	—
Brigham and Womens Hospital	93.839	107275	—	71,441	—
Case Western Reserve University	93.839	N01HC92558	—	649	—
Fred Hutchinson Cancer Research Center	93.839	0000704275	—	4,862	—
Health Research Inc.	93.839	55-0993-02/17-01	—	164,303	—
National Marrow Donor Program	93.839	BMT/CTN0702 site 10882	—	4,203	—
Saint Louis University	93.839	1-R01HL101917-03	—	73,233	—
Saint Louis University	93.839	2R01HL062565	—	77,179	—
University of Iowa	93.839	W000392628	—	20,187	439,718
Medical University of South Carolina	93.846	MU.S.C08128	—	60,705	60,705
Connecticut Children's Medical Center	93.847	1217929610	—	700	—
George Washington University	93.847	—	—	229,954	—
George Washington University	93.847	STOPP2D 2U01DK06123008	—	1,451	—
Michigan State University	93.847	RC060037SUNY	—	5,264	—
Regents of the University of California Los Angeles	93.847	1556GQC024	—	23,466	—
Regents of the University of Michigan	93.847	3002597885	—	10,239	—
Rensselaer Polytechnic Institute	93.847	A12224	—	32,059	—
Seattle Childrens Hospital	93.847	10618SUB	—	67,980	—
Utah State University	93.847	11039401	—	56,014	427,127
Beth Israel Deaconess Medical Center	93.853	01024736	—	7,209	—
Board of Trustees of the University of Alabama Birmingham	93.853	000377209052	—	69,938	—
Brigham and Womens Hospital	93.853	105111	—	571	—
Cincinnati Childrens Hospital Medical Center	93.853	107759	—	3,767	—
Emmes Corporation	93.853	—	—	38,374	—
Johns Hopkins University	93.853	2000795137	—	49,427	—
Johns Hopkins University	93.853	U01NS062851032000765681	—	(218)	—
Johns Hopkins University	93.853	U01NS062851042000732191	—	23,676	—
Loyola University Stritch School of Medicine	93.853	203676	—	62,127	—
Massachusetts General Hospital	93.853	219314 U01NS05259205	—	9,004	—
Massachusetts General Hospital	93.853	219714	—	40,462	—
Massachusetts General Hospital	93.853	221328	—	14,226	—
Massachusetts General Hospital	93.853	5U01NS049640	—	68,555	—
Massachusetts General Hospital	93.853	U01NS04964006	—	32,694	—
Massachusetts General Hospital	93.853	U01NS04964008	—	689,889	—
Medical University of South Carolina	93.853	MU.S.C08110	—	57,583	—
Medical University of South Carolina	93.853	MU.S.C08-140	—	24,380	—
Medical University of South Carolina	93.853	MU.S.C009-057	—	34,397	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
Mount Sinai School of Medicine	93.853	1U01NS045719	\$	1,265	—
Regenerative Research Foundation	93.853	5009RFSUNY	—	58,008	—
Regents of the University of California	93.853	6873sc	—	107,094	—
Regents of the University of California	93.853	6881sc	—	47,715	—
Trustees of Columbia University in the City of New York	93.853	GG006326	—	2,150	—
University of British Columbia	93.853	F09-04855	—	14,029	—
University of California at Los Angeles	93.853	1580GPG68 441437JS29131	—	21,486	—
University of Cincinnati	93.853	COEU.S.7753	—	14,559	—
University of Medicine & Dentistry of New Jersey	93.853	99-705	—	9,450	—
University of Miami	93.853	M159968	—	2,020	—
University of Miami	93.853	—	—	61,140	—
University of Miami	93.853	SITE 8 M159756	—	560	—
University of Minnesota	93.853	N000936924	—	2,950	—
Yale University	93.853	A07593 (M10A10547)	—	7,503	—
Yale University	93.853	A08082 (M10A10548)	—	11,027	—
Yale University	93.853	A09014 M10A10548	—	7,647	1,594,664
Albert Einstein College of Medicine	93.855	95262222	—	43,301	—
Albert Einstein College of Medicine	93.855	95266984	—	187,988	—
Brigham and Womens Hospital	93.855	104684	—	321,362	—
Brigham and Womens Hospital	93.855	108082	—	318,762	—
Brigham and Womens Hospital	93.855	108085	—	11,995	—
Brigham and Womens Hospital	93.855	108188	—	311	—
Brigham and Womens Hospital	93.855	108188	—	163,702	—
Brigham and Womens Hospital	93.855	108188	—	53,828	—
Case Western Reserve University	93.855	RES507056	—	35,556	—
Codagenix Incorporated	93.855	1R41A110042801	—	83,765	—
Columbia University	93.855	7GG006382	—	468,000	—
Medical University of South Carolina	93.855	MU.S.C12125	—	52,453	—
Monash University	93.855	R01AI079330-01	—	9,437	—
Montefiore Hospital and Medical Center	93.855	SU01AI3500418	—	(1,225)	—
Montefiore Hospital and Medical Center	93.855	SU01AI3500419	—	18,767	—
Social and Scientific Systems Incorporated	93.855	BRS-ACURE-S-11-000039-001225	—	380	—
Stanford University	93.855	25973560-140-A	—	22,080	—
Stanford University	93.855	PY-2581-25176-A	—	5,863	—
Super Pulse	93.855	UMU001	—	17,653	—
Trudeau Institute Incorporated	93.855	—	—	35,004	—
Trustees of the University of Pennsylvania	93.855	2757132	—	35,851	—
Trustees of the University of Pennsylvania	93.855	558189	—	23,270	—
University of Pittsburgh	93.855	0000898	—	8,555	—
University of Pittsburgh	93.855	0017471 118010-1	—	3,338	—
University of Rhode Island	93.855	1205110002866	—	87,353	—
University of Rhode Island	93.855	120611_0002866/ 0000036285	—	74,224	—
University of Rochester	93.855	415691G	—	18,124	—
University of Rochester	93.855	416041G	—	23,659	—
University of Texas Southwestern Medical Center at Dallas	93.855	120601RGC0000000278	—	55,117	—
University of Texas Southwestern Medical Center at Dallas	93.855	RGC0000000062 (GMO-111201)	—	92,545	2,271,018
Colorado State University	93.856	G78131	—	78,036	—
Colorado State University	93.856	—	—	8,628	—
RTI Health Solutions	93.856	—	—	514	87,178
Albany Medical College	93.859	5R01GM09032507	—	14,084	—
Arizona Board of Regents	93.859	72279	—	27,049	—
Bowling Green State University	93.859	10380097SUNYSB	—	108,510	—
Brigham and Womens Hospital	93.859	106823	—	51,863	—
Hauptman Woodward Medical Research Institute Inc	93.859	6200	—	63,808	—
Hocus Locus LLC	93.859	1R41GM09781101A1	—	42,883	—
ARRA - Massachusetts Institute of Technology	93.859	5710003090	—	24,998	—
MassTech Incorporated	93.859	—	—	29,123	—
MatTek Corporation	93.859	—	—	51,690	—
Memorial Sloan Kettering Cancer Center	93.859	BD515263	—	65,884	—
Memorial Sloan Kettering Cancer Center	93.859	BD5152653	—	4,531	—
Mount Sinai School of Medicine	93.859	025477154609	—	11,583	—
Mount Sinai School of Medicine	93.859	025477554609	—	13,781	—
Mount Sinai School of Medicine	93.859	025477754609	—	3,754	—
Mount Sinai School of Medicine	93.859	025500624609	—	145,378	—
Novan Incorporated	93.859	1R43GM10301101A1	—	48,307	—
Q Chem, Inc.	93.859	2R44GM084555-02	—	31,884	—
Q Chem, Inc.	93.859	R44GM081928-02	—	108,686	—
Regents of the University of California	93.859	00008091	—	13,016	—
Regents of the University of California	93.859	6814817	—	59,091	—
Regents of the University of California	93.859	6914226	—	37,074	—
RES Group Inc.	93.859	1R41GM09051301	—	18	—
Rutgers University	93.859	S1479920	—	108,453	—
Rutgers University	93.859	S1541581 / 4423	—	13,742	—
Scripps Research Institute	93.859	S1713924	—	368,254	—
Scripps Research Institute	93.859	5-24470	—	13,430	—
Scripps Research Institute	93.859	524562	—	21,038	—
University of California at Davis	93.859	SUB06002896SBAMD1	—	4,188	—
University of California at San Diego	93.859	S9000280	—	26,303	—
University of Connecticut	93.859	UCHC6-26653433	—	59,278	—
University of Delaware	93.859	27996	—	196,602	—
University of Illinois Urbana Champaign	93.859	20080169801	—	150,716	—
University of New Mexico	93.859	86922087Q0	—	133,652	—
University of Pittsburgh	93.859	0012097/1220024	—	37,852	—
University of Pittsburgh	93.859	9000613 11789612	—	5,256	—
University of Washington	93.859	662223	—	15,354	—
Washington University	93.859	2917153T WU1271	—	107,729	2,218,842
Board of Trustees of the University of Illinois	93.865	2010-06423-02-00KN	—	12,751	—
Board of Trustees of the University of Illinois	93.865	20110165901/A1025	—	17,897	—
Duke University	93.865	A326001 FluconazoleNIH133	—	1,524	—
Georgia State University	93.865	SP00010461	—	132,911	—
Harvard University	93.865	114074.0776SMARTT	—	70,085	—
Harvard University	93.865	114074.0876.5041196 ECHO	—	646,285	—
New York University	93.865	F607707/UW408786-2	—	55,564	—
Oregon Health & Science University	93.865	GVOLL0275D	—	120,294	—
Regents of the University of California; University of California, San Diego	93.865	35847020	—	607	—
Syracuse University	93.865	SP26043203312S01	—	4,864	—
University of Rochester	93.865	415741-G	—	55,257	—
University of Rochester	93.865	416067G	—	10,075	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
University of Rochester	93.865	416086G	\$ —	123,973	—
University of Texas Medical Branch at Galveston	93.865	13019	—	991	1,253,078
Board of Regents of the University of Wisconsin System	93.866	269K964	—	68,294	—
Columbia University	93.866	IGG006545 5U01AG03297302	—	29,639	—
Columbia University	93.866	IGG007504 PO: G03414	—	28,027	—
Hebrew Rehabilitation Center for the Aged	93.866	101090049	—	47,203	—
Judge Baker Childrens Center	93.866	—	—	82,440	—
National Bureau of Economic Research Incorporated	93.866	334133SBU	—	47,008	—
National Bureau of Economic Research Incorporated	93.866	33413504SBU	—	1,461	—
Regents of the University of California, San Francisco	93.866	5993sc	—	(1,374)	—
Rush University Medical Center	93.866	1R01AG04003901A1	—	3,302	—
Rush University Medical Center	93.866	5R01AG04003902	—	23,300	—
Trustees of Princeton University	93.866	00001792	—	134,721	—
University of Alabama	93.866	UA12061	—	90,734	—
University of California at San Francisco	93.866	5992SC	—	716	555,471
Board of Regents of the University of Oklahoma Health Sciences Center	93.867	RS20091440-01	—	20,622	—
Board of Regents of the University of Wisconsin System	93.867	356K403	—	21,028	—
Children's Hospital of Philadelphia	93.867	3209850813	—	1,100	—
Emmes Corporation	93.867	SITE 045 HHSN260200500007C	—	26,322	—
Indiana University	93.867	IUB463527SUNY PO# 715094	—	37,992	—
Jaeb Center for Health Research Incorporated	93.867	Site 271	—	2,372	—
Jaeb Center for Health Research Incorporated	93.867	U10EY11751	—	12,754	—
Mount Sinai School of Medicine	93.867	025550814609	—	118,694	—
St Lukes Roosevelt Institute for Health Science	93.867	NORDIC01	—	1,216	—
ARRA - St Lukes Roosevelt Institute for Health Science	93.867	NORDIC-IIHTT - SITE 261	—	10,197	252,297
New York University	93.879	070992 00262	—	1,121	—
University of Illinois at Chicago	93.879	Sub Under R01LM010817	—	62,409	63,530
Health Research Inc.	93.917	357406	—	104,219	—
Health Research Inc.	93.917	—	—	33,254	137,473
Eric County Medical Center	93.918	—	—	61,619	61,619
Health Research Inc.	93.944	15334023	—	78,275	78,275
Health Research Inc.	93.994	14080501	—	296,144	—
Health Research Inc.	93.994	14080502	—	424,165	720,309
Total U.S. Department of Health and Human Services			173,810,744	28,562,039	202,372,783
Corporation for National and Community Service: Service Collaborative of WNY Incorporated	94.000		—	13,837	13,837
Total Corporation for National and Community Service			—	13,837	13,837
U.S. Department of Homeland Security: U.S. Department of Homeland Security	97.000		79,260	—	79,260
University of Maryland	97.061	Z901205	—	10,422	—
University of Maryland	97.061	Z901212	—	109,344	—
University of Southern California	97.061	158871	—	10,291	—
University of Southern California	97.061	33775733	—	11,254	—
University of Maryland	97.108	Z980101	—	20,977	162,288
Total U.S. Department of Homeland Security			79,260	162,288	241,548
Agency for International Development Engility Corporation	98.001	CCRDCS0007	—	42,334	—
Higher Education for Development	98.001	EPPA00090000500	—	63,531	—
National Academy of Sciences	98.001	PGAP281491	—	69	105,934
Total Agency for International Development			—	105,934	105,934
Total Research and Development Cluster			312,495,739	62,828,385	375,324,124
Other Programs: U.S. Department of Agriculture: U.S. DA Natural Resources Conservation Service	10.000		1,850	—	1,850
U.S. DA National Institute of Food and Agriculture	10.217		108,979	—	108,979
U.S. DA National Institute of Food and Agriculture	10.326		7,985	—	7,985
NYS Office of Temporary & Disability Assistance	10.551	C003065	—	(4,012)	—
NYS Office of Temporary & Disability Assistance	10.551	C004108	—	117,806	—
NYS Office of Children and Family Services	10.551	C004110	—	909,613	—
NYS Office of Temporary & Disability Assistance	10.551	C004111	—	183,672	—
NYS Office of Temporary & Disability Assistance	10.551	C004113	—	403,202	—
NYS Office of Temporary & Disability Assistance	10.551	C004124	—	935,376	—
NYS Office of Temporary & Disability Assistance	10.551	C004502	—	411,115	—
NYS Office of Temporary & Disability Assistance	10.551	C004551	—	390,461	—
NYS Office of Temporary & Disability Assistance	10.551	C004552	—	301,271	—
NYS Office of Temporary & Disability Assistance	10.551	C004554	—	182,477	—
NYS Office of Temporary & Disability Assistance	10.551	C004555	—	826,534	—
NYS Office of Children and Family Services	10.551	C004564	—	155,483	—
NYS Office of Children and Family Services	10.551	C004605	—	22,241	—
NYS Office of Children and Family Services	10.551	C026480	—	9,964	—
NYS Office of Children and Family Services	10.551	C26760	—	9,633	—
NYS Office of Children and Family Services	10.551	—	—	123,829	—
NYS Office of Temporary & Disability Assistance	10.551	—	—	1,797,738	—
NYS Office of Temporary & Disability Assistance	10.551	—	—	1,050,836	7,827,239
NYS Department of Health	10.557	C025788	—	981,107	981,107
NYS Office of Temporary & Disability Assistance	10.561	C004114	—	161,536	—
NYS Office of Temporary & Disability Assistance	10.561	C004566	—	124,883	—
NYS Office of Temporary & Disability Assistance	10.561	C021525	—	13,052	—
NYS Office of Temporary & Disability Assistance	10.561	C021533	—	24,681	—
NYS Office of Temporary & Disability Assistance	10.561	C021534	—	22,948	—
NYS Office of Temporary & Disability Assistance	10.561	C021537	—	76,447	—
NYS Office of Temporary & Disability Assistance	10.561	C021539	—	26,549	450,096
Total U.S. Department of Agriculture			118,814	9,258,442	9,377,256
U.S. Department of Commerce: Consortium for Ocean Leadership	11.008	NA12SEC0080019	—	12,956	12,956
Economic Development Administration	11.300	NA07SEC4690001	822,771	—	822,771
North Country Council Incorporated	11.307	—	—	2,241	2,241
Economic Development Administration	11.313	—	937,544	—	937,544
National Oceanic and Atmospheric Administration	11.417	—	46,069	—	46,069
NOAA Estuarine Reserves Division	11.420	—	40,328	—	40,328
National Institute of Standards and Technology	11.609	—	40,765	—	40,765
Total U.S. Department of Commerce			1,887,477	15,197	1,902,674

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
U.S. Department of Defense:					
Academy of Applied Sciences	12.300	1136 1135	\$ —	479	—
Academy of Applied Sciences	12.300	1208 1265	—	5,200	—
Academy of Applied Sciences	12.300	1240 1248 1285	—	7,179	12,858
U.S. Army Medical Research Acquisition Activity	12.420		108,680	—	—
U.S. Army Medical Research and Materiel Command	12.420		31,463	—	140,143
U.S. Army Research Development & Engineering Command	12.431		7,541	—	7,541
Academy of Applied Sciences	12.630		—	13,032	—
Academy of Applied Sciences	12.630	W911NF1020076	—	11,179	24,211
Total U.S. Department of Defense			147,684	37,069	184,753
U.S. Department of Housing and Urban Development:					
U.S. Department of Housing and Urban Development	14.000		35,730	—	35,730
Housing Trust Fund Corporation	14.000	1297DR113	—	38,646	38,646
Total U.S. Department of Housing and Urban Development			35,730	38,646	74,376
U.S. Department of the Interior:					
National Fish and Wildlife Foundation	15.608	20100074015	—	6,802	—
National Fish and Wildlife Foundation	15.608	20110507002	—	82,638	89,440
Town of New Paltz Historic Preservation Commission	15.904		—	5,936	—
Village of New Paltz Historic Preservation Commission	15.904		—	4,450	10,386
National Park Service	15.945		156,108	—	156,108
Total U.S. Department of the Interior			156,108	99,826	255,934
U.S. Department of Justice:					
U.S. Department of Justice	16.013		52,071	—	52,071
City of Albany	16.523	JF111009E00	—	37,601	37,601
U.S. Department of Justice	16.525		111,723	—	111,723
NYS Unified Court System	16.585	2010-DC-BX-0121	—	838	—
Schenectady County Drug Court	16.585	T420101	—	1,657	2,495
NYS Office for the Prevention of Domestic Violence	16.590	C200853	—	20,440	20,440
Center for Problem Oriented Policing	16.710		—	15,452	15,452
Total U.S. Department of Justice			163,794	75,988	239,782
U.S. Department of Labor:					
Fulton Montgomery and Schoharie Counties Workforce Development Board Inc.	17.000		—	535	535
Family Services Inc.	17.259		—	8,633	—
GLOW Workforce Investment Board	17.259	PY2011-GLOW-4	—	333	—
GLOW Workforce Investment Board	17.259	PY2012-GLOW-4	—	5,644	14,610
U.S. Department of Labor	17.268		365,306	—	—
Orange County Community College	17.268	8132	—	9,925	—
Orange County Community College	17.268		—	21,292	396,523
Monroe Community College	17.282		—	8,574	8,574
Total U.S. Department of Labor			365,306	54,936	420,242
U.S. Department of State:					
Institute of International Education	19.010		—	59,887	59,887
U.S. Department of State	19.021		20,355	—	20,355
U.S. Department of State	19.415		214,092	—	214,092
U.S. Department of State	19.700		922,922	—	922,922
U.S. Department of State	19.878		9,073	—	9,073
Total U.S. Department of State			1,166,442	59,887	1,226,329
U.S. Department of Transportation:					
Niagara Frontier Transportation Authority	20.000		—	30,721	30,721
NYS Department of Transportation	20.218	C003101	—	186,891	186,891
New York City Department of Transportation	20.500	20121417763 FTANY04003500	—	529,952	529,952
NYS Governors Traffic Safety Committee	20.600	DMV01C0020153700393	—	64,181	—
NYS Governors Traffic Safety Committee	20.600	DMV01C0020783700393	—	106,003	—
NYS Governors Traffic Safety Committee	20.600	HS12012ITSMR00198	—	152,705	—
NYS Governors Traffic Safety Committee	20.600	HS12012ITSMR00206088	—	76,051	—
NYS Governors Traffic Safety Committee	20.600	HS12012ITSMR00209088	—	67,029	—
NYS Governors Traffic Safety Committee	20.600	HS12013ITSMR00243088	—	174,829	—
NYS Governors Traffic Safety Committee	20.600	HS12013ITSMR00245088	—	395,311	—
NYS Governors Traffic Safety Committee	20.600	HS12013ITSMR00257088	—	231,736	—
NYS Governors Traffic Safety Committee	20.600	HS12012ITSMR00204	—	51,790	—
NYS Governors Traffic Safety Committee	20.600	HS12013ITSMR00256088	—	190,786	1,510,421
NYS Governors Traffic Safety Committee	20.602	CPS2012RFSUNY00103052	—	14,064	14,064
NYS Governors Traffic Safety Committee	20.609	RF00163015	—	1,428	—
NYS Governors Traffic Safety Committee	20.609	RF00188015	—	3,060	4,488
Research Foundation of City University of New York	20.701	491110323	—	5,208	—
Research Foundation of City University of New York	20.701	499970224	—	7,611	—
Research Foundation of City University of New York	20.701	499970324	—	29,817	42,636
Total U.S. Department of Transportation			—	2,319,173	2,319,173
Appalachian Regional Commission:					
Appalachian Regional Commission	23.001		227,563	—	227,563
Appalachian Regional Commission	23.002		45,097	—	45,097
East Tennessee State University	23.011	22001215	—	3,695	3,695
Total Appalachian Regional Commission			272,660	3,695	276,355
Social Security Administration:					
Intergovernmental Personnel Act (IPA) Mobility Program	27.011		1,818	—	1,818
Total Social Security Administration			1,818	—	1,818
National Aeronautics and Space Administration:					
NASA Goddard Space Flight Center	43.000		34,387	—	—
Colorado State University	43.000	G39751	—	51,686	86,073
NASA Goddard Space Flight Center	43.001		85,086	—	—
Cornell University	43.001	61420-9292	—	10,586	—
Greater Syracuse Chamber of Commerce	43.001	Multiple RTAs	—	260	95,932
NASA Goddard Space Flight Center	43.003		42,977	—	42,977
Total National Aeronautics and Space Administration			162,450	62,532	224,982
National Foundation on the Arts and Humanities:					
Newberry	45.000		—	21,000	21,000
National Endowment for the Arts	45.024		21,064	—	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
Arts Midwest	45.024	156011	\$ —	12,160	—
Young Audiences of WNY	45.024		—	13,657	46,881
New York Council for the Humanities	45.129	6746	—	2,441	2,441
National Endowment for the Humanities	45.149		130,234	—	130,234
National Endowment for the Humanities	45.163		159,811	—	159,811
National Endowment for the Humanities	45.169		101,819	—	101,819
Institute of Museum and Library Services	45.301		61,636	—	61,636
Institute of Museum and Library Services	45.307		55,679	—	55,679
Total National Foundation on the Arts and Humanities			530,243	49,258	579,501
Small Business Administration:					
Small Business Development Centers	59.037		8,166,316	—	8,166,316
Veterans Business Development	59.044		146,585	—	146,585
Federal and State Technology Partnership Program	59.058		14,664	—	14,664
Entrepreneurial Development Disaster Assistance (Disaster Relief Appropriations Act)	59.064		167,339	—	167,339
Total Small Business Administration			8,494,904	—	8,494,904
U.S. Department of Veteran Affairs :					
Veterans Benefits Administration	64.000		31,664	—	31,664
Veterans Dependency and Indemnity Compensation for Service-Connected Death	64.110		86	—	86
Total U.S. Department of Veteran Affairs			31,750	—	31,750
Environmental Protection Agency:					
NYS Environmental Facilities Corporation	66.000	584 C792050200	—	61,115	—
Onondaga Environmental Institute	66.000		—	1,435	62,550
University of Connecticut	66.437	FRS552322 -7131	—	44,245	44,245
Greater Research Opportunities (GRO) Fellowships For Undergrad Environmental Study	66.513		19,990	—	19,990
Science To Achieve Results (STAR) Fellowship Program	66.514		19,970	—	19,970
Pollution Prevention Grants Program	66.708		618	—	618
Environmental Workforce Development and Job Training Cooperative Agreements	66.815		105,496	—	105,496
Total Environmental Protection Agency			146,074	106,795	252,869
U.S. Department of Energy:					
ARRA – NYS Energy Research and Development Authority	81.041	17043	—	2	—
ARRA – NYS Energy Research and Development Authority	81.041	26154PO#ERDA10000027474	—	26,276	26,278
Brookhaven Science Associates LLC	81.049		111033	—	38,667
Brookhaven Science Associates LLC	81.049		116222	—	30,708
Brookhaven Science Associates LLC	81.049		120259	—	27,288
Brookhaven Science Associates LLC	81.049		133068	—	5,244
Brookhaven Science Associates LLC	81.049		133610	—	42,087
Brookhaven Science Associates LLC	81.049		133654	—	16,710
Brookhaven Science Associates LLC	81.049		133655	—	40,869
Brookhaven Science Associates LLC	81.049		138142	—	54,192
Brookhaven Science Associates LLC	81.049		141064	—	4,534
Brookhaven Science Associates LLC	81.049		145974	—	40,869
Brookhaven Science Associates LLC	81.049		145975	—	41,607
Brookhaven Science Associates LLC	81.049		146008	—	7,475
Brookhaven Science Associates LLC	81.049		146480	—	41,287
Brookhaven Science Associates LLC	81.049		146691	—	20,641
Brookhaven Science Associates LLC	81.049		146692	—	20,191
Brookhaven Science Associates LLC	81.049		148216	—	24,547
Brookhaven Science Associates LLC	81.049		148219	—	46,061
Brookhaven Science Associates LLC	81.049		152774	—	20,925
Brookhaven Science Associates LLC	81.049		156046	—	40,815
Brookhaven Science Associates LLC	81.049		156761	—	36,781
Brookhaven Science Associates LLC	81.049		160949	—	952
Brookhaven Science Associates LLC	81.049		163378	—	40,596
Brookhaven Science Associates LLC	81.049		163652	—	43,620
Brookhaven Science Associates LLC	81.049		169062	—	36,422
Brookhaven Science Associates LLC	81.049		170059	—	37,345
Brookhaven Science Associates LLC	81.049		170819	—	38,021
Brookhaven Science Associates LLC	81.049		174401	—	34,700
Brookhaven Science Associates LLC	81.049		181220	—	43,340
Brookhaven Science Associates LLC	81.049		187238	—	35,553
Brookhaven Science Associates LLC	81.049		189766	—	41,607
Brookhaven Science Associates LLC	81.049		189902	—	39,702
Brookhaven Science Associates LLC	81.049		191778	—	12,522
Brookhaven Science Associates LLC	81.049		192487	—	39,154
Brookhaven Science Associates LLC	81.049		194418	—	41,609
Brookhaven Science Associates LLC	81.049		194757	—	23,845
Brookhaven Science Associates LLC	81.049		198136	—	34,486
Brookhaven Science Associates LLC	81.049		201209	—	42,118
Brookhaven Science Associates LLC	81.049		204886	—	51,632
Brookhaven Science Associates LLC	81.049		207081	—	34,707
Brookhaven Science Associates LLC	81.049		209871	—	6,502
Brookhaven Science Associates LLC	81.049		210310	—	39,126
Brookhaven Science Associates LLC	81.049		210367	—	38,436
Brookhaven Science Associates LLC	81.049		212293	—	65,669
Brookhaven Science Associates LLC	81.049		212297	—	29,552
Brookhaven Science Associates LLC	81.049		215204	—	42,610
Brookhaven Science Associates LLC	81.049		218102	—	47,942
Brookhaven Science Associates LLC	81.049		218981	—	31,397
Brookhaven Science Associates LLC	81.049		218985	—	45,506
Brookhaven Science Associates LLC	81.049		218988	—	29,954
Brookhaven Science Associates LLC	81.049		218993	—	44,417
Brookhaven Science Associates LLC	81.049		218994	—	8,277
Brookhaven Science Associates LLC	81.049		219733	—	28,587
Brookhaven Science Associates LLC	81.049		220884	—	38,425
Brookhaven Science Associates LLC	81.049		220887	—	39,673
Brookhaven Science Associates LLC	81.049		221346	—	12,686
Brookhaven Science Associates LLC	81.049		222340	—	53,636
Brookhaven Science Associates LLC	81.049		223349	—	41,455
Brookhaven Science Associates LLC	81.049		226119	—	48,527
Brookhaven Science Associates LLC	81.049		228672	—	30,290
Brookhaven Science Associates LLC	81.049		228930	—	17,355
Brookhaven Science Associates LLC	81.049		228947	—	11,332
Brookhaven Science Associates LLC	81.049		228952	—	32,510
Brookhaven Science Associates LLC	81.049		229098	—	34,013



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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
Brookhaven Science Associates LLC	81.049	229147	\$ —	28,958	—
Brookhaven Science Associates LLC	81.049	229738	—	32,821	—
Brookhaven Science Associates LLC	81.049	230061	—	22,653	—
Brookhaven Science Associates LLC	81.049	232019	—	4,437	—
Brookhaven Science Associates LLC	81.049	243787	—	3,607	—
Brookhaven Science Associates LLC	81.049	245154	—	2,842	—
ARRA – Florida Power & Light Company	81.049	NA	—	122,553	2,309,177
ARRA – Hudson Valley Community College	81.087	P00066763	—	564	—
Solar Energy Consortium	81.087	SUNY332	—	17,012	17,576
NYS Energy Research and Development Authority	81.119	23797 PO# ERDA1-0000026077	—	7,633	7,633
ARRA – Syracuse University	81.122	2429402619S02	—	113,168	—
ARRA – Syracuse University	81.122	24294-02619-S05	—	109,794	222,962
Total U.S. Department of Energy			—	2,583,626	2,583,626
U.S. Department of Education:					
U.S. Department of Education	84.000	C004011	435,623	—	—
Rochester City School District	84.000	2013000932	—	8,638	—
NYS Comm On Qual Care and Adv for Persons with Disabilities	84.000	C111828	—	68,438	—
Central Susquehanna Intermediate Unit	84.000	—	—	99,158	—
Central Susquehanna Intermediate Unit	84.000	—	—	1,459	613,316
NYS Education Department	84.002	C010002	—	401,137	—
Eric County Department of Social Services	84.002	ED 3056	—	52,839	—
Eric County Department of Social Services	84.002	ED3264	—	112,209	566,185
Buffalo City School District	84.010	F0004D21444EJN	—	3,689	—
Buffalo Public Schools	84.010	—	—	12,580	16,269
Migrant Education-State Grant Program	84.011	C026053	467,983	—	—
NYS Education Department	84.011	0035100037 C400998	—	(50)	—
NYS Education Department	84.011	0035120002 C400996	—	115,757	—
NYS Education Department	84.011	0035120013 C400999	—	135,775	—
NYS Education Department	84.011	0035120037 C400998	—	316,851	—
NYS Education Department	84.011	0035130037 C400998	—	632,689	—
NYS Education Department	84.011	035130002 C40996	—	300,158	—
Mississippi State University	84.011	050405-361160-01	—	9,178	—
Mississippi State University	84.011	05040536119101	—	1,893	—
Mississippi Department of Education	84.011	1132018208BC80EA09032	—	370	—
Mississippi Department of Education	84.011	1332018246B9B0EA09001	—	62,477	—
Florida Department of Education	84.011	986-2172T-2PE01	—	245,398	—
Florida Department of Education	84.011	9862173T3PE01	—	376,291	—
NYS Education Department	84.011	C113239	—	130,367	—
Alabama State Department of Education	84.011	C2U0195	—	21,338	—
NYS Education Department	84.011	C400993 0035120005	—	264,536	—
NYS Education Department	84.011	C400993 0035130005	—	798,959	—
NYS Education Department	84.011	C400999 0035130013	—	561,317	—
NYS Education Department	84.011	C401000 0035120022	—	308,815	—
NYS Education Department	84.011	C401000 0035130022	—	497,338	—
NYS Education Department	84.011	C401003 0035120021	—	135,564	—
NYS Education Department	84.011	C401003 0035130021	—	533,492	—
NYS Education Department	84.011	C990263	—	1,882,250	—
California Department of Education	84.011	CN090040	—	1,073	—
California Department of Education	84.011	CN120270	—	48,044	—
Texas Education Agency	84.011	CT 2620 PO 31357	—	25,588	—
Texas Education Agency	84.011	CT# 2620 PO# 30363	—	7,447	—
Maine Department of Education	84.011	CT201112052584	—	366,188	—
Maine Department of Education	84.011	CT20130116*2613 VC1000076007	—	275,433	—
Colorado Department of Education	84.011	—	—	2,446	—
NYS Education Department	84.011	—	—	27,011	—
Gloucester County Special Services School District	84.011	—	—	2,614	—
Kesselman Jones Incorporated	84.011	—	—	12,295	—
Maryland State Department of Education	84.011	—	—	6,972	—
META Associates	84.011	—	—	26,582	—
Oregon Department of Education	84.011	—	—	248	—
Pennsylvania Department of Education	84.011	—	—	8,480	—
Southwest Arkansas Migrant Education Cooperative	84.011	—	—	1,811	—
Chandler (AZ) Unified School District #80	84.011	P075645	—	5	—
Guymon Public Schools	84.011	PO 802	—	11,481	—
Kentucky Department of Education	84.011	PON254011000007641	—	38,602	—
Kentucky Department of Education	84.011	PON254012000003031	—	6,081	—
Kentucky Department of Education	84.011	PON254012000031961	—	90,894	—
Chandler (AZ) Unified School District #80	84.011	RF201220	—	1,746	—
Pennsylvania Department of Education	84.011	RF201221	—	18,871	8,778,658
University of Maine at Orono	84.015	P015A10002211 UMS848	—	32,413	—
University of Maine at Orono	84.015	UMS885	—	46,811	79,224
Undergraduate International Studies and Foreign Language Programs	84.016	PO 0908783	11,540	—	11,540
University of North Carolina at Charlotte	84.027	20120207-01-SUN	—	27,233	—
University of North Carolina at Charlotte	84.027	2013009701SUN	—	18,084	—
NYS Education Department	84.027	C009494	—	206,504	—
NYS Education Department	84.027	C010831	—	1,212	—
NYS Education Department	84.027	C011055	—	490,045	743,078
Higher Education Institutional Aid	84.031	C401688 5525120002	1,194,019	—	1,194,019
TRIO Student Support Services	84.042	C401691 5525120005	3,019,757	—	3,019,757
TRIO Talent Search	84.044	C003054	580,171	—	580,171
TRIO Upward Bound	84.047	—	2,779,771	—	2,779,771
NYS Education Department	84.048	8000126010	—	(85)	—
NYS Education Department	84.048	8000126060	—	2,045	—
NYS Education Department	84.048	8000126100	—	3,131	—
NYS Education Department	84.048	8000126890	—	(19,986)	—
NYS Education Department	84.048	8000126950	—	8,570	—
NYS Education Department	84.048	8000136010	—	304,013	—
NYS Education Department	84.048	8000136060	—	238,712	—
NYS Education Department	84.048	8000136100	—	184,683	—
NYS Education Department	84.048	8000136170	—	167,036	—
NYS Education Department	84.048	8000136870	—	233,361	—
NYS Education Department	84.048	8000136890	—	52,709	—
NYS Education Department	84.048	8000136950	—	87,203	1,261,392
Fund for the Improvement of Postsecondary Education	84.116	C111828	420,480	—	—
Research Foundation of City University of New York	84.116	46355J	—	4,320	—
Excelsior College	84.116	—	—	18,055	442,855
NYS Office of Temporary & Disability Assistance	84.126	C004108	—	18,745	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
NYS Office of Children and Family Services	84.126	C004564	\$ —	24,937	—
NYS Office of Children and Family Services	84.126	C004571	—	18,176	—
NYS Office of Children and Family Services	84.126	C004605	—	15,814	—
NYS Office of Children and Family Services	84.126	—	—	12,397	—
NYS Office of Children and Family Services	84.126	—	—	76,437	166,506
Rehabilitation Long-Term Training	84.129	C112083	139,547	—	139,547
NYS Comm On Qual Care and Adv for Persons with Dis	84.133	C111829	—	61,706	61,706
Florida Department of Education	84.144	9861163A2P001	—	37,819	—
Florida Department of Education	84.144	9861163T3P001	—	39,898	77,717
Migrant Education_College Assistance Migrant Program	84.149	PO # 2012002613	462,623	—	462,623
Javits Fellowships	84.170	2394002628S01	68,119	—	68,119
New York City Board of Education	84.173	331800880148/PL 611	—	(20,608)	—
New York City Board of Education	84.173	331800880148/PL 619	—	13,276	—
New York City Department of Education	84.173	—	—	97,190	89,858
Schenectady City School District	84.184	121841	—	27,510	—
Albany City School District	84.184	—	—	232,178	—
Champlain Valley Educational Services	84.184	PO 1301012	—	70,000	—
Champlain Valley Educational Services	84.184	PO1200764	—	757	330,445
Bilingual Education_Professional Development	84.195	2394002900S01	251,902	—	251,902
East Bloomfield Central School	84.196	—	—	40,450	40,450
Graduate Assistance in Areas of National Need	84.200	ED 3056	765,359	—	765,359
Genesee Migrant Center BOCES	84.213	—	—	24,522	24,522
Ulster County BOCES	84.215	1203316	—	17,122	—
Ulster County BOCES	84.215	13-03169	—	11,277	—
Onondaga Cortland Madison Board of Education Services	84.215	170-1091071-55657	—	94,580	—
State University of New York	84.215	C002372	—	319,749	—
Schenectady City School District	84.215	—	—	1,355	—
Albion Central School	84.215	—	—	2,763	446,846
TRIO McNair Post-Baccalaureate Achievement	84.217	C010002	1,198,080	—	1,198,080
NYS Education Department	84.243	8080120001 C401152	—	25,236	25,236
Rehabilitation Training Continuing Education	84.264	25,008	1,011,456	—	1,011,456
George Washington University	84.283	11-S24	—	41,345	—
Edvantia Incorporated	84.283	C1145000406	—	2,474	43,819
Lackawanna City School District	84.287	—	—	55,706	55,706
Education Research, Development and Dissemination	84.305	F0004D21444EJN	(21,964)	—	—
Colorado Seminary - University of Denver	84.305	SC37031A0100	—	42,275	20,311
Special Ed - Personnel Dev to Improve Svcs and Results for Children with Disabilities	84.325	—	1,097,290	—	1,097,290
Child Care Access Means Parents in School	84.335	C2U0195	69,167	—	69,167
Syracuse University	84.336	2394002900S01	—	6,004	—
Syracuse University	84.336	2632003219S01	—	12,507	18,511
Buffalo City School District	84.351	F0004F20440	—	63,299	—
Buffalo City School District	84.351	—	—	61,883	125,182
NYS Education Department	84.353	8060082005	—	(140,000)	(140,000)
English Language Acquisition State Grants	84.365	ADED12-00001025	804,548	—	804,548
Buffalo City School District	84.366	—	—	15,454	—
Buffalo Public Schools	84.366	—	—	6,216	—
Syracuse City School District	84.366	—	—	54,793	76,463
Syracuse City School District	84.366	PO# SCSDD1-0000011867	—	22	22
National Writing Project Corporation	84.367	01NY09SEED2012	—	24,453	—
NYS Education Department	84.367	0247120028 C401245	—	12,879	—
NYS Education Department	84.367	0247120030 C401246	—	162,467	—
NYS Education Department	84.367	0247120104 C401232	—	156,833	—
NYS Education Department	84.367	0247130022 C401812	—	25,091	—
NYS Education Department	84.367	0247130028 C401813	—	60,092	—
NYS Education Department	84.367	0247130030 C401824	—	153,593	—
NYS Education Department	84.367	0247130104 C401232	—	101,046	—
National Writing Project Corporation	84.367	04NY10SEED2012	—	5,980	—
National Writing Project Corporation	84.367	08NY14SEED2012	—	10,247	—
National Writing Project Corporation	84.367	08NY14SEED2012	—	12,762	—
Bank Street College of Education	84.367	11-2399-2863	—	1,087	—
Bank Street College of Education	84.367	11-2399-2864	—	12,307	—
NYS Education Department	84.367	C401241 0247120022	—	66,508	—
NYS Education Department	84.367	C401243 0247120026	—	30,725	—
NYS Education Department	84.367	C401244 0247120027	—	137,463	—
NYS Education Department	84.367	C401250 0247120034	—	94,136	—
NYS Education Department	84.367	C401811 0247130020	—	131,295	—
NYS Education Department	84.367	C401815 247130034	—	61,231	—
NYS Education Department	84.367	C401818 0247130026	—	45,824	—
NYS Education Department	84.367	C401823 0247130027	—	233,531	1,539,550
NYS Higher Education Services Corporation	84.378	C002520	—	89,749	—
NYS Office of Children and Family Services	84.378	C004052	—	20,338	—
NYS Office of Children and Family Services	84.378	C004525	—	496,330	—
NYS Higher Education Services Corporation	84.378	—	—	1,817	—
NYS Higher Education Services Corporation	84.378	T002519	—	8,017	616,251
ARRA - Albany City School District	84.388	5123132110	—	40,748	40,748
ARRA - NYS Office of Children and Family Services	84.390	C004011	—	745	—
ARRA - NYS Office of Children and Family Services	84.390	C026053	—	12,397	13,142
ARRA - NYS Education Department	84.395	5520130001 C401873	—	39,582	—
ARRA - NYS Education Department	84.395	5520130002 C401872	—	92,672	—
ARRA - NYS Education Department	84.395	C401688 5525120002	—	4,233	—
ARRA - NYS Education Department	84.395	C401688 5525130002	—	437,295	—
ARRA - NYS Education Department	84.395	C401691 5525130005	—	360,368	—
ARRA - NYS Education Department	84.395	C401691 5525120005	—	21,565	955,715
National Writing Project Corporation	84.411	04NY10I32013	—	47,006	47,006
National Writing Project Corporation	84.928	01NY09	—	23,924	—
National Writing Project Corporation	84.928	04NY10	—	10,394	—
National Writing Project Corporation	84.928	08NY14	—	4,224	38,542
Total U.S. Department of Education			14,755,471	15,913,109	30,668,580
U.S. Department of Health and Human Services:					
ARRA - Health Resources and Services Admin	93.000	—	138,398	—	—
Emilie Kennedy Shriver National Institute of Child Health & Human Dev	93.000	—	5,689	—	—
Mount Sinai Medical Center	93.000	R21DA034954	—	2,169	—
NYS Education Department	93.000	C113239	—	7,775	—
NYS Education Department	93.000	—	—	107,744	—
University of Pittsburgh	93.000	0020808407796HSLUB	—	9,999	271,774
Albany County Dept for the Aging & Handicapped	93.048	1067720010	—	(22,255)	—
Albany County Dept for the Aging & Handicapped	93.048	1067720011	—	(54)	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
Albany County Dept for the Aging & Handicapped	93.048	148	\$ —	38,047	—
Albany County Dept for the Aging & Handicapped	93.048	180	—	(10,138)	—
Albany County Dept for the Aging & Handicapped	93.048	182	—	4,958	—
Albany County Dept for the Aging & Handicapped	93.048	185	—	19,764	—
ARRA – Albany County Dept for the Aging & Handicapped	93.048	187	—	19,608	—
Albany County Dept for the Aging & Handicapped	93.048	277	—	(9,810)	—
Albany County Dept for the Aging & Handicapped	93.048	—	—	11,401	51,521
Oneida County Office for the Aging Continuing Care	93.051	—	—	24,839	24,839
Department of Health and Human Services	93.068	—	1,456	—	1,456
Public Health Emergency Preparedness	93.069	—	257,052	—	—
Health Research Inc.	93.069	15044401	—	(2,476)	254,576
NYS Office of Children and Family Services	93.090	—	—	35,369	35,369
NYS Department of Health	93.092	C027452	—	314,843	314,843
Area Health Education Centers Point of Service Maintenance and Enhancement Awards	93.107	—	884,728	—	884,728
Environmental Health	93.113	—	133,849	—	133,849
Preventive Medicine and Public Health Residency Training Program	93.117	—	360,736	—	360,736
Oral Diseases and Disorders Research	93.121	—	106,957	—	106,957
Nurse Anesthetist Traineeships	93.124	—	29,533	—	29,533
Health Research Inc.	93.135	15044501	—	10,261	10,261
University of Medicine & Dentistry of New Jersey	93.142	2165 HWWT-Buffalo	—	20,430	—
University of Medicine & Dentistry of New Jersey	93.142	2167 HDPT – Buffalo	—	7,508	—
University of Medicine & Dentistry of New Jersey	93.142	2210HWWTBuffalo	—	65,713	—
University of Medicine & Dentistry of New Jersey	93.142	2212HDPTBuffalo	—	26,922	120,573
Health Resources and Services Admin	93.145	—	172,991	—	—
Columbia University	93.145	1GG00640402	—	216,225	—
Columbia University	93.145	539397	—	9,501	398,717
Health Resources and Services Admin	93.153	—	729,959	—	729,959
Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals	93.156	—	762,229	—	762,229
National Inst on Deafness & Other Comm Disorders	93.173	—	38,994	—	38,994
Health Resources and Services Admin	93.186	—	43,708	—	43,708
Nat'I Center for Complementary & Alternative Medic	93.213	—	20,205	—	20,205
Health Research Inc.	93.236	410803	—	130,613	130,613
National Institute of Mental Health	93.242	—	16,382	—	—
Mount Sinai School of Medicine	93.242	R01MH090134	—	4,867	21,249
Substance Abuse & Mental Health Services Admin	93.243	—	740,828	—	740,828
Health Resources and Services Admin	93.247	—	465,299	—	—
Bureau of Health Professions	93.247	—	336,516	—	801,815
Public Health Training Centers Program	93.249	—	757,316	—	757,316
Health Resources and Services Admin	93.253	—	480,644	—	480,644
Centers for Disease Control and Prevention	93.262	—	4,712,170	—	4,712,170
Onondaga County	93.268	—	—	74,735	74,735
National Institute for Alcohol Abuse & Alcoholism	93.272	—	1,197	—	1,197
National Institute for Alcohol Abuse & Alcoholism	93.273	—	299,901	—	299,901
Substance Abuse & Mental Health Services Admin	93.276	—	198,048	—	198,048
National Institute on Drug Abuse	93.279	—	26,180	—	26,180
National Institute of Mental Health	93.281	—	89,050	—	89,050
National Institute of Mental Health	93.282	—	53,290	—	53,290
Health Research Inc.	93.283	15035305	—	79,762	—
Health Research Inc.	93.283	15334023	—	8,570	—
ARRA – Health Research Inc.	93.283	35003201	—	13,346	—
Health Research Inc.	93.283	411502	—	46,386	—
Health Research Inc.	93.283	411503	—	109,133	—
National Institute on Minority Health & Health Disparities	93.307	—	216,809	—	257,197
National Center for Research Resources	93.350	—	251,419	—	216,809
Advanced Education Nursing Traineeships	93.358	—	859,549	—	251,419
National Cancer Institute	93.398	—	687,410	—	859,549
ARRA – Health Resources and Services Admin	93.403	—	251,186	—	687,410
Health Resources and Services Admin	93.501	—	442,167	—	251,186
Health Research Inc.	93.507	15060203	—	20,661	442,167
Health Resources and Services Admin	93.514	—	567,600	—	20,661
Trustees of Columbia University in the City of New York	93.516	1GG006283	—	225,959	567,600
Health Resources and Services Admin	93.527	—	21,078	—	225,959
Institute for Family Health	93.530	—	—	26,501	21,078
SUNY at Stony Brook	93.558	C001704	—	85,679	26,501
SUNY at Stony Brook	93.558	C001705	—	130,631	—
SUNY at Stony Brook	93.558	C001706	—	221,123	—
SUNY at Stony Brook	93.558	C001707	—	83,411	—
SUNY at Stony Brook	93.558	C001708	—	81,225	—
SUNY at Stony Brook	93.558	C001766	—	70,216	—
SUNY at Stony Brook	93.558	C001769	—	76,392	—
SUNY at Stony Brook	93.558	C001770	—	71,569	—
NYS Office of Temporary & Disability Assistance	93.558	C001790	—	(3,127)	—
NYS Office of Temporary & Disability Assistance	93.558	C002083	—	2,256,789	—
NYS Office of Children and Family Services	93.558	C003075	—	(732)	—
NYS Office of Children and Family Services	93.558	C004089	—	298,065	—
NYS Office of Children and Family Services	93.558	C004090	—	348,390	—
NYS Office of Children and Family Services	93.558	C004091	—	233,902	—
NYS Office of Temporary & Disability Assistance	93.558	C004108	—	171,893	—
NYS Office of Children and Family Services	93.558	C004120	—	303,310	—
NYS Office of Children and Family Services	93.558	C004122	—	70,446	—
NYS Office of Children and Family Services	93.558	C004123	—	23,260	—
NYS Office of Children and Family Services	93.558	C004533	—	854,454	—
NYS Office of Children and Family Services	93.558	C004564	—	156,310	—
NYS Office of Children and Family Services	93.558	C004570	—	137,704	—
NYS Office of Children and Family Services	93.558	C004571	—	54,137	—
NYS Office of Children and Family Services	93.558	C004573	—	306,539	—
NYS Office of Children and Family Services	93.558	C004574	—	258,775	—
NYS Office of Children and Family Services	93.558	C004575	—	68,113	—
NYS Office of Children and Family Services	93.558	C004582	—	605,831	—
NYS Office of Children and Family Services	93.558	C004587	—	25,538	—
NYS Office of Children and Family Services	93.558	C004588	—	204,103	—
NYS Office of Children and Family Services	93.558	C004590	—	300,944	—
NYS Office of Children and Family Services	93.558	C004605	—	221,681	—
NYS Office of Temporary & Disability Assistance	93.558	C020718	—	1,639	—
NYS Office of Children and Family Services	93.558	C026480	—	10,335	—
NYS Office of Children and Family Services	93.558	C26760	—	9,817	—
NYS Office of Children and Family Services	93.558	—	—	4,673,158	—
NYS Office of Temporary & Disability Assistance	93.558	—	—	2,897,145	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
SUNY at Stony Brook	93.558		\$ —	75,532	15,384,197
NYS Office of Temporary & Disability Assistance	93.563	C004108	—	36,009	—
NYS Office of Temporary & Disability Assistance	93.568	C004108	—	12,151	—
NYS Office of Temporary & Disability Assistance	93.563	C004109	—	332,428	—
NYS Office of Temporary & Disability Assistance	93.563	C004115	—	397,328	—
NYS Office of Temporary & Disability Assistance	93.563	C004116	—	438,668	—
NYS Office of Temporary & Disability Assistance	93.563	C004553	—	124,011	—
NYS Office of Temporary & Disability Assistance	93.563	C004556	—	572,723	—
NYS Office of Children and Family Services	93.563	C004564	—	44,542	—
NYS Office of Children and Family Services	93.568	C004564	—	24,862	—
NYS Office of Temporary & Disability Assistance	93.563	C004565	—	346,289	—
NYS Office of Temporary & Disability Assistance	93.563	C004568	—	384,265	—
NYS Office of Children and Family Services	93.563	C004605	—	24,308	—
NYS Office of Children and Family Services	93.568	C004605	—	14,753	—
NYS Office of Temporary & Disability Assistance	93.563	C020746	—	6,171	—
NYS Office of Temporary & Disability Assistance	93.563	C020997	—	28,587	—
NYS Office of Temporary & Disability Assistance	93.563	C021004	—	29,229	—
NYS Office of Temporary & Disability Assistance	93.563	C021255	—	445,549	—
NYS Office of Children and Family Services	93.563	C026480	—	2,851	—
NYS Office of Children and Family Services	93.568	C026480	—	905	—
NYS Office of Children and Family Services	93.563	C26760	—	2,634	—
NYS Office of Children and Family Services	93.568	C26760	—	1,492	—
NYS Office of Children and Family Services	93.563	—	—	24,564	—
NYS Office of Children and Family Services	93.568	—	—	15,592	3,319,911
NYS Office of Children and Family Services	93.575	C002262	—	401,930	401,930
NYS Office of Children and Family Services	93.575	C002411	—	1,754,245	1,754,245
NYS Office of Temporary & Disability Assistance	93.576	C004108	—	1,408	—
NYS Office of Children and Family Services	93.576	C004564	—	1,652	—
NYS Office of Children and Family Services	93.576	C004605	—	5,979	9,039
NYS Office of Children and Family Services	93.590	C004094	—	40,577	40,577
SUNY at Stony Brook	93.596	C001704	—	6,711	—
SUNY at Stony Brook	93.596	C001705	—	9,870	—
SUNY at Stony Brook	93.596	C001706	—	17,289	—
SUNY at Stony Brook	93.596	C001707	—	6,533	—
SUNY at Stony Brook	93.596	C001708	—	6,354	—
SUNY at Stony Brook	93.596	C001766	—	4,113	—
SUNY at Stony Brook	93.596	C001769	—	4,468	—
SUNY at Stony Brook	93.596	C001770	—	4,197	—
NYS Office of Children and Family Services	93.596	C002282	—	(370)	—
NYS Office of Children and Family Services	93.596	C003075	—	(56)	—
NYS Office of Children and Family Services	93.596	C003086	—	(2,890)	—
NYS Office of Children and Family Services	93.596	C004090	—	24,800	—
NYS Office of Temporary & Disability Assistance	93.596	C004108	—	51,568	—
NYS Office of Children and Family Services	93.596	C004117	—	4,894,761	—
NYS Office of Children and Family Services	93.596	C004118	—	232,567	—
NYS Office of Children and Family Services	93.596	C004120	—	23,713	—
NYS Office of Children and Family Services	93.596	C004122	—	5,512	—
NYS Office of Children and Family Services	93.596	C004123	—	1,817	—
NYS Office of Children and Family Services	93.596	C004564	—	68,127	—
NYS Office of Children and Family Services	93.596	C004570	—	8,058	—
NYS Office of Children and Family Services	93.596	C004571	—	45,611	—
NYS Office of Children and Family Services	93.596	C004572	—	286,127	—
NYS Office of Children and Family Services	93.596	C004573	—	17,960	—
NYS Office of Children and Family Services	93.596	C004574	—	13,839	—
NYS Office of Children and Family Services	93.596	C004575	—	3,985	—
NYS Office of Children and Family Services	93.596	C004587	—	1,495	—
NYS Office of Children and Family Services	93.596	C004588	—	11,955	—
NYS Office of Children and Family Services	93.596	C004591	—	198,854	—
NYS Office of Children and Family Services	93.596	C004596	—	3,204,710	—
NYS Office of Children and Family Services	93.596	C004605	—	132,271	—
NYS Office of Children and Family Services	93.596	C026480	—	521	—
NYS Office of Children and Family Services	93.596	C26760	—	404	—
NYS Office of Children and Family Services	93.596	—	—	346,350	—
SUNY at Stony Brook	93.596	—	—	4,422	9,635,643
Administration for Children and Families	93.600	—	97,721	—	97,721
Catholic Family Center of Rochester	93.605	HHS2012ACFACYFCF0510	—	62,799	62,799
Affordable Care Act – Preparedness and Emergency Response Learning Centers	93.606	—	275,882	—	275,882
Administration for Children and Families	93.648	—	4,528,884	—	—
Eric County Department of Social Services	93.648	ED3058	—	37,603	—
Eric County Department of Social Services	93.648	ED3265	—	187,247	4,753,734
Albany County Department for Children Youth and Families	93.658	483	—	8,738	—
SUNY at Stony Brook	93.658	C001704	—	8,209	—
SUNY at Stony Brook	93.658	C001705	—	5,190	—
SUNY at Stony Brook	93.658	C001706	—	7,953	—
SUNY at Stony Brook	93.658	C001707	—	14,984	—
SUNY at Stony Brook	93.658	C001708	—	7,796	—
SUNY at Stony Brook	93.658	C001766	—	7,796	—
SUNY at Stony Brook	93.658	C001769	—	6,817	—
SUNY at Stony Brook	93.658	C001770	—	5,936	—
NYS Office of Children and Family Services	93.658	C003075	—	(95)	—
NYS Office of Children and Family Services	93.658	C004090	—	42,048	—
NYS Office of Temporary & Disability Assistance	93.658	C004108	—	42,232	—
NYS Office of Children and Family Services	93.658	C004120	—	38,598	—
NYS Office of Children and Family Services	93.658	C004122	—	5,707	—
NYS Office of Children and Family Services	93.658	C004123	—	1,858	—
NYS Office of Children and Family Services	93.658	C004564	—	50,100	—
NYS Office of Children and Family Services	93.658	C004570	—	9,722	—
NYS Office of Children and Family Services	93.658	C004571	—	10,173	—
NYS Office of Children and Family Services	93.658	C004573	—	51,811	—
NYS Office of Children and Family Services	93.658	C004574	—	28,997	—
NYS Office of Children and Family Services	93.658	C004575	—	5,332	—
NYS Office of Children and Family Services	93.658	C004587	—	1,797	—
NYS Office of Children and Family Services	93.658	C004588	—	25,949	—
NYS Office of Children and Family Services	93.658	C004590	—	24,953	—
NYS Office of Children and Family Services	93.658	C004605	—	93,433	—
NYS Office of Children and Family Services	93.658	C026480	—	3,023	—
NYS Office of Children and Family Services	93.658	C26760	—	2,605	—
Albany County Department for Children Youth and Families	93.658	—	—	14,193	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
NYS Office of Children and Family Services	93.658		\$ —	953,625	—
SUNY at Stony Brook	93.658		—	3,035	1,482,515
SUNY at Stony Brook	93.659	C001704	—	45,435	—
SUNY at Stony Brook	93.659	C001705	—	82,103	—
SUNY at Stony Brook	93.659	C001706	—	135,601	—
SUNY at Stony Brook	93.659	C001707	—	35,742	—
SUNY at Stony Brook	93.659	C001708	—	46,043	—
SUNY at Stony Brook	93.659	C001766	—	31,440	—
SUNY at Stony Brook	93.659	C001769	—	36,703	—
SUNY at Stony Brook	93.659	C001770	—	35,065	—
NYS Office of Children and Family Services	93.659	C003075	—	(357)	—
NYS Office of Children and Family Services	93.659	C004090	—	162,471	—
NYS Office of Children and Family Services	93.659	C004120	—	153,078	—
NYS Office of Children and Family Services	93.659	C004122	—	40,052	—
NYS Office of Children and Family Services	93.659	C004123	—	13,295	—
NYS Office of Children and Family Services	93.659	C004570	—	70,010	—
NYS Office of Children and Family Services	93.659	C004573	—	110,600	—
NYS Office of Children and Family Services	93.659	C004574	—	101,544	—
NYS Office of Children and Family Services	93.659	C004575	—	33,853	—
NYS Office of Children and Family Services	93.659	C004587	—	12,993	—
NYS Office of Children and Family Services	93.659	C004588	—	86,451	—
NYS Office of Children and Family Services	93.659	C004590	—	147,456	—
NYS Office of Children and Family Services	93.659		—	3,551,847	—
SUNY at Stony Brook	93.659		—	41,837	4,973,262
SUNY at Stony Brook	93.667	C001704	—	64,998	—
SUNY at Stony Brook	93.667	C001705	—	112,478	—
SUNY at Stony Brook	93.667	C001706	—	194,325	—
SUNY at Stony Brook	93.667	C001707	—	49,245	—
SUNY at Stony Brook	93.667	C001708	—	61,594	—
SUNY at Stony Brook	93.667	C001766	—	45,223	—
SUNY at Stony Brook	93.667	C001769	—	68,188	—
SUNY at Stony Brook	93.667	C001770	—	50,449	—
NYS Office of Children and Family Services	93.667	C003075	—	(556)	—
NYS Office of Children and Family Services	93.667	C003079	—	(154)	—
NYS Office of Children and Family Services	93.667	C004090	—	217,158	—
NYS Office of Temporary & Disability Assistance	93.667	C004108	—	74	—
NYS Office of Children and Family Services	93.667	C004119	—	497,425	—
NYS Office of Children and Family Services	93.667	C004120	—	210,938	—
NYS Office of Children and Family Services	93.667	C004121	—	305,857	—
NYS Office of Children and Family Services	93.667	C004122	—	55,506	—
NYS Office of Children and Family Services	93.667	C004123	—	18,389	—
NYS Office of Children and Family Services	93.667	C004570	—	100,742	—
NYS Office of Children and Family Services	93.667	C004573	—	159,116	—
NYS Office of Children and Family Services	93.667	C004574	—	146,028	—
NYS Office of Children and Family Services	93.667	C004575	—	73,205	—
NYS Office of Children and Family Services	93.667	C004587	—	18,693	—
NYS Office of Children and Family Services	93.667	C004588	—	124,400	—
NYS Office of Children and Family Services	93.667	C004590	—	212,169	—
NYS Office of Temporary & Disability Assistance	93.667	C021087	—	16,750	—
NYS Office of Temporary & Disability Assistance	93.667	C021093	—	2,603	—
NYS Office of Temporary & Disability Assistance	93.667	C021262	—	89,444	—
NYS Office of Temporary & Disability Assistance	93.667	C021479	—	213,609	—
NYS Office of Temporary & Disability Assistance	93.667	C021485	—	50,166	—
Eric County Department of Social Services	93.667	ED1907	—	(98)	—
Eric County Department of Social Services	93.667	ED3054	—	48,646	—
Eric County Department of Social Services	93.667	ED3055	—	165,293	—
Eric County Department of Social Services	93.667	ED3266	—	232,795	—
Eric County Department of Social Services	93.667	ED3267	—	410,973	—
Herkimer County Department of Social Services	93.667		—	210,303	—
NYS Office of Children and Family Services	93.667		—	3,962,585	—
Ontario County Department of Social Services	93.667		—	81,934	—
SUNY at Stony Brook	93.667		—	60,211	8,330,704
ARRA – National Institute for Alcohol Abuse & Alcoholism	93.701		98,645	—	98,645
ARRA – National Center for Research Resources	93.702		4,472,742	—	4,472,742
ARRA – NYS Office for the Aging	93.725	C100002	—	2,710	2,710
Health Resources and Services Admin	93.732		4,768	—	4,768
NYS Office for the Aging	93.734	OFA01C1200481010000	—	55,567	55,567
NYS Office of Temporary & Disability Assistance	93.778	C004108	—	177,820	—
NYS Office of Children and Family Services	93.778	C004564	—	89,910	—
NYS Office of Children and Family Services	93.778	C004571	—	2,668	—
NYS Office of Children and Family Services	93.778	C004605	—	27,326	—
NYS Office of Children and Family Services	93.778	C026480	—	16,531	—
NYS Office of Children and Family Services	93.778	C26760	—	5,772	—
NYS Office of Children and Family Services	93.778		—	155,274	—
NYS Department of Health	93.778		—	13,026	488,327
NYS Department of Social Services	93.779	01687970	—	2,741	—
NYS Office For People with Dev Disabilities	93.779		—	370,178	—
Multiple Sponsors	93.779		—	23,677	—
NYS Department of Social Services	93.779		—	378,967	775,563
Health Careers Opportunity Program	93.822		940,736	—	940,736
Cardiovascular Diseases Research	93.837		563,011	—	563,011
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847		338,399	—	—
American Gastroenterological Association	93.847	003	—	6,510	344,909
Kidney Diseases, Urology and Hematology Research	93.849		4,483	—	4,483
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		266,224	—	266,224
Allergy, Immunology and Transplantation Research	93.855		414,101	—	414,101
Biomedical Research and Research Training	93.859		2,804,076	—	2,804,076
Aging Research	93.866		23,419	—	23,419
Vision Research	93.867		104,604	—	104,604
Grants for Primary Care Training and Enhancement	93.884		798,898	—	798,898
Health Care and Other Facilities	93.887		78,574	—	78,574
Health Research Inc.	93.889	2856	—	80,393	—
Health Research Inc.	93.889	285606	—	1,876	—
Health Research Inc.	93.889	285707	—	2,539	—
Health Research Inc.	93.889	285708	—	34,778	—
Health Research Inc.	93.889	334805	—	4,224	—
Health Research Inc.	93.889	334806	—	10,918	—
Health Research Inc.	93.889	434901	—	8,246	—

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

Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

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
Health Research Inc.	93.889	434902	\$ —	29,736	—
Public Health Solutions	93.889	12BDMC001 76601	—	2,097	—
Public Health Solutions	93.889	12LICH001 76601	—	2,775	177,582
United Way of Long Island	93.914	11331	—	(461)	—
United Way of Long Island	93.914	11724	—	84	—
United Way of Long Island	93.914	11725	—	(72)	—
United Way of Long Island	93.914	12331	—	20,008	—
United Way of Long Island	93.914	12724	—	94,828	—
United Way of Long Island	93.914	12725	—	95,394	—
United Way of Long Island	93.914	13724	—	41,569	—
United Way of Long Island	93.914	13725	—	54,220	—
United Way of Long Island	93.914	129800	—	5,500	—
United Way of Long Island	93.914	139800	—	3,750	—
Public Health Solutions	93.914	06SCF364	—	285,870	—
Public Health Solutions	93.914	10MCM364	—	734,643	—
Public Health Solutions	93.914	11ESP364	—	156,340	—
Public Health Solutions	93.914	11ESR364	—	83,088	—
United Way of Long Island	93.914	11MA16	—	(5)	—
United Way of Long Island	93.914	12041-9418	—	174,715	—
United Way of Long Island	93.914	12MA16	—	1,616	1,751,087
Health Research Inc.	93.917	357305	—	154,750	—
Health Research Inc.	93.917	357306	—	26,578	—
Health Research Inc.	93.917	393303	—	174,477	—
Health Research Inc.	93.917	393304	—	2,990	—
Health Research Inc.	93.917	437402	—	78,448	—
Health Research Inc.	93.917	—	—	23,991	461,234
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	93.918	—	1,149,196	—	1,149,196
Special Projects of National Significance	93.928	—	622,440	—	622,440
Hetrick-Martin Institute	93.939	1U65PS00260501	—	91,987	91,987
Health Research Inc.	93.940	128310	—	(929)	—
Health Research Inc.	93.940	128311	—	(1,047)	(1,976)
Health Research Inc.	93.941	15061902	—	198,517	—
Health Research Inc.	93.941	15061903	—	27,913	226,430
Health Research Inc.	93.945	15067801	—	127,069	127,069
Council on Addiction Prevention and Education	93.959	—	—	3,750	3,750
Prevention and Public Health Fund (PPHF) Public Health Traineeships	93.964	—	6,450	—	6,450
University of Rochester	93.969	415564G	—	521	—
University of Rochester	93.969	415929G	—	33,378	—
Clinton County Office for the Aging	93.969	—	—	384	—
Preventive Health Services – STD Res, Demon, and Public Info and Education Grants	93.978	—	158,836	—	158,836
Fogarty International Center	93.989	—	854,183	—	—
Health Research Inc.	93.989	15029201	—	53,787	907,970
NYS Department of Health	93.991	C024260	—	95,807	95,807
NYS Department of Health	93.994	C025872	—	189,203	—
NYS Department of Health	93.994	C026024	—	(52)	—
NYS Department of Health	93.994	C026816	—	646,907	—
NYS Department of Health	93.994	C026997	—	247,232	—
NYS Department of Health	93.994	C027551	—	51,099	1,134,389
Total U.S. Department of Health and Human Services	—	—	33,766,795	52,752,654	86,519,449
Corporation for National and Community Service:	—	—	—	—	—
Retired and Senior Volunteer Program	94.002	—	141,696	—	141,696
Research Foundation of City University of New York	94.005	49222B	—	64	—
Research Foundation of City University of New York	94.005	49222-D	—	3,064	—
Research Foundation of City University of New York	94.005	49222F	—	213	—
Research Foundation of City University of New York	94.005	49222G	—	5,720	—
American Association of State Colleges and Univers	94.005	—	—	5,653	14,714
NYS Office of Children and Family Services	94.006	C026419	—	161,923	—
NYS Office of Children and Family Services	94.006	C026679	—	123,434	—
NYS Office of Children and Family Services	94.006	T011670	—	7,620	292,977
Cornell University	94.007	6826010007	—	759	—
Cornell University	94.007	6826010008	—	1,500	2,259
Total Corporation for National and Community Service	—	—	141,696	309,950	451,646
Social Security Administration:	—	—	—	—	—
NYS Office of Temporary & Disability Assistance	96.001	C004108	—	111,212	—
NYS Office of Temporary & Disability Assistance	96.001	C004112	—	46,593	—
NYS Office of Children and Family Services	96.001	C004564	—	135,203	—
NYS Office of Temporary & Disability Assistance	96.001	C004567	—	41,901	—
NYS Office of Children and Family Services	96.001	C004605	—	1,006	335,915
Total Social Security Administration	—	—	—	335,915	335,915
U.S. Department of Homeland Security:	—	—	—	—	—
City of Buffalo	97.000	PO 13404243-00	—	43	43
U.S. Sailing Association	97.012	—	—	8,854	8,854
NYS Emergency Management Office	97.042	T000534	—	19,593	—
NYS Emergency Management Office	97.042	T000679	—	2,000	21,593
Applied Research in Environmental Sciences Nonprofit Incorporated	97.061	—	—	416	416
Degrees at a Distance Program	97.103	—	4,030	—	4,030
Homeland Security-related STEM Career Development Program	97.104	—	92,873	—	92,873
Total U.S. Department of Homeland Security	—	—	96,903	30,906	127,809
Agency for International Development:	—	—	—	—	—
U.S. AID Foreign Assistance for Programs Overseas	98.001	—	4,893,951	—	—
Asia Foundation	98.001	31350203000	—	24,231	—
Asia Foundation	98.001	31508400001	—	1,593,662	—
Deloitte Consulting Limited Liability Partnership	98.001	33710001SA13	—	71,324	—
American Council on Education	98.001	—	—	16,766	6,599,934
Total Agency for International Development	—	—	4,893,951	1,705,983	6,599,934
Total Other Programs	—	—	67,336,070	85,813,587	153,149,657
Total expenditures of federal awards	—	—	\$ 379,831,809	148,641,972	528,473,781

See accompanying notes to schedule of federal awards.

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

**(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 for the 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 FOR  
THE STATE UNIVERSITY OF NEW YORK**

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

Indirect cost charges to federal awards for the year ended June 30, 2013 were as follows:

Research and development	\$	90,266,132
Other programs		<u>27,688,275</u>
Total		<u><u>\$ 117,954,407</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). These clusters of programs are Federal programs with different CFDA numbers that are defined as clusters 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 expenditures</b></u>
SNAP Cluster:		
Supplemental Nutrition Assistance Program (10.551)	\$	7,827,239
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (10.561)		<u>450,096</u>
Total SNAP Cluster	\$	<u><u>8,277,335</u></u>
Economic Development Cluster:		
Investments for Public Works and Economic Development Facilities (11.300)	\$	822,771
Economic Adjustment Assistance (11.307)		<u>2,241</u>
Total Economic Development Cluster	\$	<u><u>825,012</u></u>
Workforce Investment Act (WIA) Cluster:		
WIA Youth Activities (17.259)	\$	<u>14,610</u>
Total WIA Cluster	\$	<u><u>14,610</u></u>
Federal Transit Cluster:		
Federal Transit – Capital Investment Grants (20.500)	\$	<u>529,952</u>
Total Federal Transit Cluster	\$	<u><u>529,952</u></u>
Highway Safety Cluster:		
State and Community Highway Safety (20.600)	\$	1,510,421
Occupant Protection Incentive Grants (20.602)		14,064
Safety Belt Performance Grants (20.609)		<u>4,488</u>
Total Highway Safety Cluster	\$	<u><u>1,528,973</u></u>



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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

	<u><b>Program expenditures</b></u>
Special Education Cluster:	
Special Education – Grants to States (84.027)	\$ 743,078
Special Education – Preschool Grants (84.173)	<u>89,858</u>
Total Special Education Cluster	<u><u>\$ 832,936</u></u>
Title I, Part A Cluster:	
Title I Grants to Local Educational Agencies (84.010)	\$ 16,269
Total Title I, Part A Cluster	<u><u>\$ 16,269</u></u>
TRIO Cluster:	
TRIO – Student Support Services (84.042)	\$ 3,019,757
TRIO – Talent Search (84.044)	580,171
TRIO – Upward Bound (84.047)	2,779,771
TRIO – McNair Post-Baccalaureate Achievement (84.217)	<u>1,198,080</u>
Total TRIO Cluster	<u><u>\$ 7,577,779</u></u>
School Improvement Grants Cluster:	
School Improvement Grants (84.388)	\$ 40,748
Total School Improvement Grants Cluster	<u><u>\$ 40,748</u></u>
Teacher Quality Partnerships Grants Cluster:	
Teacher Quality Partnership Grants (84.336)	\$ 18,511
Total Teacher Quality Partnerships Grants Cluster	<u><u>\$ 18,511</u></u>
Health Centers Cluster:	
Affordable Care Act (ACA) Grants for New and Expanded Services under the Health Center Program (93.527)	\$ 21,078
Total Health Centers Cluster	<u><u>\$ 21,078</u></u>
Temporary Assistance for Needy Families (TANF) Cluster:	
Temporary Assistance for Needy Families (93.558)	\$ 15,384,197
Total Temporary Assistance for Needy Family Cluster	<u><u>\$ 15,384,197</u></u>
Child Care Cluster:	
Child Care and Development Block Grant (93.575)	\$ 1,754,245
Child Care Mandatory and Matching Funds of the Child Care and Development Fund (93.596)	<u>9,635,643</u>
Total Child Care Cluster	<u><u>\$ 11,389,888</u></u>

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

	<b>Program expenditures</b>
Medicaid Cluster:	
Medical Assistance Program (93.778)	\$ 488,327
Total Medicaid Cluster	\$ 488,327
Disability Insurance/SSI Cluster:	
Social Security – Disability Insurance (96.001)	\$ 335,915
Total Disability Insurance/SSI Cluster	\$ 335,915

**(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, 2013:

<b>Program title</b>	<b>Federal CFDA number</b>	<b>Research and development</b>	<b>Other programs</b>
U.S. Agency for International Development	2.000	\$ 40,000	
U.S. Department of Agriculture	10.000	27,535	
Plant and Animal Disease, Pest Control, and Animal Care	10.025	27,738	
Higher Education Challenge Grants	10.217		24,400
Agriculture and Food Research Initiative (AFRI)	10.310	79,409	
Supplemental Nutrition Assistance Program	10.551		65,170
Forestry Research	10.652	42,559	
Urban and Community Forestry Program	10.675	16,980	
Forest Health Protection	10.680	2,853	
Environmental Quality Incentives Program	10.912	23,705	
Sea Grant Support	11.417	1,259,199	
Center for Sponsored Coastal Ocean Research-Coastal Ocean Program	11.478	5,725	
Measurement and Engineering Research and Standards	11.609	1,249,403	
Department of Defense	12.000	75,258	
Basic and Applied Scientific Research	12.300	265,592	
Military Medical Research and Development	12.420	228,617	
Basic Scientific Research	12.431	488,111	
Basic, Applied, and Advanced Research in Science and Engineering	12.630	1,623,097	
Air Force Defense Research Sciences Program	12.800	562,129	
Research and Technology Development	12.910	746,308	

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

<u>Program title</u>	<u>Federal CFDA number</u>	<u>Research and development</u>	<u>Other programs</u>
Central Intelligence Agency	13.000	\$ 49,250	
U.S. Department of the Interior	15.000	10,498	
Cooperative Endangered Species	15.615	10,152	
State Wildlife Grants	15.634	19,333	
Juvenile Mentoring Program	16.726	58,207	
H-1B Job Training Grants	17.268		39,358
General U.S. Department of State Assistance	19.700	30,765	
U.S. Department of Transportation	20.000	42,388	
Highway Research and Development Program	20.200	13,190	
Highway Planning and Construction	20.205	446,111	
National Aeronautics and Space Administration	43.000	59,947	
Science	43.001	337,843	
Aeronautics	43.002	23,245	
Exploration	43.003	(10,251)	
Promotion of the Humanities-Division of Preservation and Access	45.149		5,234
Promotion of the Humanities-Office of Digital Humanities	45.169	4,059	
Engineering Grants	47.041	305,038	
Mathematical and Physical Sciences	47.049	160,632	
Geosciences	47.050	87,502	41,215
Computer and Information Science and Engineering	47.070	369,173	
Biological Sciences	47.074	12,332	
Social, Behavioral, and Economic Sciences	47.075	45,192	
Education and Human Resources	47.076	154,419	117,419
Polar Programs	47.078	35,138	
International Science and Engineering (OISE)	47.079	12,121	
Office of Cyberinfrastructure	47.080	384,966	
Trans-NSF Recovery Act Research Support	47.082	134,766	1,355,761
Small Business Administration	59.000	10,000	
Small Business Development Centers	59.037		4,920,818
Great Lakes Program	66.469	213,895	
State Energy Program	81.041	3,806	
Office of Science Financial Assistance Program	81.049	2,016,475	
University Coal Research	81.057	16,300	

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

<u>Program title</u>	<u>Federal CFDA number</u>	<u>Research and development</u>	<u>Other programs</u>
Renewable Energy Research and Development	81.087	\$ 214,613	
U.S. Department of Education	84.000		17,000
Migrant Education_State Grant Program	84.011		36,094
National Institute on Disability and Rehabilitation Research	84.133	693,655	
Education Research, Development and Dissemination	84.305	196,873	
Research in Special Education	84.324	157,266	
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325	46,342	
Improving Teacher Quality State Grants	84.367		189,814
U.S. Department of Education	84.395		18,750
U.S. Department of Health and Human Services	93.000	1,066,454	28,475
Area Health Education Centers Point of Service Maintenance and Enhancement Awards	93.107		666,944
Environmental Health	93.113	591,952	
Oral Diseases and Disorders Research	93.121	2,570,612	
Coordinated Services and Access to Research for Women, Infants, Children, and Youth	93.153	212,523	
Research Related to Deafness and Communication Disorders	93.173	63,471	
Research on Healthcare Costs, Quality and Outcomes	93.226	121,063	
Grants to States to Support Oral Health Workforce Activities	93.236		79,030
Mental Health Research Grants	93.242	1,015,825	
Occupational Safety and Health Program	93.262	81,238	
Alcohol Research Programs	93.273	6,440,711	
Drug Abuse and Addiction Research Programs	93.279	329,224	
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.286	672,868	
Minority Health and Health Disparities Research	93.307	529,064	15,306

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

<u>Program title</u>	<u>Federal CFDA number</u>	<u>Research and development</u>	<u>Other programs</u>
Trans-NIH Research Support	93.310	\$ 87,279	
Cancer Cause and Prevention Research	93.393	175,698	
Cancer Treatment Research	93.395	366,836	
Cancer Biology Research	93.396	187,583	
Cancer Research Manpower	93.398		3,633
Temporary Assistance for Needy Families	93.558		792,411
Child Support Enforcement	93.563		243,834
Child Care and Development Block Grant	93.575		2,016,016
Affordable Care Act – Preparedness and Emergency Response Learning Centers	93.606		157,682
Child Welfare Research Training or Demonstration	93.648		3,784,001
Adoption Assistance	93.659		150,127
Social Services Block Grant	93.667		14,501
Trans-NIH Recovery Act Research Support	93.701	964,329	
Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs	93.734		12,400
Health Careers Opportunity Program	93.822		269,516
Cardiovascular Diseases Research	93.837	936,451	36,216
Lung Diseases Research	93.838	114,609	
Blood Diseases and Resources Research	93.839	431,066	
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	96,543	
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	1,412,129	
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	16,779	
Allergy, Immunology and Transplantation Research	93.855	755,705	
Biomedical Research and Research Training	93.859	830,199	90,836
Child Health and Human Development Extramural Research	93.865	325,882	
Aging Research	93.866	176,320	
Vision Research	93.867	324,880	
HIV Emergency Relief Project Grants	93.914		161,168
Special Projects of National Significance	93.928		141,704
Family Planning-Service Delivery Improvement Research Grants	93.974	56,416	

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2013

<u>Program title</u>	<u>Federal CFDA number</u>	<u>Research and development</u>	<u>Other programs</u>
International Research and Research Training	93.989	\$ 81,432	20,868
Preventive Health and Health Services Block Grant	93.991		12,000
Maternal and Child Health Services Block Grant to the States	93.994		394,715
USAID Foreign Assistance for Programs Overseas	98.001	<u>56,933</u>	<u>41,732</u>
Total amount provided to subrecipients		<u>\$ 34,221,536</u>	<u>15,694,148</u>



KPMG LLP  
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**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 for the State University of New York:

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the financial statements of The Research Foundation for the State University of New York (the RF), which comprise the statement of financial position as of June 30, 2013, the related statements of activities and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated November 5, 2013.

**Internal Control over Financial Reporting**

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

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

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

**Compliance and Other Matters**

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



**Purpose of this Report**

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

KPMG LLP

November 5, 2013





KPMG LLP  
515 Broadway  
Albany, NY 12207-2974

**Independent Auditors' Report on Compliance for Each Major Program and Report on Internal Control over Compliance Required by OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations***

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

**Report on Compliance for Each Major Federal Program**

We have audited The Research Foundation for the State University of New York's (the RF) compliance with the types of compliance requirements described in the *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, 2013. The RF's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

***Management's Responsibility***

Management is responsible for compliance with the requirements of laws, regulations, contracts, and grants applicable to its federal programs.

***Auditors' Responsibility***

Our responsibility is to express an opinion on compliance for each of the RF's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and 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 considered necessary in the circumstances.

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

***Opinion on Each Major Federal Program***

In our opinion, the RF complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2013.

***Other Matters***

The results of our auditing procedures disclosed instances of noncompliance, 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 2013-01 and 2013-02. Our opinion on each major federal program is not modified with respect to these matters.

The RF's responses to the noncompliance findings identified in our audit are described in the accompanying schedule of findings and questioned costs. The RF's responses were not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the responses.

### **Report on Internal Control over Compliance**

Management of the RF is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the RF's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with 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. A significant deficiency in internal control over compliance is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that were not identified. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of OMB Circular A-133. Accordingly, this report is not suitable for any other purpose.

**KPMG LLP**

January 7, 2014

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

Schedule of Findings and Questioned Costs

Year ended June 30, 2013

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

***Financial Statements***

- a) An unmodified opinion based on our audit was issued on the financial statements of The Research Foundation for the State University of New York (the RF) as of and for the year ended June 30, 2013.
- 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, 2013.
- 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, 2013.

***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, 2013.
- e) An unmodified opinion was issued on the RF's compliance with each of its major federal programs for the year ended June 30, 2013.
- f) There are findings required to be reported under Section 510(a) of OMB Circular A-133 for the year ended June 30, 2013.
- g) The major federal programs of the RF for the year ended June 30, 2013 are as follows:

<b>Name of federal program</b>	<b>CFDA number</b>
Research and Development Cluster	Various
Supplemental Nutrition Assistance Program Cluster	10.551, 10.561
Small Business Development Centers	59.037
Office of Science Financial Assistance Program	81.049
Department of Education – Race to the Top Fund	84.395
Child Support Enforcement Program	93.563
Social Services Block Grant	93.667
National Center for Research Resources – Recovery Act Construction Support	93.702
USAID Foreign Assistance for Programs Overseas	98.001

- 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, 2013.

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

Schedule of Findings and Questioned Costs

Year ended June 30, 2013

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

None

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

Refer to pages 67 through 70.

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

Schedule of Findings and Questioned Costs

Year ended June 30, 2013

**Research Foundation for the State University of New York**

**Programs:** Research and Development Cluster (93.121)

**Federal Award Numbers:** 58291; 61730

**Award years:** July 1, 2012 – June 30, 2013 (58291)  
April 1, 2012 – March 31, 2013 (61730)

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

**Responsible Campus:** Stony Brook University

**Finding Reference:** 2013-01

**Requirement**

The Federal Funding Accountability and Transparency Act (FFATA– P.L. 109-282, as amended by Section 6202 (a) of P.L. 110-252) requires the Office of Management and Budget (OMB) to maintain a single, searchable website that contains information on all Federal spending awards. FFATA prescribes specific pieces of information to be reported by grantees. Recipients of discretionary and mandatory awards under grants and cooperative agreements equal to or exceeding \$25,000 and that have a new Federal Assistance Identification Number (FAIN) obtained on or after October 1, 2010, are required to report sub-award data through the Federal Funding Accountability and Transparency Sub-award Reporting System (FSRS). Grant and cooperative agreement recipients and contractors must report information related to a sub-award by the end of the month following the month in which the sub-award or obligation of \$25,000 or greater was made and, for contracts, the month in which a modification was issued that changed previously reported information.

**Finding and Recommendation**

The Research Foundation for the State University of New York (the RF) has established policies and procedures to ensure that FFATA reporting requirements are properly identified and information related to a sub-award is reported by the end of the month following the month in which the sub-award or obligation of \$25,000 or greater was made.

During the audit, we tested nine awards related to programs applicable to several campuses. It was noted that for the two awards subject to FFATA and selected for testing at Stony Brook University, the RF reported the required information but did not complete the reporting on a timely basis.

We recommend that RF management implement a monitoring control over all awards subject to FFATA reporting requirements. This control would help to monitor that campus management has submitted the appropriate reporting to FSRS for all awards subject to the FFATA requirements on a timely basis.

**Questioned Costs**

None

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

Schedule of Findings and Questioned Costs

Year ended June 30, 2013

**Views of Responsible Officials and Corrective Actions**

RF Management will emphasize to campuses the requirement of timeliness of submission of FFATA reports. Additional monitoring will be incorporated into the process to provide stronger internal controls.

**Contact**

Garrett Sanders, Executive Vice President

**Implementation Date**

November 2013

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

Schedule of Findings and Questioned Costs

Year ended June 30, 2013

**Programs:** Social Services Block Grant (93.667)  
Supplemental Nutrition Assistance Program (10.551, 10.561)

**Federal Award Numbers:** 59939; 59951; 63506; 63509; 59993; 59995; 63537

**Award Years:** January 1, 2012 – December 31, 2012 (93.667)  
January 1, 2012 – December 31, 2012 (10.551, 10.561)

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

**Responsible Campus:** Buffalo State College

**Finding Reference:** 2013 – 02

**Requirement**

In accordance with Section C.7 of OMB Circular A-21, *Cost Principles for Educational Institutions* (Circular A-21), direct costs must comply with the allowability of costs provisions of A-21, or limitations in the program agreement, program regulations, or program statute. Section C.4 of Circular A-21 allows for allocation of direct costs if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received or other equitable relationship. Subject to the foregoing, a cost is allocable to a sponsored agreement if (1) it is incurred solely to advance the work under the sponsored agreement; (2) it benefits both the sponsored agreement and other work of the institution, in proportions that can be approximated through use of reasonable methods, or (3) it is necessary to the overall operation of the institution and, in light of the principles provided in this Circular, is deemed to be assignable in part to sponsored projects.

Further, if a cost benefits two or more projects or activities in proportions that can be determined without undue effort or cost, the cost should be allocated to the projects based on the proportional benefit. If a cost benefits two or more projects or activities in proportions that cannot be determined because of the interrelationship of the work involved, then, notwithstanding subsection b, the costs may be allocated or transferred to benefited projects on any reasonable basis, consistent with subsections d. (1) and (2) of Circular A-21.

Federal requirements for documentation are specified in Circular A-21; Circular A 110, *Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non Profit Organizations*; and specific agency policies on cost transfers. If the institution authorizes the principal investigator or other individual to have primary responsibility, given the requirements of subsection d. (2) of Circular A-21, for the management of sponsored agreement funds, then the institution's documentation requirements for the actions of those individuals (e.g., signature or initials of the principal investigator or designee or use of a password) will normally be considered sufficient.

Circular A-21 also provides for facilities and administration (F&A) costs, which are those that are incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. Generally, these costs are applied to sponsored programs through the application of a pre-approved rate applied to direct program costs.

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

Schedule of Findings and Questioned Costs

Year ended June 30, 2013

**Finding and Recommendation**

The RF has established policies and procedures to ensure that costs charged to sponsored awards are in accordance with Circular A-21 and allowable under the sponsored agreement. However, when testing the allowability of costs at Buffalo State College, we identified certain direct costs that are allocated to specific programs within its Center for the Development of Human Services (the CDHS) based on budgeted amounts for each fiscal year. These costs include communications, janitorial services, and other than personnel related costs that are similar to costs generally accounted for as F&A costs. Additionally, costs related to certain CDHS administrative personnel are allocated to multiple programs based on expected efforts related to each program. The allocated costs are approved by the sponsor as part of the individual work plans and any modifications to the work plans are submitted to the sponsor and approved.

The RF at Buffalo State College does not maintain specific procedures related to the treatment of and methodology for allocation of these direct costs among the multiple programs of the CDHS. Each cost is supported by valid documentation, primarily invoices for other than personnel services and detailed calculations supporting the costs allocated to the programs. Additionally, management provided calculations of the underlying F&A rates, which did not include the cost components that were being allocated as direct costs to the various programs, and documentation supporting the approval and application of the F&A costs applied to each award. There were no costs that were included in both the direct costs applied to the various programs and the F&A cost pools. Additionally, the F&A costs applied to the specific programs were less than the amounts that could have been charged using the rates pre-approved by the U.S. Department of Health and Human Services, resulting in additional cost-sharing by the RF. However, the requirements of Circular A-21 noted above include specific requirements related to direct costs that are allocated to multiple projects, including the requirements related to the determination of proportional benefits to the projects.

We recommend that management of the RF at Buffalo State College document its policies related to the treatment of and methodology for allocation of direct costs among the multiple programs and sponsors of the CDHS. This documentation should include the nature and treatment of the various cost pools, including those costs considered to be specific to the CDHS programs that are allocated and how they meet the Circular A-21 criteria of the first paragraph in the Requirement section.

**Questioned Costs**

Not determinable

**Views of Responsible Officials and Corrective Actions**

We agree and have engaged an independent certified public accounting firm to review this situation including the allocation methodology for other than personnel services charges and personnel charges (effort reporting). When the report is concluded we will take appropriate action.

**Contact**

Garrett Sanders, Executive Vice President

**Implementation Date**

In process