



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

OMB Circular A-133 Audit Report

Year ended June 30, 2014

(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, 2014

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KPMG LLP
515 Broadway
Albany, NY 12207-2974

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, 2014 and 2013, 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 audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free 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 auditors consider 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, 2014 and 2013, 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 Matter

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 expenditures 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 September 30, 2014 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

September 30, 2014, except as
to the Schedule of Expenditures of Federal Awards,
which is as of December 4, 2014

**THE RESEARCH FOUNDATION FOR
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Balance Sheets

June 30, 2014 and 2013

Assets	2014	2013
Current assets:		
Cash and cash equivalents	\$ 219,200	892,331
Accounts receivable, net	236,460,187	217,354,949
Advances to others	9,786,123	13,451,528
Investments	204,291,066	185,014,017
Due from broker for securities sold	4,769,930	333,358
Other assets	7,778,487	3,343,596
Total current assets	<u>463,304,993</u>	<u>420,389,779</u>
Noncurrent assets:		
Fixed assets, net	141,067,205	71,882,292
Intangible assets, net	65,605,630	75,639,031
Other assets	41,552,324	25,579,225
Total noncurrent assets	<u>248,225,159</u>	<u>173,100,548</u>
Total assets	<u>\$ 711,530,152</u>	<u>593,490,327</u>
Liabilities and Net Deficit		
Current liabilities:		
Accounts payable and accrued expenses	\$ 86,826,254	85,025,036
Accrued compensation	10,290,934	13,377,599
Accrued leave	30,407,655	29,634,790
Deferred revenue	150,274,576	137,603,158
Deposits held for others	27,361,223	4,465,447
Current portion of capital lease obligations	7,037,035	6,738,508
Current portion of long-term debt	1,165,631	1,150,878
Line of credit	6,300,000	25,096,988
Total current liabilities	<u>319,663,308</u>	<u>303,092,404</u>
Noncurrent liabilities:		
Deposits held for others	—	1,135,745
Postretirement benefit obligation	278,648,537	280,604,038
Deferred revenue	152,450,318	53,034,270
Capital lease obligations, net of current portion	3,632,983	10,670,018
Long-term debt, net of current portion	7,230,870	8,542,662
Other liabilities	6,302,916	5,260,743
Total noncurrent liabilities	<u>448,265,624</u>	<u>359,247,476</u>
Total liabilities	<u>767,928,932</u>	<u>662,339,880</u>
Unrestricted net assets (deficit):		
Available for operations	62,597,474	55,672,428
Reserve for future post-retirement benefit costs	(118,996,254)	(124,521,981)
Total net deficit	<u>(56,398,780)</u>	<u>(68,849,553)</u>
Total liabilities and net deficit	<u>\$ 711,530,152</u>	<u>593,490,327</u>

See accompanying notes to financial statements.

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

Statements of Activities

Years ended June 30, 2014 and 2013

	2014	2013
Revenue:		
Grants awarded for research and other sponsored activities:		
Federal	\$ 354,576,615	382,783,708
Federal flow through	145,111,559	149,797,157
New York State	188,370,223	193,004,524
Private and other	230,039,324	289,646,332
Total grants awarded for research and other sponsored activities	918,097,721	1,015,231,721
Investment income, net	20,067,417	11,388,943
Inventions and licenses income	20,278,155	7,847,137
Other income	43,497,543	45,035,593
Total revenue	1,001,940,836	1,079,503,394
Expenses:		
Sponsored programs and other activities	790,813,430	861,800,208
Other program expenses	38,201,028	34,429,287
Administration and support	166,001,332	171,629,729
Total expenses	995,015,790	1,067,859,224
Change in net assets from revenues and expenses	6,925,046	11,644,170
Other changes:		
Transfer to affiliate organization FRMC	—	(3,500,000)
Postretirement related change other than net periodic benefit gains	5,525,727	34,340,019
Change in net assets	12,450,773	42,484,189
Net deficit at beginning of year	(68,849,553)	(111,333,742)
Net deficit at end of year	\$ (56,398,780)	(68,849,553)

See accompanying notes to financial statements.

**THE RESEARCH FOUNDATION FOR
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Statements of Cash Flows

Years ended June 30, 2014 and 2013

	2014	2013
Cash flow from operating activities:		
Federal grants and contracts	\$ 497,122,427	538,966,544
State and local grants and contracts	269,154,563	143,125,611
Private gifts and grants	269,940,551	303,694,245
Other receipts	264,860,139	252,308,309
Salaries and wages payments	(404,974,774)	(401,856,145)
Employee benefits payments	(151,460,348)	(146,085,800)
Payments to suppliers and vendors	(549,420,197)	(596,421,632)
Operating interest, dividends and investment gains	1,930,425	2,335,660
Distribution from BSA partnership	1,527,145	1,415,823
Interest payments on capital debt and notes	(816,083)	(1,108,208)
Other payments	(81,197,190)	(107,428,220)
	116,666,658	(11,053,813)
Net cash provided by (used in) operating activities		
Cash flows from investing activities:		
Proceeds from sales of investments	350,591,844	390,621,707
Purchases of investments	(356,149,579)	(329,923,260)
Cash paid for purchases of fixed and intangible assets	(84,949,519)	(39,479,399)
	(90,507,254)	21,219,048
Net cash (used in) provided by investing activities		
Cash flows from financing activities:		
Principal payments on long-term debt	(8,035,547)	(7,109,491)
Proceeds from line of credit	58,020,435	39,340,964
Payments on line of credit	(76,817,423)	(42,420,423)
	(26,832,535)	(10,188,950)
Net cash used in financing activities		
Net decrease in cash and cash equivalents	(673,131)	(23,715)
Cash and cash equivalents, beginning of year	892,331	916,046
Cash and cash equivalents, end of year	\$ 219,200	892,331
Reconciliation of change in net assets to net cash used by operating activities:		
Change in net assets	\$ 12,450,773	42,484,189
Adjustments to reconcile change in net assets to net cash used by operating activities:		
Realized and unrealized gains on investments	(17,098,205)	(7,639,789)
Change in fair value of interest rate swap	(14,717)	(403,997)
Net change in equity investment of BSA partnership	488,358	(78,923)
Depreciation and amortization	37,025,118	27,740,620
Loss on disposal of fixed assets	184,753	89,139
Accretion of deferred gain on sale leaseback transaction	(6,750,000)	(7,875,000)
Donated fixed assets	(4,661,875)	(24,216,900)
Change in assets and liabilities that provide (use) cash:		
Accounts receivable and other assets	(35,847,823)	5,445,244
Accrued investment income	1	74
Accounts payable and accrued expenses	(6,615,570)	(11,381,234)
Other accruals and other liabilities	1,702,847	(1,808,211)
Deferred revenue	112,087,466	17,963,100
Deposits held for others	21,760,031	(28,396,163)
Postretirement benefit obligation	1,955,501	(22,975,962)
	116,666,658	(11,053,813)
Net cash provided by (used in) operating activities	\$	(11,053,813)

See accompanying notes to financial statements.

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Notes to Financial Statements

June 30, 2014 and 2013

(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 provides essential sponsored programs administration and innovation support services to SUNY faculty, students and staff who perform life-changing research in life sciences and medicine; engineering and nanotechnology; physical sciences and energy; social sciences; and computer and information sciences.

The RF manages SUNY's research portfolio assisting SUNY faculty, students and staff through every step of the research grant process, allowing them to focus on their work and ensuring compliance with SUNY, grant sponsor and government requirements.

The RF protects SUNY's intellectual property and connects business and industry to SUNY faculty to commercialize their inventions for the public good. The RF offers a full complement of seed funding, technology transfer and business development services that fuel innovation and promote entrepreneurship and economic development.

Aligned with SUNY's Research Innovation Strategy and New York's Innovation Agenda, the RF invests in and helps manage programs that maximize the collective impact of SUNY research. Examples include the SUNY Networks of Excellence, the Technology Accelerator Fund, the SUNY Entrepreneur-In-Residence Program and START-UP NY.

The RF comprises a central office and operating units at 31 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 diverse 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. The RF currently has no donor-imposed restrictions, and therefore all net assets are unrestricted and 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

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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 intangible assets, and certain actuarial assumptions that affect the postretirement 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 direct 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 includes dividends and interest, realized and unrealized gains and losses, and equity adjustments from the RF's investment in the Brookhaven Science Associates partnership.

Inventions and licenses income consists of royalties received from licenses. The income is distributed based on SUNY's policy of apportioning up to 40% of the income to the inventors and the remaining 60% to the campuses. Campus shares of the income, spent under the provisions of the Bayh-Dole Act, and inventors' shares are 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 investments. As more fully described in note 5, 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 Measurement*. 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 5 for a discussion of fair value measurements.

Purchases and sales of securities are recorded on a trade-date basis. Dividend income is recorded on the ex-dividend date. Interest income is recorded on the accrual basis of accounting. The average

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original purchase price of securities is used to determine the basis for computing realized gains or losses.

See note 9 for information related to investments held by the RF's postretirement benefit plan.

(f) Fixed and Intangible Assets

The title to equipment purchased using sponsored funds is generally 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.

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. 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, 2014 and 2013 was \$37.0 million and \$27.7 million, respectively.

(g) Capital Leases

The RF periodically may engage in sale-leaseback transactions for capital equipment. As of June 30, 2014, there are two such transactions reflected in these financial statements. Each sale-leaseback was originally 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. See note 7 and note 11.

(h) Derivative Instruments and Hedging Activities

The RF accounts for derivative instruments in accordance with the ASC Topic 815, *Derivatives 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 deficit. See note 6 and note 11.

(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 to sponsored programs and other users.

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Amounts estimated to be realized over a period greater than one year are reflected in noncurrent deferred revenue on the balance sheets and primarily stem from capitalized equipment purchased under sponsored programs related to economic development.

(j) *Accrued 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 10, 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 \$2.4 million and \$2.2 million as of June 30, 2014 and 2013, respectively.

(k) *Postretirement Benefit Obligation*

As noted in note 9, the RF has a defined medical benefit postretirement plan covering substantially all of its nonstudent employees upon their retirement. The RF's postretirement obligations are 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 net periodic costs are recognized as employees render the services necessary to earn the postretirement benefits.

The RF maintains a Voluntary Employee Benefit Association (VEBA) trust for the postretirement benefit plan. The assets held in the VEBA trust reduce the accumulated postretirement benefit obligation, as reported on the RF's balance sheet.

(l) *Other Information*

Accounts receivable as of June 30, 2014 and 2013 are reported net of an allowance for doubtful accounts of approximately \$9.3 million and \$9.4 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 June 30, 2013 noncurrent deposits held for others were planned gifts donated to RF to ultimately benefit the campus foundations of approximately \$1.1 million; these balances were transferred to the campus foundations during fiscal 2014.

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, 2014 and 2013 is approximately \$7.4 million and \$7.0 million, respectively.

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(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 note from the University at Buffalo Associates (UBA) and a note from the New York Genome Center (NYGC); see note 6. In both cases, no bad debt allowance is considered necessary as of June 30, 2014 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 5 for additional information regarding fair value considerations with respect to investments.

(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, *Income Taxes – Overall*. Pursuant to ASC Subtopic 740-10, management has determined there are no uncertain tax positions as of June 30, 2014 and 2013.

(o) Reclassifications

Certain 2013 amounts have been reclassified to conform to the 2014 presentation.

(3) Affiliated Organizations

The RF has 13 affiliated organizations as of June 30, 2014 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 was a private, not-for-profit corporation formed by the RF (acting on behalf of Binghamton University) and Endicott Interconnect Technologies. This corporation was dissolved during fiscal year 2014.

(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.

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(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 (acting 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 1998, the U.S. Department of Energy 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/loss of BSA based on the operating results for the years ended June 30, 2014 and 2013. 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 (acting 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, New York 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) was 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 was dissolved during fiscal year 2014.

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(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 November 2013, the James H. Cummings Foundation, the Margaret L. Wendt Foundation and the John R. Oshei Foundation. 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. 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 (acting on behalf of the SUNY Institute of Technology (SUNYIT)) in partnership with the SUNYIT Foundation. FSMC will facilitate the construction of a nanotechnology and semiconductor development and manufacturing facility adjacent to the 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.

(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 the College of Nanoscale Science and Engineering (CNSE) in an effort to promote the advancement of the research portfolio, 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, 2014 and 2013 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. The term of the lease payments is from January 1, 2013 through December 31, 2021, at an annual amount of \$36.0 million.

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Notes to Financial Statements

June 30, 2014 and 2013

The annual minimum lease payment commitments for both of these leases are shown in note 14.

(l) Long Island High Technology Incubator

Long Island High Technology Incubator (LIHTI) is a private, not-for-profit corporation formed 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. This corporation was never funded or active, and was dissolved during fiscal year 2014.

(n) New York Genome Center LLC

New York Genome Center (NYGC) is a private, nonprofit corporation formed in an effort to leverage the collaborative resources of leading academic medical centers, research universities, and commercial organizations. The RF (acting on behalf of Stony Brook University) participates in NYGC as an Institutional Founding Member. 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. NYGC's other members include an array of New York-based universities and health institutions.

(o) SUNY Fredonia Technology Incubator, Inc.

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

(p) U.S. Photovoltaic Manufacturing Consortium, Inc.

The Photovoltaic Manufacturing Consortium (PVMC) is a private, not-for-profit corporation, formed by the RF (acting on behalf of CNSE) 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.

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(4) Investments

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

	<u>2014</u>	<u>2013</u>
Cash equivalents	\$ 38,008,299	24,688,851
Mutual funds	54,250,962	64,179,587
Exchange traded funds	7,285,357	12,229,857
Alternative investments	100,679,389	79,433,427
Other	1,218,074	1,144,952
Total investments carried at fair value	<u>201,442,081</u>	<u>181,676,674</u>
Investment in BSA partnership	<u>2,848,985</u>	<u>3,337,343</u>
Total	<u>\$ 204,291,066</u>	<u>185,014,017</u>

Alternative investments primarily consist of diversified investments of hedge funds and private equity funds in various investment vehicles, such as limited liability partnerships and corporations. See note 5 for discussion of fair value measurements.

The RF's investments are kept in pools based on business needs. Short-term needs are covered by holdings in short-term and liquid pools, while the remainder of the investments are kept in medium-duration and long-duration investment pools depending on expected duration of funds and spending needs. As a result of these diverse needs, risk and duration are varied to ensure these needs are met. For example, the short-term pool includes more liquid assets, the medium duration allocations include fixed-income bond funds, absolute return hedge funds, hedged equities, and equity funds, and the long duration pool includes private equity funds, hedged equities, and real estate funds.

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 10-year term of the loan between DASNY and Upstate Medical. The pledged collateral balance was \$8.5 million and \$9.5 million as of June 30, 2014 and 2013, respectively. See note 11 for information on a related demand note 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>2014</u>	<u>2013</u>
Dividends and interest	\$ 1,930,425	2,254,408
Net realized and unrealized gains	17,098,205	7,639,789
Income from investment in BSA partnership	<u>1,038,787</u>	<u>1,494,746</u>
Total return on investments	<u>\$ 20,067,417</u>	<u>11,388,943</u>

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(5) Fair Value Measurements

Fair value is measured in accordance with ASC Topic 820. 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.

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 Net Asset Value (NAV) under the terms of the investment agreements. The estimation of fair value of alternative investments 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.

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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, 2014 and 2013, the RF's investments that are measured at fair value on a recurring basis as well as the liquidity redemption and notification provisions:

	2014				Redemption frequency	Days notice
	Level 1	Level 2	Level 3	Total		
Investments:						
Cash equivalents	\$ 38,008,299	—	—	38,008,299	Daily	1
Mutual funds:						
U.S. government fixed income	18,030,713	—	—	18,030,713	Daily	1
U.S. corporate credit securities	1,226,784	—	—	1,226,784	Daily	1
U.S. equities	8,416,071	—	—	8,416,071	Daily	1
Commodities	5,050,322	—	—	5,050,322	Daily	1
Foreign equities	16,995,746	—	—	16,995,746	Daily	1
Real estate	4,531,326	—	—	4,531,326	Daily	1
Exchange traded funds:						
Real estate	4,515,274	—	—	4,515,274	Daily	4
Foreign equities	2,770,083	—	—	2,770,083	Daily	4
Alternative investments:						
Absolute multistrategy return	—	39,667,882	—	39,667,882	Quarterly	45 to 95
U.S. corporate credit securities	—	6,026,400	—	6,026,400	Quarterly	30
Foreign corporate credit securities	—	2,949,709	—	2,949,709	Mthly/Qtrly	45
Global equities	—	4,785,807	—	4,785,807	Annual	90
Hedged equities	—	31,264,663	—	31,264,663	Quarterly	95
U.S. equities	—	7,775,874	—	7,775,874	Quarterly	45
Private equity	—	—	8,209,054	8,209,054	See (a) below	N/A
Other	1,218,074	—	—	1,218,074	Daily	4
Total	\$ 100,762,692	92,470,335	8,209,054	201,442,081		

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	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	Mthly/Qtrly	30 to 90
Foreign corporate credit securities	—	2,733,817	—	2,733,817	Mthly/Qtrly	45
Private equity	—	—	3,239,391	3,239,391	See (a) below	N/A
Other	1,144,952	—	—	1,144,952	Daily	4
Total	\$ 102,243,247	76,194,036	3,239,391	181,676,674		

- (a) Certain alternative investments include noncontrolling shares or interests in funds where the controlling general partner serves as the investment's manager. Such investments are typically not eligible for redemption from the fund or general partner, but can typically be 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:

	2014	2013
Balance, beginning of year	\$ 3,239,391	2,460,387
Purchases	6,358,037	566,038
Sales	(2,096,781)	(216,903)
Realized gains	8,511	15,557
Unrealized gains	699,896	414,312
Balance, end of year	\$ 8,209,054	3,239,391

There has been no significant transfer activity between Level 1 and Level 2 investments during fiscal years 2014 and 2013. The RF has unfunded commitments to alternative investments as of June 30, 2014 of approximately \$6.7 million.

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(6) Other Assets and Other Liabilities

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

	2014	2013
Other assets:		
Current:		
Royalties receivable	\$ 7,439,032	2,403,803
Advance payments – sponsored programs	304,213	898,370
Loans receivable	16,938	13,077
Prepaid and other	18,304	28,346
Total other current assets	7,778,487	3,343,596
Noncurrent:		
UBA loan receivable	8,311,189	10,049,628
NY Genome Center loan receivable	2,726,600	2,645,351
Section 457(b) assets	5,314,535	4,484,246
NFX lease prepaid	25,200,000	8,400,000
Total other noncurrent assets	41,552,324	25,579,225
Total other assets	\$ 49,330,811	28,922,821
Other liabilities – noncurrent:		
Section 457(b) obligation	\$ 5,314,535	4,484,246
NY Genome Center	226,601	—
Interest rate swap – see note 2(h)	761,780	776,497
Total other liabilities	\$ 6,302,916	5,260,743

The RF maintains a deferred compensation plan established in accordance with Section 457(b) of the IRC. Plan funds, totaling approximately \$5.3 million and \$4.5 million as of June 30, 2014 and 2013, 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.

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(7) Fixed Assets

Fixed assets consist of the following at June 30:

Fixed asset classification	Fixed assets June 30, 2013	Additions	Dispositions/ retirements	Fixed assets June 30, 2014
Building	\$ 6,500,000	—	—	6,500,000
Office furniture and equipment	110,797,379	29,862,827	594,456	140,065,750
Information systems	33,227,765	50,545	—	33,278,310
Construction in progress	—	58,448,012	—	58,448,012
Total fixed assets	<u>150,525,144</u>	<u>88,361,384</u>	<u>594,456</u>	<u>238,292,072</u>
Less accumulated depreciation:				
Building	1,430,000	130,000	—	1,560,000
Office furniture and equipment	44,284,175	18,745,832	409,703	62,620,304
Information systems	32,928,677	115,886	—	33,044,563
Total accumulated depreciation	<u>78,642,852</u>	<u>18,991,718</u>	<u>409,703</u>	<u>97,224,867</u>
Fixed assets, net	<u>\$ 71,882,292</u>	<u>69,369,666</u>	<u>184,753</u>	<u>141,067,205</u>

Fixed asset additions above include \$4.7 million in capitalized equipment donations.

There is no depreciation expense associated with construction in progress assets as they have not yet been placed in service. Upon being placed in service, the assets, primarily consisting of equipment, will be classified in the appropriate categories above and depreciated over their useful lives.

The amortization expense for the asset underlying the capital leases referred to in note 2(g) was \$6.8 million for June 30, 2014 and 2013. The lease transactions resulted in a gain that has been deferred and recognized over the life of the lease. This asset is being concurrently amortized and netted with the recognition of the deferred gain and results in no net increase to fixed assets.

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(8) Intangible Assets

Intangible assets at June 30 consist of the following:

<u>Intangible asset classification</u>	<u>Intangible assets June 30, 2013</u>	<u>Additions</u>	<u>Dispositions/ retirements</u>	<u>Intangible assets June 30, 2014</u>
Technology licenses	\$ 89,200,000	—	—	89,200,000
Software upgrade costs	2,752,031	1,250,000	—	4,002,031
Total intangible assets	<u>91,952,031</u>	<u>1,250,000</u>	<u>—</u>	<u>93,202,031</u>
Less accumulated amortization:				
Technology licenses	16,313,000	11,150,000	—	27,463,000
Software upgrade costs	—	133,401	—	133,401
Total accumulated amortization	<u>16,313,000</u>	<u>11,283,401</u>	<u>—</u>	<u>27,596,401</u>
Intangible assets, net	<u>\$ 75,639,031</u>	<u>(10,033,401)</u>	<u>—</u>	<u>65,605,630</u>

The expected annual amortization of the intangible assets for the next five years approximates \$12.0 million.

(9) Postretirement Benefit Obligation

(a) Plan Information and Amendment

The RF sponsors a defined benefit postretirement plan that covers substantially all nonstudent employees. The plan provides postretirement 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 years 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.

(b) Plan Funded Status and Related Assumptions

Annual contributions to fund the plan are made by the RF 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 \$148.7 million and \$124.8 million as of June 30, 2014 and 2013, respectively. The assets held in the VEBA trust

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reduce the accumulated postretirement benefit obligation 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 6,836 participants in the plan as of July 1, 2013.

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>2014</u>	<u>2013</u>
Change in benefit obligation:		
Benefit obligation at beginning of year	\$ 405,432,951	410,182,000
Service cost	11,516,614	12,304,410
Interest cost	17,275,032	16,076,575
Plan participants' contributions	710,361	612,602
Retiree drug subsidy receipts	376,010	279,470
Plan amendments	(603,917)	(3,360,376)
Actuarial loss (gain)	2,884,499	(20,555,717)
Benefits paid	<u>(10,267,907)</u>	<u>(10,106,013)</u>
Benefit obligation at end of year	<u>427,323,643</u>	<u>405,432,951</u>
Change in plan assets:		
Fair value of plan assets at beginning of year	124,828,913	106,602,000
Return on plan assets	15,399,193	10,270,913
Employer contributions	17,628,536	17,169,941
Plan participants' contributions	710,361	612,602
Retiree drug subsidy receipts	376,010	279,470
Benefits paid	<u>(10,267,907)</u>	<u>(10,106,013)</u>
Fair value of plan assets at end of year	<u>148,675,106</u>	<u>124,828,913</u>
Funded status	<u>\$ (278,648,537)</u>	<u>(280,604,038)</u>
Amount recognized in the balance sheet:		
Noncurrent liability	\$ (278,648,537)	(280,604,038)
Amount recognized in unrestricted net assets:		
Prior service credit	\$ 20,339,647	25,767,990
Net actuarial loss	<u>(139,335,901)</u>	<u>(150,289,971)</u>
Total	<u>\$ (118,996,254)</u>	<u>(124,521,981)</u>

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	2014	2013
Weighted average assumptions used to determine benefit obligation:		
Discount rate at end of year	4.30%	4.72%
Components of net periodic benefit cost:		
Service cost	\$ 11,516,614	12,304,410
Interest cost	17,275,032	16,076,575
Expected return on plan assets	(9,995,708)	(8,591,849)
Amortization of:		
Prior service credit	(6,032,260)	(6,119,386)
Actuarial loss	8,435,084	14,864,248
Net periodic benefit cost	\$ 21,198,762	28,533,998
Weighted average assumptions used to determine net periodic benefit cost:		
Discount rate for the year	4.72%	4.05%
Expected long-term rate of return	7.50	7.50
	2014	2013
Other changes in plan assets and benefit obligations recognized in unrestricted net assets:		
Net actuarial gain	\$ 2,518,986	22,234,781
Prior service credit	603,917	3,360,376
Amortization of:		
Prior service credit	(6,032,260)	(6,119,386)
Actuarial loss	8,435,084	14,864,248
Total recognized as an increase in unrestricted net assets	\$ 5,525,727	34,340,019

Expected amounts amortized from unrestricted net assets into net periodic benefit cost for fiscal year ending 2015 include prior service credit of \$5.9 million and actuarial loss of \$9.4 million.

Estimated net benefits payments over future years are as follows:

Fiscal year ending 2015	\$ 10,621,000
Fiscal year ending 2016	11,816,000
Fiscal year ending 2017	12,910,000
Fiscal year ending 2018	14,119,000
Fiscal year ending 2019	15,376,000
Fiscal years ending 2020–2024	96,152,000

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For measurement purposes, the initial trend rates vary by coverage. The health maintenance organization rate is 8.50%, the preferred provider organization (PPO) Medical Pre-65 rate is 8.50%, the PPO Medical Post-65 rate is 8.00%, the PPO prescription rate is 7.00%, and administrative fees are 5.00%. Trend rates grade down to an ultimate rate of 5.00% in 2022 and later.

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

		One-percentage point increase	One-percentage point decrease
Effect on total service and interest cost components	\$	6,143,712	(4,798,290)
Effect on post-retirement benefit obligation		86,254,167	(67,698,719)

(c) Fair Value of Plan Assets

The following tables summarize as of June 30, 2014 and 2013 the RF's defined benefit postretirement plan's investments held in the VEBA trust, measured at fair value on a recurring basis including the redemption and notification provisions. The hierarchy and inputs to valuation techniques to measure fair value of the plan's investments are outlined above in note 5:

	2014				Redemption frequency	Days' notice
	Level 1	Level 2	Level 3	Total		
Investments:						
Cash equivalents	\$ 1,131,027	—	—	1,131,027	Daily	1
Mutual funds:						
U.S. government fixed income	11,815,714	—	—	11,815,714	Daily	1
U.S. equities	16,485,114	—	—	16,485,114	Daily	1
Foreign equities	17,979,308	—	—	17,979,308	Daily	1
Real estate	3,654,098	—	—	3,654,098	Daily	1
Commodities	4,142,921	—	—	4,142,921	Daily	1
Exchange traded funds:						
Real estate	3,452,753	—	—	3,452,753	Daily	4
Foreign equities	2,935,735	—	—	2,935,735	Daily	4
Alternative investments:						
Absolute multistrategy return	—	27,552,782	—	27,552,782	Quarterly	45-95
Hedged equities	—	32,882,768	—	32,882,768	Quarterly	95
U.S. equities	—	1,451,491	—	1,451,491	Quarterly	45
Real estate	—	—	1,682,559	1,682,559	See note 5(a)	N/A
Private equity	—	—	11,724,091	11,724,091	See note 5(a)	N/A
U.S. corporate credit securities	—	4,519,800	2,479,139	6,998,939	Mthly/Qtrly	30
Global equities	—	4,785,806	—	4,785,806	Quarterly	45
	\$ 61,596,670	71,192,647	15,885,789	148,675,106		

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		2013					
		Level 1	Level 2	Level 3	Total	Redemption frequency	Days' notice
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 5(a)	N/A
Private equity		—	—	6,641,042	6,641,042	See note 5(a)	N/A
		<u>\$ 72,557,965</u>	<u>44,228,402</u>	<u>8,042,546</u>	<u>124,828,913</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):

		2014	2013
Balance, beginning of year	\$	8,043,000	6,636,000
Purchases		9,036,000	1,634,000
Sales		(2,898,000)	(1,348,000)
Net realized gains		23,000	39,000
Net unrealized gains		1,682,000	1,082,000
Balance, end of year	\$	<u>15,886,000</u>	<u>8,043,000</u>

There has been no significant transfer activity between Level 1 and Level 2 investments during fiscal years 2014 and 2013. The RF has unfunded commitments to the plan's alternative fund investments at June 30, 2014 of approximately \$11.2 million.

(d) Investment Policies and Strategies

The plan's primary investment goal is to meet the ongoing obligations while minimizing contributions and controlling risks. Ordinarily, the asset allocation plan would be structured such that short-term liabilities are primarily funded with lower volatility short-term assets, intermediate-term liabilities are funded with investments that exhibit moderate volatility and the longer-term liabilities are funded by long-term assets. In addition, the plan's asset allocation is structured to meet a long-term-targeted return. Borrowing from the diversification techniques developed under the modern portfolio theory, the plan's assets are invested so that total portfolio risk exposure and risk adjusted returns meet the plan's long-term total return goal. The RF's investment managers under agreement to manage the plan assets kept in the VEBA trust, exercise full investment discretion within the investment policy approved by the RF board of directors, and guidelines as described in

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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.

(e) 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, 2014, 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%	4.3%
Fixed income	10	16	5%-30%	14.1
Equities:				
Global equities	25	33	20%-33%	32.3
Hedged equities	16	15	10%-30%	16.9
Private equity	10	3	0%-15%	5.0
Absolute return	15	10	5%-25%	12.7
Real assets:				
Inflation-protected	5	7	3%-10%	3.1
Commodities	5	6	2%-7%	2.8
Global real estate	12	9	4%-14%	8.8

(10) Retirement Plan

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

Contributions are allocated to individual employee accounts. Vested participants have the option of having contributions to their accounts deposited in either the Teachers Insurance and Annuity Association (TIAA), which offers a guaranteed income account, the College Retirement Equities Fund (CREF), which offers an

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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, 2014 and 2013 was approximately \$358.6 million and \$355.2 million, respectively. The RF pension contributions were approximately \$30.1 million for each of the years ended June 30, 2014 and 2013. These contributions are equal to 100% of the required contribution for the year.

(11) Long-Term Debt

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, 2014, the tax-exempt bond debt totaled \$4.9 million with maturity in 2032 at an interest rate of 0.32% at June 30, 2014. The taxable bond debt was extinguished in 2009. Subsequent to June 30, 2014, 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 \$5.6 million 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, 2014 and 2013 was a \$0.8 million liability. 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 year 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 noninterest bearing demand 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 year 2012; these are accounted for as capital leases, with current and noncurrent balances included in the accompanying balance sheets.

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A summary of long-term debt is as follows:

	Balance June 30, 2014	Balance June 30, 2013
Long-term debt:		
Capital lease obligations	\$ 10,670,018	17,408,526
Loan – Genome Center (SB)	2,500,000	2,645,352
Demand note (upstate)	1,046,501	2,018,188
Bonds payable	4,850,000	5,030,000
Total long-term debt	\$ 19,066,519	27,102,066

Future payments of long-term debt as of June 30, 2014 are as follows:

	Bonds and notes payable		Capital leases		Total	
	Principal	Interest	Principal	Interest	Principal	Interest
Fiscal year:						
2015	\$ 1,165,631	18,660	7,037,035	328,754	8,202,666	347,414
2016	260,870	17,880	3,632,983	58,466	3,893,853	76,346
2017	200,000	17,080	—	—	200,000	17,080
2018	205,000	16,260	—	—	205,000	16,260
2019	215,000	15,400	—	—	215,000	15,400
Thereafter	6,350,000	334,802	—	—	6,350,000	334,802
Total	\$ 8,396,501	420,082	10,670,018	387,220	19,066,519	807,302

Line of Credit

The RF maintains an unsecured line of credit in the amount of \$65 million of which \$6.3 million and \$25.1 million were outstanding as of June 30, 2014 and 2013, respectively. During this fiscal year, the borrowing rate ranged between 1.0–2.0%; it was 1.4% at June 30, 2014. 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 \$6.3 million has the specified repayment date of December 31, 2014.

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(12) Revenue

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

	<u>2014</u>	<u>2013</u>
Federal grants and contracts	\$ 499,688,174	532,580,865
State grants and contracts	173,530,906	180,436,356
Local grants and contracts	14,839,317	12,568,168
Private grants and contracts	230,039,324	289,646,332
Investment income	2,969,212	3,741,875
Net realized and unrealized gains on investments	17,098,205	7,647,068
Gifts, capital gifts and grants	155,450	101,031
Inventions and licenses income	20,278,155	7,847,137
Other income	43,342,093	44,934,562
Total revenue	<u>\$ 1,001,940,836</u>	<u>1,079,503,394</u>

(13) Expenses

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

	<u>2014</u>	<u>2013</u>
Instruction	\$ 79,220,386	72,024,500
Research	562,313,004	601,933,273
Public service	122,705,649	126,779,841
Academic support	20,840,798	21,129,725
Student services	2,092,139	2,103,326
Operations and maintenance	16,361,215	23,965,153
Institutional support	149,208,522	187,191,418
Scholarships and fellowships	4,153,872	3,778,712
Auxiliary enterprises	94,251	15,309
Depreciation and amortization expense	37,025,118	27,740,620
Interest expense on capital related debt	816,083	1,108,208
Loss on disposal of fixed assets	184,753	89,139
Total expenses	<u>\$ 995,015,790</u>	<u>1,067,859,224</u>

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(14) Commitments and Contingencies

Lease Obligations

In addition to the long-term leases with FRMC, described in note 3(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, 2014, for lease terms in excess of one year are as follows:

<u>Fiscal year</u>	<u>FRMC</u>	<u>Other</u>	<u>Total</u>
2015	\$ 43,014,458	6,123,226	49,137,684
2016	43,014,458	3,118,708	46,133,166
2017	43,014,458	1,806,961	44,821,419
2018	43,014,458	1,208,153	44,222,611
2019	43,014,458	1,098,656	44,113,114
Thereafter	167,984,943	7,937,619	175,922,562
Total	<u>\$ 383,057,233</u>	<u>21,293,323</u>	<u>404,350,556</u>

Collateral

As discussed in note 4, 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 in fiscal year 2012. This collateral is being released at the rate of \$1 million per year over a period of 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. As of the financial statement issuance date, a federal investigation relating to programs at Buffalo State College has been conducted by the United States Attorney's Office. Additionally, the RF has been engaged in litigation relating to occupancy of office space. A reserve has been recorded as of June 30, 2014 representing the RF's estimated costs of settlement of these matters.

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, but at this time it is not anticipated that these or any other legal proceedings will have a material effect on the RF's financial condition and/or cash flows.

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(15) 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, 2014 were available to be issued on September 30, 2014 and subsequent events have been evaluated through that date.

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<u>Federal grantor/federal subdivision or pass-through grantor</u>	<u>CFDA number</u>	<u>Pass-through Number</u>	<u>Direct expenditures</u>	<u>Pass-through expenditures</u>	<u>Total expenditures by CFDA and federal grantor</u>
Research and Development Cluster:					
U.S. Department of Agriculture:					
Agricultural Research Service	10.000		\$ 310,198	—	—
Animal and Plant Health Inspection Service	10.000		36,641	—	—
Cooperative State Research Service	10.000		560,760	—	—
U.S. Department of Agriculture	10.000		43,086	—	—
Forest Service	10.000		601,832	—	—
National Institute of Food and Agriculture	10.000		1,176,117	—	—
Natural Resources Conservation Service	10.000		24,791	—	—
Northeastern States Research Cooperative	10.000		53,593	—	—
United States Endowment for Forestry and Communities Incorporated	10.000	2012008	—	47,423	—
University of Illinois Urbana Champaign	10.000	PO# P0767596	—	3,427	2,857,868
NYS Department of Environmental Conservation	10.025	AMO7795	—	48,187	—
Regents of the University of California, Riverside	10.025	S000530	—	(40)	—
Regents of the University of California, Riverside	10.025	S000581	—	12,164	—
Regents of the University of California, Riverside	10.025	S000630	—	10,940	71,251
University of Maryland	10.200	2555103	—	10,536	10,536
Fort Valley State University	10.216	2013CANFVSU13008	—	17,585	17,585
Connecticut Agricultural Experiment Station	10.310	CAESAC201103	—	75,513	—
University of North Carolina at Charlotte	10.310	2011072101SUN	—	50,975	—
Pennsylvania State University	10.310	4716SUNYUSDA9703	—	116,508	—
GreenWood Resources	10.310	20116800530407	—	21,301	264,297
Drexel University	10.312	211030	—	42,660	42,660
Cornell University	10.320	629649765	—	110,398	110,398
Watershed Agricultural Council	10.652	349	—	37,572	—
University of New Hampshire	10.652	PZ11002	—	20,587	—
University of Vermont	10.652	25878/Bowden/Nyland	—	28,681	—
University of New Hampshire	10.652	12013	—	3,947	—
University of Vermont	10.652	25878/Bowden/Beier	—	34,109	—
University of Vermont	10.652	23281-Yanai	—	6,378	—
University of Vermont	10.652	23281-Beier	—	9,486	—
University of Vermont	10.652	23281-Beier-Bishop	—	9,199	—
University of Vermont	10.652	23281-McNulty	—	4,400	—
University of Vermont	10.652	23281-Germain	—	6,644	—
University of Vermont	10.652	23281 Bevilacqua	—	10,766	—
University of Maine at Orono	10.652	UMS886	—	7,023	—
University of Vermont	10.652	23281 Castello	—	9,910	188,702
NYS Department of Environmental Conservation	10.664	AMO7854	—	99,889	99,889
NYS Department of Environmental Conservation	10.675	AMO8410	—	101,521	101,521
NYS Department of Environmental Conservation	10.683	AM08622	—	33,348	33,348
Syracuse University	10.761	2600503153503	—	4,279	—
Syracuse University	10.761	2600503153801	—	4,988	9,267
Total U.S. Department of Agriculture			2,807,018	1,000,304	3,807,322
U.S. Department of Commerce:					
Department of Commerce	11.000		137,216	—	—
National Institute of Standards and Technology	11.000		172,707	—	—
National Oceanic and Atmospheric Administration	11.000		3,201,502	—	3,511,425
New York State Trade Adjustment Assistance Center	11.300		—	15,055	15,055
University of California at San Diego	11.417	NA	—	21,278	—
University of Illinois Urbana Champaign	11.417	RSOC05	—	2,316	—
University of Vermont	11.417	20100224704 A2287	—	69,048	—
University of Vermont	11.417	25605-Bowden	—	33,979	126,621
Cornell Cooperative Extension	11.431	N/A	—	16,266	16,266
University of Michigan	11.432	RFTD12	—	4,056	—
University of Michigan	11.432	3001092444	—	77,168	81,224
Ducks Unlimited Incorporated	11.463	3002475301	—	141,669	141,669
University Corporation for Atmospheric Research	11.467	USNY1561	—	44,732	44,732
University of California at Los Angeles	11.468	S1071092	—	3,024	3,024
Florida Fish and Wildlife Conservation Commission	11.472	0965GQA166	—	3,908	3,908
University of Tennessee	11.478	11187	—	73,347	73,347
Howard University	11.481	A120074S001	—	(553)	—
Howard University	11.481	631017H040948	—	50,063	—
Howard University	11.481	00073421000041742	—	62,382	111,892
Nanoelectronics Research Corporation (NERC)	11.609	1000047290	—	(3,396)	—
Nanoelectronics Research Corporation (NERC)	11.609	2006NE1463	—	1,310,201	—
University of Nebraska	11.609	2013NE2399	—	121,304	1,428,109
Total U.S. Department of Commerce			3,511,425	2,045,847	5,557,272
U.S. Department of Defense:					
Air Force Office of Scientific Research	12.000		3,681,967	—	—
Air Force Research Laboratory	12.000		1,799,338	—	—
Air Force Rome Lab Griffis Air Force Base	12.000		687,161	—	—
Army Corps Engineers	12.000		280,400	—	—
Army Humphreys Engineer Center Support Activity	12.000		10	—	—
Army Medical Research Acquisition Activity	12.000		2,862,369	—	—
Army Medical Research and Material Command	12.000		73,583	—	—
Army Picatinny Arsenal	12.000		398,899	—	—
Army Research Development & Engineering Command	12.000		1,720,860	—	—
Army Research Laboratory	12.000		59,383	—	—
Army Research Office	12.000		1,169,163	—	—
U.S. Department of Defense	12.000		308,102	—	—
Navy Experimental Diving Unit	12.000		438,679	—	—
Navy Office of Naval Research	12.000		2,908,710	—	—
Navy Research Laboratory	12.000		417,116	—	—
Navy Space& Naval Warfare Systems Ctr San Diego	12.000		1,788,113	—	—
Defense Advanced Research Projects Agency (DARPA)	12.000		322,561	—	—
Defense Threat Reduction Agency	12.000		27,948	—	—
Fleet Industrial and Supply Center (FISC) San Diego	12.000		790	—	—
Intelligence Advanced Research Projects Activity (IARPA)	12.000		3,448,572	—	—
National Security Agency	12.000		12,955	—	—
EWA Government Systems Incorporated	12.000	P140001189	—	15,865	—
Magnolia Optical Technologies Incorporated	12.000	W911QX13C0073	—	64,942	—
CUBRC Incorporated	12.000	0770601	—	44,032	—
CUBRC Incorporated	12.000	07719.02.02	—	29,689	—
CUBRC Incorporated	12.000	07774-04	—	122,320	—
CUBRC Incorporated	12.000	07782-01	—	(622)	—
Kitware Incorporated	12.000	K000139-S02	—	123,256	—
CUBRC Incorporated	12.000	07809S1	—	24,619	—

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University of Central Florida	12.000	232896	\$	116,385	—
AECOM	12.000	BTRP3438		24,103	—
CUBRC Incorporated	12.000	07855S1		28,122	—
BerrieHill Research Corporation	12.000	NA		24,881	—
CUBRC Incorporated	12.000	07862S1		148,807	—
BBN Technologies Corporation	12.000	950009218		194,561	—
CUBRC Incorporated	12.000	07875S2		120,788	—
TRAC Labs	12.000	T005801T007		17,702	—
UES Inc	12.000	S875194001		1	—
Intelligent Automation Incorporated	12.000	9591		77,164	—
Andro Computational Solutions LLC	12.000	ACS12AF10BT0905		115,602	—
CUBRC Incorporated	12.000	0788102		11,773	—
Reaction Engineering International	12.000	REI51182		95,905	—
CUBRC Incorporated	12.000	07952S1		59,397	—
Rome Research Corporation	12.000	78257		17,746	—
CUBRC Incorporated	12.000	07951S1		22,743	—
Rensselaer Polytechnic Institute	12.000	A71625		25,729	—
Henry M Jackson Fdn for Adv of Military Med Inc	12.000	774900		128,053	—
Cherokee Nation Technology Solutions LLC	12.000	N/A		165,711	—
SI International Incorporated SERCO	12.000	COS1000686		137,132	24,363,085
ReliaCoat Technologies LLC	12.114	NA		20,044	—
Rockwell Collins Incorporated	12.114	4504947155		42,163	62,207
Florida Institute for Human and Machine Cognition	12.300	FA875012203481		329,037	—
Florida Institute for Human and Machine Cognition	12.300	FA87501220348		7,390	—
Hypres Incorporated	12.300	HYPN0001409C0529		35,088	—
Hypres Incorporated	12.300	NA		18,436	—
Oregon State University	12.300	N0268AA		73,906	—
Florida Atlantic University	12.300	FA87501120089/P01400998		12,689	—
Sherwin-Williams	12.300	11345113		90,980	—
Charles River Analytics Inc	12.300	SC1200801		106,079	—
University of North Carolina at Chapel Hill	12.300	555047		36,834	—
Scientific Systems Company Incorporated	12.300	N6660413C1404		12,142	722,581
Arizona Board of Regents	12.351	POY554529		54,387	—
Virginia Polytechnic Institute and State Univ	12.351	45010419191		74,513	—
Vanderbilt University	12.351	21243S1		(1,525)	—
Arizona State University	12.351	Subagreement No. 09-205		9,466	—
Arizona State University	12.351	14436		47,644	184,485
CH2MHILL	12.360	1306092		8,966	8,966
Daemen College	12.420	11-1 0082-UB-2		7,887	—
Health Research Inc.	12.420	57808803		1,655	—
Hauptman Woodward Medical Research Institute Inc	12.420	6200		23,772	—
Rutgers University	12.420	S1051970		16,785	—
Research Corporation of Long Island	12.420	W81XWH1011032 Sub1		25,544	—
Research Corporation of Long Island	12.420	SC090068		41,626	—
Wake Forest University Health Sciences	12.420	WFUHS441020SR-10		129,641	—
University of Mississippi	12.420	1101042		113,399	—
University of Mississippi	12.420	N/A		202,384	—
TRUE Research Foundation POC	12.420	W81XWH090163-15013A		(11,364)	551,329
University of North Carolina at Charlotte	12.421	2013035802SUN		16,927	—
ReliaCoat Technologies LLC	12.431	NA		16,963	—
University of Maryland	12.431	Z847709		87,809	—
Texas A&M University	12.431	B5703		38,089	—
University of Toledo	12.431	F20142		10,608	—
Staub Instruments Incorporated	12.431	A13A0110305		74,996	—
ReliaCoat Technologies LLC	12.431	NA		18,019	—
Spectral Energetics Incorporated	12.431	N/A		155,669	419,080
University of South Florida	12.599	6201110200A		8,890	8,890
Imperial Machine and Tool Company	12.630	23538JS		304,841	—
Imperial Machine and Tool Company	12.630	27404JS		35,040	—
II VI Incorporated	12.630	FA86501121063		17,655	—
Florida International University	12.630	80000217701		4,729	362,265
University of Maryland Baltimore	12.800	SR00001514		371	—
University of Maryland Baltimore	12.800	SR00001514		4,009	—
Avolare 2 LLC	12.800	FA945313C0011		243,539	—
Optoelectronic Nanodevices LLC	12.800	NA		30,384	—
Intelligent Fusion Technology Incorporated	12.800	Subcontract No. 008-5		29,181	—
Nano-Bio Manufacturing Consortium	12.800	Development Agr. 27-Jan-14		31,081	—
University of Virginia	12.800	GG11221-133954		5,442	—
Regents of the University of Minnesota	12.800	A001650201		135,548	—
Trustees of the California State University	12.800	S9-94504 A1		82,304	—
Regents of the University of Minnesota	12.800	A001650201		63,566	—
University of California Berkeley	12.800	00006770		188,097	—
University of Maryland	12.800	Z809301		—	—
University of California at Santa Barbara	12.800	KK1236		302,424	—
Electron Energy Corporation	12.800	FA955013C0037		30,000	—
Regents of the University of Minnesota	12.800	A002727302		34,990	—
Wyle Laboratories Incorporated	12.800	APSC01043 A10160-S049		765	1,181,701
Government of Israel Ministry of Defense	12.902	4440477335		27,216	27,216
University of Florida	12.910	UFEIES1205018SNY		52,282	—
Massachusetts Institute of Technology	12.910	5710003112		214,358	—
Viridix Solutions LLC	12.910	D113PC00043		1,651	—
Massachusetts Institute of Technology	12.910	5710003504		491,574	—
Analog Photonics LLC	12.910	HR001113C0071		19,914	—
BAE Systems Controls Incorporated	12.910	209630		71,397	—
Palo Alto Institute for Research and Education Inc	12.910	MP307372		1,358	—
Carnegie Institution of Washington	12.910	41043402		72,745	—
BAE Systems Information & Electronic Systems Integration Inc	12.910	845226		131,216	1,056,495
Total U.S. Department of Defense			22,406,679	6,541,621	28,948,300
Central Intelligence Agency:					
Central Intelligence Agency	13.000		123,255	—	—
Leidos	13.000	P010155110		37,103	—
Leidos	13.000	P01055110		34,710	195,068
Total Central Intelligence Agency			123,255	71,813	195,068

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Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through Number	Direct expenditures	Pass-through expenditures	Total expenditures by CFDA and federal grantor
U.S. Department of Housing and Urban Development:					
U.S. Department of Housing and Urban Development	14.000		\$ 28,711		—
Niagara Frontier Transportation Authority	14.000	NA		742,341	771,052
Housing Trust Fund Corporation	14.269	NYRISE		439,756	—
Housing Trust Fund Corporation	14.269	na		35,798	475,554
New York City Department of Homeless Services	14.524	N/A		37,755	37,755
Buffalo Municipal Housing Authority	14.889	NA		8,433	8,433
Total U.S. Department of Housing and Urban Development			28,711	1,264,083	1,292,794
U.S. Department of the Interior:					
U.S. Department of the Interior	15.000		268,072		—
Fish and Wildlife Service	15.000		296,945		—
Geological Survey	15.000		288,730		—
National Park Service	15.000		371,439		—
Cornell University	15.000	611039833		1,702	—
NYS Department of Environmental Conservation	15.000	AM08643		20,389	—
NYS Department of Environmental Conservation	15.000	AM08634		63,165	—
University of Maine at Orono	15.000	N/A		3,760	1,314,202
NYS Department of Environmental Conservation	15.231	AM08525		653,734	653,734
University of Illinois Urbana Champaign	15.605	20130467101		5,000	5,000
Central Michigan University	15.608	NA		16,315	16,315
NYS Department of Environmental Conservation	15.611	AM08884		245,892	—
NYS Department of Environmental Conservation	15.611	AM08649		239,653	485,545
Texas Parks and Wildlife	15.615	419446		10,358	10,358
Wildlife Management Institute Incorporated	15.628	201303		14,470	14,470
Texas Parks and Wildlife	15.634	T43		(698)	—
Smithsonian Institution	15.634	NA		4,322	3,624
New Jersey Department of Environmental Protection, Division of Fish and Wildlife	15.655	PO# 7619391 PO# 7635524		10,773	10,773
Board of Trustees of the University of Illinois	15.662	2013044180		6,123	6,123
University of California at Santa Cruz	15.663	S0184014		47,542	47,542
Cornell University	15.805	611039379		6,651	—
Cornell University	15.805	640389840		1,725	8,376
University of Nevada Las Vegas	15.808	13724A00		13,529	—
University of Florida	15.808	UF09148		10,331	23,860
Rome Area Chamber of Commerce	15.926	GA-2255-11-017		10,614	—
Raymond W Harvey Post 703 American Legion	15.926	ABPP Grant #GA-2287-13-012		1,297	11,911
National Parks of New York Harbor	15.954	P13PX22027		12,511	12,511
Total U.S. Department of the Interior			1,225,186	1,399,158	2,624,344
U.S. Department of Justice:					
U.S. Department of Justice	16.000		952,745		—
NYS Division of Criminal Justice Services	16.000	NA		16,458	969,203
University of Texas at El Paso	16.302	2630024133		31,724	31,724
University of Maryland	16.541	Z955101		138,019	138,019
General Electric Global Research	16.560	400190560		10,493	—
State of Minnesota	16.560	49727		167,471	177,964
Rochester Institute of Technology	16.609	30997-02		(12)	(12)
Broome Tioga BOCES	16.726	DOJ# 2010-JU-FX-0055		19,661	19,661
NYS Division of Criminal Justice Services	16.738	C637139		128,978	128,978
Total U.S. Department of Justice			952,745	512,792	1,465,537
Federal Reserve System:					
Federal Reserve Bank of New York	18.000		4,256		4,256
Total Federal Reserve System			4,256	—	4,256
U.S. Department of State:					
U.S. Department of State	19.000		931,457		931,457
President and Fellows of Middlebury College	19.901	SPMECO12CA1006		4,593	—
President and Fellows of Middlebury College	19.901	SPMECO12CA1010		25,265	—
President and Fellows of Middlebury College	19.901	SPMECO13CA1006		3,330	33,188
Total U.S. Department of State			931,457	33,188	964,645
U.S. Department of Transportation:					
U.S. Department of Transportation	20.000		77,708		—
Federal Highway Administration	20.000		483,914		—
National Transportation Safety Board	20.000		643		—
Research Foundation of City University of New York	20.000	499972924		41,326	—
Research Foundation of City University of New York	20.000	499973824		11,610	—
Research Foundation of City University of New York	20.000	499973424		9,355	—
National Academy of Sciences	20.000	NCHRP172		48,912	—
Research Foundation of City University of New York	20.000	499972325		4,027	—
Town of Amherst	20.000	2012.052		540	—
Research Foundation of City University of New York	20.000	499974125		6,183	684,218
Rensselaer Polytechnic Institute	20.200	A90379		7,696	—
Parsons Brinckerhoff	20.200	N/A		2,063	—
Lehigh University	20.200	542621-78004		29,568	—
National Academy of Sciences	20.200	HR1293		36,216	75,543
NYS Education Department	20.205	C010915		24,780	—
NYS Education Department	20.205	C010915		1,164,731	—
NYS Education Department	20.205	C010915		228,696	—
NYS Education Department	20.205	C010915		284,251	—
NYS Education Department	20.205	C010915		60,151	—
Stantec Consulting Services Inc	20.205	PIN 1759.42		3,533	—
C and S Engineering	20.205	Job 119.392.001		4,805	—
CUBRC Incorporated	20.205	07605507		64,413	—
Research Foundation of City University of New York	20.205	555050305		72,456	1,907,816
NYS Department of Transportation	20.218	C003101		52,470	52,470
Rand Corporation	20.237	9920120062		31,162	31,162
Research Foundation of City University of New York	20.502	555050601		3,260	3,260
Transportation Learning Center	20.514	TCRP F17		296	—
NYS Governors Traffic Safety Committee	20.600	C002091		134,282	134,282
Research Foundation of City University of New York	20.701	C000000		4,302	—
Research Foundation of City University of New York	20.701	751440524		154,125	—
Research Foundation of City University of New York	20.701	N/A		8,621	—
Research Foundation of City University of New York	20.701	49111-23-23		6,263	—
Research Foundation of City University of New York	20.701	49111-27-23		29,536	—
Research Foundation of City University of New York	20.701	499975024		6,373	—

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<u>Federal grantor/federal subdivision or pass-through grantor</u>	<u>CFDA number</u>	<u>Pass-through Number</u>	<u>Direct expenditures</u>	<u>Pass-through expenditures</u>	<u>Total expenditures by CFDA and federal grantor</u>
Research Foundation of City University of New York	20.701	499972824	\$	39,484	—
Research Foundation of City University of New York	20.701	499971525		7,337	—
Research Foundation of City University of New York	20.701	499973225		10,924	—
Research Foundation of City University of New York	20.701	499974225		2,376	—
University Transportation Research Center	20.701	499975124		40,800	—
Research Foundation of City University of New York	20.701	555050603A		36,428	—
Research Foundation of City University of New York	20.701	751440224		89,517	436,086
Total U.S. Department of Transportation				562,265	2,762,868
U.S. Postal Service:					
U.S. Postal Service	22.000		795,855		—
Lockheed Martin	22.000	DW461522		130,346	926,201
Total U.S. Postal Service			795,855	130,346	926,201
Office of Personnel Management:					
Office of Personnel Management	27.000		877,493		877,493
Total Office of Personnel Management			877,493	—	877,493
National Aeronautics and Space Administration:					
Ames Research Center	43.000		376,620		—
Goddard Space Flight Center	43.000		2,836,454		—
John C. Stennis Space Center	43.000		296,367		—
Langley Research Center	43.000		93,285		—
Lyndon B. Johnson Space Center	43.000		609,455		—
Marshall Space Flight Center	43.000		23,662		—
Washington	43.000		87,462		—
Howard University	43.000	00065011000038170		7,722	—
Howard University	43.000	NNX10AQ11A		15,193	—
Jet Propulsion Laboratory	43.000	1472163		26,689	—
Jet Propulsion Laboratory	43.000	1473194		47,943	—
Jet Propulsion Laboratory	43.000	1500382		8,017	—
Unisys Corporation	43.000	RKR-000139		42,042	—
Rochester Institute of Technology	43.000	31164-01		58,860	—
CUBRC Incorporated	43.000	0781607S1		15,470	—
National Institute of Aerospace	43.000	NA		7,507	—
Space Telescope Science Institute	43.000	HSTGO1230801A		631	4,553,379
University of Miami	43.001	S130011		26,438	—
Georgia Institute of Technology	43.001	RD396G1		72,402	—
Remote Sensing Systems	43.001	6003		50,682	—
Cornell University	43.001	61420-9293		6,808	—
University of Kansas Center for Research Incorporated	43.001	FY2012-039		134,603	—
Jpl Caltech	43.001	1242685		6,429	—
Montana State University	43.001	G25008W1818		34,313	—
Jet Propulsion Laboratory	43.001	1373103		77	—
American Museum of Natural History	43.001	12009		1	—
Southwest Research Institute	43.001	A99188JD		22,321	—
Metron Aviation Incorporated	43.001	SUNY000752CN109		43,423	—
Planetary Science Institute	43.001	639		(1,509)	—
Cornell University	43.001	614209295		4,705	—
Virginia Institute of Marine Science	43.001	NNX11AD47G/715676-712683		12,458	—
Space Telescope Science Institute	43.001	HSTGO1220003A		879	—
Regents of the University of California	43.001	0995SNB140		52,461	—
Planetary Science Institute	43.001	693		15,179	—
Jet Propulsion Laboratory	43.001	1438780		72,626	—
Metron Aviation Incorporated	43.001	SUNY000899CN115		21,970	—
Johns Hopkins University Applied Physics Laboratory	43.001	103790		191	—
National Space Biomedical Research Institute	43.001	SMST01603		73,768	—
Smithsonian Astrophysical Observatory	43.001	GO213030X		6,197	—
Smithsonian Astrophysical Observatory	43.001	GO213023X		6,756	—
Arizona State University	43.001	1228404 12893		41,211	—
Jet Propulsion Laboratory	43.001	1457128		119,181	—
Jet Propulsion Laboratory	43.001	1467483		77,100	—
University of Washington	43.001	745792		29,354	—
Jet Propulsion Laboratory	43.001	1472792		35,138	—
TRS Technologies Incorporated	43.001	1404 – 120518315702		99,367	—
Jpl Caltech	43.001	1486677		20,357	—
National Space Biomedical Research Institute	43.001	SMST03401		206,510	—
Jet Propulsion Laboratory	43.001	1489318		38,500	—
Smithsonian Astrophysical Observatory	43.001	GO314060A		2,262	—
Johns Hopkins University Applied Physics Laboratory	43.001	118431		16,703	—
Cornell University	43.001	614209294		5,000	—
University of Maryland	43.001	Z662302		3,766	—
University of Maryland	43.001	Z669001		7,073	1,364,700
Rensselaer Polytechnic Institute	43.002	B10554		34,753	—
Georgia Institute of Technology	43.002	RD368G1		47,424	82,177
University of Maryland	43.009	Z671101		4,982	4,982
Total National Aeronautics and Space Administration			4,323,305	1,681,933	6,005,238
National Foundation on the Arts and Humanities:					
Institute of Museum and Library Services	45.000		123,391		—
National Endowment for the Arts	45.000		20,000		—
National Endowment for the Humanities	45.000		6,789		150,180
University of Vermont	45.163	26849SUB51336		19,323	19,323
Drexel University	45.312	219059-3629		5,640	—
Florida State University	45.312	R01713		7,987	13,627
Total National Foundation on the Arts and Humanities			150,180	32,950	183,130
National Science Foundation:					
National Science Foundation	47.000		51,459,682		—
Hudson Valley Community College	47.000	1003574		222,580	—
University of Illinois Urbana Champaign	47.000	20100658206		76,661	51,758,923
Engineering Grants	47.041		378		—
Engineering Grants	47.041		14,200		—
Engineering Grants	47.041		37,153		—
Clarkson University	47.041	80487		108	—
North Carolina State University	47.041	2008113802		71,254	—

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Yankee Environmental Systems Incorporated	47.041	N/A	\$	45,060	—
Sepragen Corporation	47.041	NA		89,949	—
University of Nevada Reno	47.041	CUREE Subcontract No 6		(423)	—
University of Washington	47.041	576722		6,780	—
Regents of the University of California	47.041	00006218/ PO#BB00065274		20,489	—
William Marsh Rice University	47.041	R3B592		2,360	—
Rochester Institute of Technology	47.041	30950-01		62	—
Board of Trustees of the Leland Stanford Junior University	47.041	24145260-46334-C		15,893	—
Cornell University	47.041	62101-9359		85,956	—
Northeastern University	47.041	50194778051		32,480	—
Research Foundation of City University of New York	47.041	40B66-A		74,529	—
Purdue University	47.041	NEES410131871		580,376	—
Board of Governors of the Colorado State University System	47.041	G49484		11,528	—
Mark Miles Consulting Incorporated	47.041	NA		39,845	—
Purdue University	47.041	NEES410131871		1,029,202	—
Board of Supervisors of Louisiana State University and Agricultural and Mechanical College	47.041	81656		24,783	—
Gouma Incorporated (Nano Grid Tech)	47.041	SBIRPhase1		6,735	—
University of Delaware	47.041	33803		44,013	—
Green Sulcrete	47.041	NA		14,501	—
Cornell University	47.041	6999010138		21,595	—
University of Tennessee	47.041	A130207S001		2,681	2,271,487
Scientific Research Project Support	47.047		13,000		—
Texas A M University	47.047	02S130238		14,871	27,871
Mathematical and Physical Sciences	47.049		14,430		—
Mathematical and Physical Sciences	47.049		2,024		—
Mathematical and Physical Sciences	47.049		69,456		—
Mathematical and Physical Sciences	47.049		107,589		—
Mathematical and Physical Sciences	47.049		6,846		—
Mathematical and Physical Sciences	47.049		6,999		—
Mathematical and Physical Sciences	47.049		33,787		—
Mathematical and Physical Sciences	47.049		85,728		—
Johns Hopkins University	47.049	2001597618		2,427	—
University of Notre Dame	47.049	NA		1,100	—
Johns Hopkins University	47.049	PHY0969510		964	—
University of Washington	47.049	750919		54,165	—
Rensselaer Polytechnic Institute	47.049	A12535		29,328	—
University of Texas at Dallas	47.049	100472		(11,984)	—
Regents of the University of California, Riverside	47.049	S-000527		31,563	—
Trustees of Princeton University	47.049	00002036		4,527	—
Pennsylvania State University	47.049	4860SUNYNSF5660		21,637	—
Regents of the University of California, Santa Cruz	47.049	S0183166		100,180	—
Columbia University	47.049	11GG006141 -PHY1119200 - 52519		95,146	—
Occidental College	47.049	G478		20,425	676,337
Geosciences	47.050		180,381		—
Geosciences	47.050		30,822		—
Brookhaven Science Associates LLC	47.050	NA		15,234	—
Arizona Board of Regents	47.050	124740		12,829	—
University of Hawaii	47.050	MA130046		26,255	—
University of Illinois Urbana Champaign	47.050	20100658201		8,867	—
Colorado State University	47.050	G36241		73,172	—
University of Illinois Urbana Champaign	47.050	20120097504		638,854	—
University of Southern California	47.050	33510313		17,586	—
University Corporation for Atmospheric Research	47.050	Z1312674		11,965	—
University of California at San Diego	47.050	41997522 S9000556		23,995	—
Woods Hole Oceanographic Inst	47.050	A101078		2,159	—
University of Illinois Urbana Champaign	47.050	20120097507 A0484		5,320	—
Brown University	47.050	00000360 PO#PUR-0002028		16,572	—
University of New Hampshire	47.050	14068		6,615	1,070,626
Computer and Information Science and Engineering	47.070		37,924		—
Computer and Information Science and Engineering	47.070		14,550		—
Computer and Information Science and Engineering	47.070		17,767		—
Pennsylvania State University	47.070	4910SUNYNSF8669		22,647	—
Harvey Mudd College	47.070	1314154401		27,119	—
College of New Jersey (TCNJ)	47.070	F1495SUNYF 1348275		2,688	122,695
Biological Sciences	47.074		3,942		—
Biological Sciences	47.074		1,692		—
Biological Sciences	47.074		23,823		—
Biological Sciences	47.074		3,316		—
Syracuse University	47.074	2645603378S01		26,623	—
Pennsylvania State University	47.074	4192-RFSUNY-NSF-2742		144,252	—
Washington State University	47.074	107476G002259		1,176	—
Columbia University	47.074	R01HL098037/PO#COLUM0000014928		(7,552)	—
Chicago Zoological Society	47.074	DEB1146198		65,935	—
Washington State University	47.074	NA		8,966	—
University of Rochester	47.074	416079G		34,854	—
New York Botanical Garden	47.074	NYBG120619705Cortland		15,170	—
Cary Institute of Ecosystem Studies	47.074	3248200201729		5,815	—
University of Vermont	47.074	25935SUNY		3,000	—
University of Missouri - St Louis	47.074	000355351		8,638	—
Cornell University	47.074	614689518		38,344	—
University of Tennessee	47.074	A130200S001		16,915	—
New York Botanical Garden	47.074	NYBG120619706Syracuse		20,321	415,230
Social, Behavioral, and Economic Sciences	47.075		5,174		—
Social, Behavioral, and Economic Sciences	47.075		11,060		—
Social, Behavioral, and Economic Sciences	47.075		10,446		—
Social, Behavioral, and Economic Sciences	47.075		15,559		—
Social, Behavioral, and Economic Sciences	47.075		67,456		—
Social, Behavioral, and Economic Sciences	47.075		3,286		—
Syracuse University	47.075	2565002884S01		17,843	—
Syracuse University	47.075	2706603627S01		15,440	—
Saint Francis University	47.075	SES1126175SMESSNER		43,555	—
University of California at San Diego	47.075	10321141-SUB		51,107	—
University of Cincinnati	47.075	008149/L13-4500067447		73,148	—
Columbia University	47.075	R01HL115941		18,009	—
Arizona Board of Regents	47.075	14319		6,500	—
University of New Hampshire	47.075	12017		4,443	—
Research Foundation of City University of New York	47.075	40C87A		26,697	369,723

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Education and Human Resources	47.076		\$ 7,046		—
Education and Human Resources	47.076		213,837		—
Education and Human Resources	47.076		(2,519)		—
Education and Human Resources	47.076		(2,308)		—
Education and Human Resources	47.076		5,219		—
Education and Human Resources	47.076		37,838		—
Education and Human Resources	47.076		180,463		—
Education and Human Resources	47.076		7,603		—
Education and Human Resources	47.076		296,428		—
Education and Human Resources	47.076		51,705		—
Education and Human Resources	47.076		79,761		—
Education and Human Resources	47.076		2,046,248		—
Education and Human Resources	47.076		347,451		—
Education and Human Resources	47.076		24,368		—
Education and Human Resources	47.076		2,865		—
Education and Human Resources	47.076		17,108		—
Education and Human Resources	47.076		111,237		—
Education and Human Resources	47.076		66		—
Education and Human Resources	47.076		512,313		—
Education and Human Resources	47.076		268,604		—
Education and Human Resources	47.076		19,608		—
Education and Human Resources	47.076		483,287		—
Education and Human Resources	47.076		524,424		—
Education and Human Resources	47.076		106,981		—
Education and Human Resources	47.076		223,103		—
Education and Human Resources	47.076		5,969		—
Education and Human Resources	47.076		62,322		—
Education and Human Resources	47.076		350,852		—
Education and Human Resources	47.076		97,148		—
Education and Human Resources	47.076		36,532		—
Education and Human Resources	47.076		157,237		—
Education and Human Resources	47.076		35,892		—
Education and Human Resources	47.076		216,281		—
Education and Human Resources	47.076		7,411		—
Education and Human Resources	47.076		76,423		—
Education and Human Resources	47.076		110,503		—
Education and Human Resources	47.076		83,432		—
Education and Human Resources	47.076		20,937		—
Education and Human Resources	47.076		120,330		—
Education and Human Resources	47.076		92,994		—
Education and Human Resources	47.076		17,709		—
Education and Human Resources	47.076		128,758		—
Education and Human Resources	47.076		57,946		—
Education and Human Resources	47.076		117,000		—
Education and Human Resources	47.076		187,879		—
Education and Human Resources	47.076		79,490		—
Education and Human Resources	47.076		38,549		—
Education and Human Resources	47.076		5,423		—
Education and Human Resources	47.076		389,353		—
Drexel University	47.076	235713		5,910	—
New York City Board of Education	47.076	WO1011406 RF20111		11,440	—
Stevens Institute of Technology	47.076	N/A		2,000	—
University of Maryland	47.076	Z415101		36,020	—
Colorado Seminary – University of Denver	47.076	SC37058A0100		66,751	—
Children's Hospital of Philadelphia	47.076	960649RSUB		113,484	—
Syracuse University	47.076	2499201836S01		39,592	—
Cornell University	47.076	582179649		1,185	8,335,488
William Marsh Rice University	47.079	R3C754		26,584	—
University of California at Los Angeles	47.079	2155GQA198		93,437	—
William Marsh Rice University	47.079	R3C75D		110,123	—
Michigan Technological University	47.079	1110090Z5 PO# P0090504		33,060	263,204
Office of Cyberinfrastructure	47.080		15,000		—
Virginia Polytechnic Institute and State Univ	47.080	47845519191		11,692	—
University of Tennessee	47.080	A120848S003		805	27,497
Trans-NSF Recovery Act Research Support (ARRA)	47.082		199,169		—
Trans-NSF Recovery Act Research Support (ARRA)	47.082		116,480		—
Trans-NSF Recovery Act Research Support (ARRA)	47.082		158,227		—
Trans-NSF Recovery Act Research Support (ARRA)	47.082		77		—
Trans-NSF Recovery Act Research Support (ARRA)	47.082		207,206		—
Trans-NSF Recovery Act Research Support (ARRA)	47.082		8,795		—
Trans-NSF Recovery Act Research Support (ARRA)	47.082		56,202		—
Trans-NSF Recovery Act Research Support (ARRA)	47.082		265,740		—
Board of Supervisors of Louisiana State University and Agricultural and Mechanical College (ARRA)	47.082	55666		3,546	—
Trustees of Princeton University (ARRA)	47.082	00002006		4,866	—
Trustees of Princeton University (ARRA)	47.082	00002039		36,552	1,056,860
Total National Science Foundation			61,364,472	5,031,469	66,395,941
Small Business Administration:					
Connecticut Center for Advanced Technology Incorporated	59.000	12K031		3,858	—
Connecticut Center for Advanced Technology Incorporated	59.000	12K031		7,791	11,649
Total Small Business Administration			—	11,649	11,649
U.S. Department of Veterans Affairs:					
U.S. Department of Veterans Affairs	64.000		22,839		—
Veterans Admin Western New York Healthcare Systems	64.000		562,980		—
Veterans Affairs Medical Center	64.000		13,789		599,608
Total U.S. Department of Veterans Affairs			599,608	—	599,608
Environmental Protection Agency:					
Environmental Protection Agency	66.000		993,519		—
Battelle Memorial Institute	66.000	227310		14,005	—
AMEC	66.000	EPW09028		694	—
AMEC	66.000	EPW09028		3,665	1,011,883
University of Connecticut	66.437	PO 22356 KFS 5617390		4,602	4,602
Adirondack Park Agency	66.461	N/A		70,211	—
Adirondack Park Agency	66.461	N/A		27,165	—
NatureServe	66.461	N/A		5,709	103,085
Central Michigan University	66.469	GL00E006120		192,999	—

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University of Illinois Urbana Champaign	66.469	20100393202 A1571	\$	9,006	—
Ducks Unlimited Incorporated	66.469	USNY1702		22,262	—
Indiana University	66.469	GL00E766010/Hites4340133		6,563	—
Cornell University	66.469	6850010015		248,999	—
Clarkson University	66.469	375325741		82,432	—
Clarkson University	66.469	375325742 PO CLKSN70630		281,837	844,098
Sonoma Technology Incorporated	66.500	910100		(8,223)	—
Sonoma Technology Incorporated	66.500	910404404		44,170	35,947
University of Michigan	66.509	TBA		2,848	2,848
NYS Department of Environmental Conservation	66.600	AMO6907		162,989	—
NYS Department of Environmental Conservation	66.600	AMO6907		507	163,496
NYS Department of Environmental Conservation	66.605	AM09028		24,895	—
NYS Department of Environmental Conservation	66.605	N/A		3,312	28,207
Total Environmental Protection Agency			993,519	1,200,647	2,194,166
U.S. Department of Energy:					
U.S. Department of Energy	81.000		23,926,504		—
Argonne National Laboratory	81.000		17,493		—
Fermi National Accelerator Laboratory	81.000		85,198		—
Los Alamos National Laboratory	81.000		157,617		—
National Energy Technology Laboratory	81.000		189,962		—
National Nuclear Security Administration	81.000		248,009		—
Brookhaven Science Associates LLC	81.000	239355		34,582	—
Bechtel Marine Propulsion Corporation	81.000	7015811		59,111	—
Pacific Northwest National Laboratory	81.000	225511		509	—
Regents of the University of California	81.000	6978802		178,194	—
URS Energy and Construction Incorporated	81.000	RES1301845		42,722	—
UT Battelle LLC	81.000	4000120146		25,318	—
Battelle Memorial Institute	81.000	209110		116,483	—
Regents of the University of California, Lawrence Berkeley National Laboratory	81.000	7063673		67,101	—
URS Energy and Construction Incorporated	81.000	RES1302652		26,564	25,175,367
Alliance for Sustainable Energy LLC	81.049	AGG22219401		1,579	—
Alliance for Sustainable Energy LLC	81.049	AGG32227201		9,061	—
President and Fellows of Harvard College	81.049	1331835041153		88,762	—
Aegis Technology	81.049	Agreement 09061228		8,144	—
Central Michigan University	81.049	Subaward Agreement 621191		117,074	—
Rensselaer Polytechnic Institute	81.049	A12141		81,142	—
University of Houston	81.049	DESC0001284		65,289	—
Brookhaven Science Associates LLC	81.049	162350		4,785	—
University Corporation for Atmospheric Research	81.049	Z1155381		(13,325)	—
Brookhaven Science Associates LLC	81.049	200263		88,565	—
Brookhaven Science Associates LLC	81.049	200934		15,259	—
Brookhaven Science Associates LLC	81.049	205534		40,495	—
Materials Development Incorporated	81.049	MDISBU101101/DE-SC0004648		37,627	—
University of Texas at Arlington	81.049	2608013661		20,263	—
Battelle	81.049	174303		28,728	—
Sandia National Laboratories	81.049	1275961		259,691	—
Brookhaven Science Associates LLC	81.049	219291		84,518	—
Brookhaven Science Associates LLC	81.049	218213		2,078	—
Brookhaven Science Associates LLC	81.049	219169		328,177	—
Brookhaven Science Associates LLC	81.049	227554		18,715	—
Colorado State University	81.049	G46131		54,084	—
Brookhaven Science Associates LLC	81.049	223265		69,182	—
Battelle Energy Alliance LLC	81.049	00129362		120,705	—
Reservoir Labs Incorporated	81.049	DESC0009678		27,214	—
Brookhaven Science Associates LLC	81.049	241375		157,140	—
Brookhaven Science Associates LLC	81.049	246940		114,442	—
Sydor Instruments Limited Liability Corporation	81.049	Sydor		19,840	—
Brookhaven Science Associates LLC	81.049	245116		31,122	—
Brookhaven Science Associates LLC	81.049	249105		74,850	—
ThermoLift Incorporated	81.049	DEFOA0000823		33,641	—
Brookhaven Science Associates LLC	81.049	256725		179,952	—
Brookhaven Science Associates LLC	81.049	255667		33,906	—
Sandia National Laboratories	81.049	1431089		3,708	—
Brookhaven Science Associates LLC	81.049	263422		25,236	—
Reservoir Labs Incorporated	81.049	DESC0009678 ReservoirPUMA		25,323	2,256,972
South Dakota State University	81.079	3TD155		117,136	117,136
Alliance for Sustainable Energy LLC	81.087	ZGB04064201		40,951	—
Cold Spring Harbor Laboratory	81.087	51030212		1,866	42,817
Carnegie Institution of Washington	81.112	41046922		70,210	—
University of Rochester	81.112	415939G		180,421	—
University of Rochester	81.112	416231G		108,582	359,213
Lawrence Berkeley National Laboratory	81.117	6951372		277,576	277,576
University of Minnesota (ARRA)	81.122	A000211512		5,236	—
Long Island Power Authority (ARRA)	81.122	DEOE0000220		614,900	—
Long Island Power Authority (ARRA)	81.122	DEOE0000220		1,385,334	2,005,470
Total U.S. Department of Energy			24,624,783	5,609,768	30,234,551
U.S. Department of Education:					
U.S. Department of Education	84.000		3,623,708		3,623,708
Michigan Technological University	84.116	090367Z1		26,523	26,523
Duke University	84.133	Subaward No: 343-0053		33,410	—
Carnegie Mellon University	84.133	Subrecipient No 1100028-221807		221,684	—
SEDL	84.133	058109		1,982	—
SEDL	84.133	058914		5,928	—
Carnegie Mellon University	84.133	1100047319444		61,194	—
Luna Innovations Incorporated	84.133	2998ARM1SSUNY		10,563	—
Luna Innovations Incorporated	84.133	2998ARM1SSUNY		10,354	345,115
City School District of Albany	84.165	U165A100043		102,781	—
City School District of Albany	84.165	U165A10004312		98,141	200,922
Broome Tioga BOCES	84.184	USDOE Award Q184L090208		1,149	—
Broome Tioga BOCES	84.184	USDOE Award Q184L090208-12		15,565	16,714
Rutgers University	84.305	Subaward No. 3585		21,965	—
Colorado Seminary – University of Denver	84.305	SC37034A0200		239,080	261,045
University of Connecticut	84.324	PO# 5009/KFS#5258180		122,535	—
Canisius College	84.324	NA		163,656	286,191
Total U.S. Department of Education			3,623,708	1,136,510	4,760,218

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National Archives and Records Administration:					
Nat'l Historical Publications & Records Commission	89.000		\$ 57,575		57,575
Total National Archives and Records Administration			57,575	—	57,575
U.S. Department of Health and Human Services:					
Administration for Children and Families	93.000		73,048		—
Agency for Healthcare Research and Quality	93.000		718,445		—
Centers for Disease Control and Prevention	93.000		2,555,138		—
Eunice Kennedy Shriver National Institute of Child Health & Human Dev	93.000		4,988,389		—
Fogarty International Center	93.000		275,023		—
Health Resources and Services Admin	93.000		119,185		—
National Cancer Institute	93.000		12,665,432		—
National Center for Research Resources	93.000		1,160,178		—
National Eye Institute	93.000		9,323,207		—
National Heart Lung and Blood Institute	93.000		11,171,012		—
National Human Genome Research Institute	93.000		1,072		—
National Inst of Arthritis Musculoskeletal & Skin	93.000		3,626,265		—
National Inst of Biomedical Imaging and Bioenginee	93.000		3,788,981		—
National Inst of Diabetes Digestive Kidney Disease	93.000		8,647,854		—
National Inst of Environmental Health Sciences	93.000		3,207,661		—
National Inst of Neurological Disorders & Stroke	93.000		8,888,875		—
National Inst on Deafness & Other Comm Disorders	93.000		3,176,241		—
National Institute for Alcohol Abuse & Alcoholism	93.000		15,831,855		—
National Institute for Nursing Research	93.000		108,444		—
National Institute Occupational Safety & Health	93.000		1,283,834		—
National Institute of Allergy & Infectious Disease	93.000		14,679,564		—
National Institute of Dental & Craniofacial Res	93.000		6,477,444		—
National Institute of General Medical Sciences	93.000		21,225,337		—
National Institute of Health	93.000		949,446		—
National Institute of Mental Health	93.000		11,700,770		—
National Institute on Aging	93.000		2,284,440		—
National Institute on Drug Abuse	93.000		6,801,307		—
National Institute on Minority Health & Health Disparities	93.000		1,318,167		—
National Institutes of Health Office of the Director	93.000		1,293,984		—
Nat'l Ctr for Complementary & Alternative Medicine	93.000		112,553		—
National Library of Medicine	93.000		97,946		—
Substance Abuse & Mental Health Services Admin	93.000		110,412		—
Columbia University	93.000	N/A		353	—
University of South Florida	93.000	PO 0000145782		37,682	—
Axio Research Corporation	93.000	AIM HIGH Study		8,191	—
Temple University of the Commonwealth System of Higher Education	93.000	3101070577502		9,223	—
Stanford University	93.000	60274290-106517-B		219,589	—
National Foundation for the Centers for Disease Control and Prevention Incorporated	93.000	689Buffalo		41,400	—
Health Research Inc.	93.000	473601		118,804	—
Materials Development Incorporated	93.000	MDISBU101001		560	—
Auxagen Incorporated	93.000	2079363		10,821	—
Scripps Research Institute	93.000	521705		4,290	—
KeraNetics Limited Liability Corporation	93.000	HHS0100201200007C		102,101	—
Feinstein Institute for Medical Research	93.000	SUNY01 NONARRA PO:GRT487		26,374	—
Feinstein Institute for Medical Research	93.000	SUNY01 NONARRA		85,676	—
Brigham and Womens Hospital	93.000	CALGB ID 323 Site NY141		74,490	—
University of South Florida	93.000	1U01DK61055		996	—
Cherokee Nation Technology Solutions LLC	93.000	CNTSSUNY001		796,683	—
University of South Florida	93.000	1U01DK61055		10,082	—
Massachusetts General Hospital	93.000	N/A		4,901	—
Cherokee Nation Technology Solutions LLC	93.000	NA		215,996	—
Research Foundation for Mental Hygiene	93.000	1R21MH101564-01		30,084	—
ABT Associates Incorporated	93.000	42385		10,836	160,470,641
Health Research Inc.	93.073	15073901		47,961	47,961
Trustees of the University of Pennsylvania	93.077	561560		22,602	22,602
Retreat Incorporated	93.086	NA		(479)	—
Retreat Incorporated	93.086	90FK0047		66,217	—
Retreat Incorporated	93.086	90FK0047		72,901	138,639
Orange County Dept of Mental Health	93.104	N/A		54,617	—
Orange County Dept of Mental Health	93.104	N/A		115,550	—
Coordinated Care Services Inc	93.104	n/a		2,040	—
Coordinated Care Services Inc	93.104	N/A		141,251	—
Chautauqua County Department of Mental Hygiene	93.104	N/A		137,591	451,049
Health Research Inc.	93.110	4170-03		20,283	—
Health Research Inc.	93.110	415603		95,038	—
Mount Sinai School of Medicine	93.110	025365414609		2,548	—
Mount Sinai School of Medicine	93.110	025365424609		20,233	138,102
Wayne State University	93.113	WSU11104		136,900	—
Alaska Community Action on Toxics	93.113	NIESR01UNIVERSITYATALBANY		21,580	—
University of Iowa	93.113	1001153009		228,562	—
Health Research Inc.	93.113	418801		30,598	—
Regents of the University of Colorado	93.113	FY13659001		14,129	—
Regents of the University of Minnesota	93.113	P003982601		57,991	—
University of Medicine & Dentistry of New Jersey	93.113	3R01ES0101599104S1		315	—
University of Kansas Medical Center Research Institute Incorporated	93.113	QK850573		186,364	—
Syracuse University	93.113	SP258651S01		8,531	—
University of New England	93.113	23000171745		2,704	—
Syracuse University	93.113	SP25865103330S02		24,857	712,531
University of Bristol	93.121	5R01DE01669004		(20)	—
Forsyth Institute	93.121	21127UBUFF-2335		565,260	—
Massachusetts Institute of Technology	93.121	5710003093		45	—
Curators of the University of Missouri Kansas City at Kansas City	93.121	0039118		208,692	—
Forsyth Institute	93.121	21127UBUFF-2335		56,400	—
Regents of the University of Minnesota	93.121	P001901002		109,044	—
University of Pennsylvania	93.121	558734/2819514		76,162	—
Regents of the University of Minnesota	93.121	P001901002		6,849	—
University of Pittsburgh	93.121	00262361205171		13,848	—
University of North Carolina at Chapel Hill	93.121	532962		36,548	—
New York University	93.121	F714602		285,466	—
Imagination Software Corporation	93.121	NA		141,946	—
Regents of the University of Minnesota	93.121	P001901002		103,494	—
University of North Carolina at Chapel Hill	93.121	532962		343,797	—
West Virginia Univ. Research Corp. on behalf of West Virginia Univ.	93.121	12842UB		91,860	—

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Trustees of Indiana University	93.121	IN4688353SUNY	\$	61,718	—
Indiana University	93.121	TBD		6,258	—
GlycoMira Limited Liability Corporation	93.121	NA		9,185	—
Materials Development Incorporated	93.121	MDISBU91301/1R43DE02297901A1		17,019	2,133,571
Upstate New York Transplant Services Inc	93.134	NA		115,364	—
NY Alliance for Donation	93.134	R39OT220580200		973	—
NY Alliance for Donation	93.134	D71HS22062		17,809	—
Board of Trustees of the University of Illinois	93.134	20120240901		89,963	224,109
University of Rochester	93.135	416006G		51,220	—
University of Rochester	93.135	416324G		85,743	136,963
University of Maryland	93.136	Z022901		11,743	—
Research Institute at Nationwide Childrens Hospital	93.136	524338		1,577	—
Research Institute at Nationwide Childrens Hospital	93.136	524338		26,841	—
University of Rochester	93.136	UR Account 415560-G		1,188	—
University of North Carolina at Chapel Hill	93.136	539502		5,012	46,361
Columbia University	93.145	3GG00640402		10,743	—
Columbia University	93.145	3 (GG00640403)		70,734	81,477
Erie County Medical Center	93.153	H12HA24856		12,594	—
Erie County Medical Center	93.153	H12HA24856		61,907	—
Westat Corporation	93.153	N01HD33345		5,786	—
Westat Corporation	93.153	N01HD33345		45,772	—
Westat Corporation	93.153	HHSN267200800001C 8530S030		5,732	—
Westat Corporation	93.153	HHSN267200800001C 8530S030		115,622	—
Westat Corporation	93.153	HHSN275201300003C		98,149	—
Westat Corporation	93.153	HHSN275201300003C		665,152	1,010,714
Lawrence Berkeley National Laboratory (ARRA)	93.172	Subcontract No. 7001829		7,405	7,405
Cornell University	93.173	Subaward 59774-9213		43,936	—
Purdue University	93.173	4102-22866		14,829	—
Jackson Laboratory	93.173	647819		56,641	—
Board of Regents of the University of Wisconsin System	93.173	411K972		232,593	—
MicroTransponder Incorporated	93.173	MTT02		38,229	—
University of California at San Diego	93.173	10293738004		1,231	—
Syracuse University	93.173	2627203362S01		17,710	405,169
Mount Sinai School of Medicine	93.184	025893314609		(960)	—
Mount Sinai School of Medicine	93.184	025893314609		23,130	22,170
University of Michigan	93.226	3002430434		21,403	—
Virginia Commonwealth University	93.226	PD302776SC103991		19,257	—
Board of Regents of the University of Oklahoma Health Sciences Center	93.226	C1077501		1,809	42,469
University of South Carolina	93.233	122004 PO#41574		949	949
Northeastern University	93.242	50202678050		186,534	—
University of Rochester	93.242	416155G		41,202	—
Tetra Discovery Partners	93.242	R44MH091791		26,651	—
RTI International	93.242	2340021265451723L		21,179	—
University of Southern California	93.242	H46585/PO#50006060		1,225	—
Columbia University	93.242	POG03479/4GCG00572703		74,315	—
Columbia University	93.242	5GG00572705/POG03481		15,181	—
New York University School of Medicine	93.242	PO M130033219 1201978		24,346	—
Columbia University	93.242	G04340 109443 5GCG00572706		274,264	—
Research Foundation for Mental Hygiene	93.242	9031742B PO#95006		28,999	—
University of Southern California	93.242	H39738		(1,451)	—
Harvard School of Public Health	93.242	23590114352 1R01MH08759001		53,337	—
University of North Carolina at Chapel Hill	93.242	532720		35,484	—
University of California at San Diego	93.242	10293040004		13,090	—
Broad Institute Incorporated	93.242	52107625500000582		175,000	—
University of California at San Diego	93.242	10293040006		70,404	—
Trustees of the University of Pennsylvania	93.242	562318		33,801	—
Oregon Health & Science University	93.242	1002908RFSUNY		8,642	1,082,203
Addictions Care Center of Albany Incorporated	93.243	N/A		47,827	—
Research Foundation of City University of New York	93.243	7F044B		4,359	52,186
University of Cincinnati	93.262	005180		1,058	—
University of Pittsburgh	93.262	00210481221853		8,282	—
University of Massachusetts Lowell	93.262	S5113000021503 PO:0005248760		1,474	10,814
Research Foundation for Mental Hygiene	93.273	112113		14,328	—
Yale University	93.273	M114A11767A09390		15,806	30,134
University of Maryland	93.279	Z016101		379,339	—
Trustees of the University of Pennsylvania	93.279	558986		5,475	—
Medical University of South Carolina	93.279	MUSC12116		7,959	—
Trustees of the University of Pennsylvania	93.279	561377		170,968	—
Drexel University	93.279	2325605826		46,182	—
Mount Sinai School of Medicine	93.279	025543514609		41,412	—
New York University School of Medicine	93.279	M140025755 - 102691		27,417	—
Icahn School of Medicine at Mount Sinai	93.279	025543514609		16,936	—
University of Texas Health Science Center	93.279	0009050		93,137	—
National Development and Research Institutes Incorporated	93.279	#636 PO# 000437		19,991	808,816
Health Research Inc.	93.283	15043905		21,565	—
Health Research Inc.	93.283	15064302		9,098	—
Health Research Inc.	93.283	3152-08		8,631	—
Cerner Corporation	93.283	200201141872		94,023	—
University of South Carolina	93.283	18130FA19		86,109	—
University of South Carolina	93.283	11520FB35		170,234	—
Health Research Inc.	93.283	477901		89,916	479,576
Washington University St Louis	93.286	WUHT1205		34,359	—
Brigham and Womens Hospital	93.286	106368		155,259	—
Brigham and Womens Hospital	93.286	106370		10,577	—
Brigham and Womens Hospital	93.286	109443		55,337	—
Louisiana State University	93.286	54957 R01EB01008701 POS4957		270,922	526,454
University of Rochester	93.297	416226-G		43,727	43,727
University of Delaware	93.310	24730		67,884	—
Board of Trustees of the Leland Stanford Junior University	93.310	26491520-33465-L		71,447	—
Columbia University	93.310	1GG009052 PO G03737		63,725	203,056
University of Rochester	93.350	415927G		(1,109)	—
University of Rochester	93.350	416311-G		24,137	—
University of Rochester	93.350	416322G		16,483	39,511
Oregon State University	93.351	PO362AA		34,947	34,947
NexBio Incorporated	93.360	DASA181204		785	—
Arterocyte Incorporated	93.360	2013101601		149,865	150,650
Warren Stress Management	93.361	2R42NR010496		114,520	114,520
Oregon Health & Science University	93.389	9007356STO		44,972	44,972

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Health Research Inc.	93.393	15073601	\$	2,427	—
Health Research Inc.	93.393	55-7901-03/6-01		21,731	—
Health Research Inc.	93.393	55098901		236,816	—
Health Research Inc.	93.393	10601		25,497	—
Health Research Inc.	93.393	73-01		51,309	—
Health Research Inc.	93.393	5401		12,372	—
Health Research Inc.	93.393	7501		26,740	—
Health Research Inc.	93.393	9401		1,464	—
Health Research Inc.	93.393	10701		4,020	—
Health Research Inc.	93.393	11501		91,813	—
Washington University	93.393	WU14213		16,469	—
Trustees of Boston University	93.393	4500001512		45,162	—
American College of Surgeons Oncology Group	93.393	SITE 094 – 184		9,405	—
American College of Surgeons Oncology Group	93.393	SITE 094 – 184		2,928	—
Medicon Incorporated	93.393	2R42CA153662		65,522	—
Northwestern University	93.393	60031963SUNY		28,691	642,366
Health Research Inc.	93.394	431801		63,412	—
Trustees of Columbia University	93.394	2 (Acct. #5-30079)		44,161	—
Trustees of the University of Pennsylvania	93.394	557445		10,166	—
Health Research Inc.	93.394	12501		11,209	—
Vitatex Inc	93.394	1R44CA14004701		84,099	—
Purdue University	93.394	410238842		23,289	236,336
Cornell University	93.395	576119120		23,110	—
Health Research Inc.	93.395	4301		762	—
Health Research Inc.	93.395	9201		2,926	—
Health Research Inc.	93.395	55-0818-18 / 28-01		39,870	—
Health Research Inc.	93.395	5201		17,488	—
Health Research Inc.	93.395	1-01		14,395	—
Health Research Inc.	93.395	2-01		11,531	—
Health Research Inc.	93.395	1501		21,665	—
Health Research Inc.	93.395	2002		82,291	—
Regents of the University of Michigan	93.395	3002300437		34,284	—
For Robin Incorporated	93.395	R41CA176951		84,455	—
Health Research Inc.	93.395	4902		34,657	—
NSABP Foundation Incorporated	93.395	PFED25STO01		466	—
NSABP Foundation Incorporated	93.395	TFED36 37 38 39-345		22,984	—
National Childhood Cancer Foundation	93.395	14052 985431158		30,066	—
Gynecologic Oncology Group	93.395	27469070		81,500	—
Chem-Master International Incorporated	93.395	2R44CA13239602A1		6,726	—
John Wayne Cancer Institute	93.395	CA029605		3,250	—
Children's Hospital of Philadelphia	93.395	U10CA098543		26,786	—
Gynecologic Oncology Group	93.395	27469056		30,726	—
Frontier Science and Technology Research Foundation Incorporated	93.395	PSASUNW500 CA211115		2,019	—
West Virginia University	93.395	10376SUNY5D43CA153707		73,995	645,952
Health Research Inc.	93.396	3901		23,411	—
Health Research Inc.	93.396	10801		20,382	—
Advanced BioMedical Machines Incorporated	93.396	NA		50,910	—
Albert Einstein College of Medicine	93.396	95263883		14,868	109,571
Mount Sinai School of Medicine	93.397	025840614609		55,759	—
Board of Regents of the University of Wisconsin System	93.397	397K526		76,110	—
Health Research Inc.	93.397	3801		192,409	—
Cornell University	93.397	58407-9121		49,195	—
Health Research Inc.	93.397	7801		18,600	—
Health Research Inc.	93.397	8501		19,065	—
Health Research Inc.	93.397	7802		14,552	—
Health Research Inc.	93.397	8502		32,512	—
University of Pittsburgh	93.397	00357621238411		36,722	—
Health Research Inc.	93.397	12401		37,595	—
Health Research Inc.	93.397	12601		15,951	548,470
Southwest Oncology Group	93.399	CA37429		(12,011)	(12,011)
NYS Office of Children and Family Services	93.558	C004529		277,044	—
NYS Office of Children and Family Services	93.558	C004756		1,000,982	1,278,026
NYS Office of Children and Family Services	93.590	C004527		133,390	—
NYS Office of Children and Family Services	93.590	C004755		65,108	198,498
Yale New Haven Health Services Corporation	93.624	N/A		6,743	6,743
NYS Developmental Disabilities Planning Council	93.630	T024307		11,124	11,124
University of Southern Maine	93.652	64814814		13,762	13,762
University of Rochester	93.701	100049-N		34,989	—
Hospital for Special Surgery (ARRA)	93.701	NA		181,607	—
Johns Hopkins University (ARRA)	93.701	2001282212		124	—
University of Rochester (ARRA)	93.701	100050D 1DP4GM09685001		21,387	—
Emmes Corporation (ARRA)	93.701	N/A		41,424	—
Children's Hospital of Philadelphia	93.701	U10CA098543		39,573	319,104
Brigham and Womens Hospital	93.704	106458		52,309	—
Brigham and Womens Hospital	93.704	106458		226,662	278,971
Health Research Inc. (ARRA)	93.715	35004101		102,132	—
Michigan State University (ARRA)	93.715	RC060967SUNY		20,951	—
Board of Regents of the University of Oklahoma Health Sciences Center (ARRA)	93.715	C1067201		718	—
American College of Radiology	93.715	ACRIN4701		7,493	131,294
Mayo Clinic Rochester Minnesota (ARRA)	93.728	63101087		85,164	85,164
NYS Office For People with Dev Disabilities	93.778	T024507		1,150	1,150
New England Research Institute	93.837	N/A		2,601	—
Fred Hutchinson Cancer Research Center	93.837	0000772463		25,625	—
University of Iowa	93.837	1001144724		7,587	—
University of Rochester	93.837	529437		(420)	—
Mount Sinai School of Medicine	93.837	1R01HL07198801A1		887	—
Columbia University	93.837	586636		(1)	—
University of Pittsburgh	93.837	0015124 116763		1,374	—
Columbia University	93.837	P01HL047540		98,419	—
Yale University	93.837	VIRGO		899	—
Columbia University	93.837	R01HL077612		8,932	—
Columbia University	93.837	R01AG035015		2,038	—
Columbia University	93.837	R01HL094423		12,739	—
Columbia University	93.837	415494C001		1,050	—
University of Rochester	93.837	576630 POG02882		(20)	—
Trustees of Columbia University in the City of New York	93.837	0022964 1198353		9,634	—
University of Pittsburgh	93.837	GG00659007		1	—
Columbia University	93.837	GG00659007		1	—
Brigham and Womens Hospital	93.837	PREDETERMINE		159	—

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Baylor College of Medicine	93.837	5600856261	\$	29,820	—
Columbia University	93.837	GG006590-16 G04096		86,827	—
Columbia University	93.837	1GG00659015		556,240	—
Trustees of Columbia University in the City of New York	93.837	PO G03820		54,536	—
Trustees of the University of Pennsylvania	93.837	556681 3028267		41,850	—
Johns Hopkins University	93.837	2001954742		14,240	—
Advanced Diamond Technologies Incorporated	93.837	2R44HL10853402		24,173	—
Columbia University	93.837	GG006590 16 G04096		28,347	—
Columbia University	93.837	1GG00659015		179,363	—
Trustees of the University of Pennsylvania	93.837	556681/3181801		53,518	—
University of Rochester	93.837	415711G003		3,580	—
Johns Hopkins University	93.837	1R01HL6892701		286	—
University of Chicago	93.837	R01HL05919944709		89,580	—
University of Rochester	93.837	451288G 5R21HL09280103		186,798	1,520,662
University of Rochester	93.838	415605-G		123,116	—
Johns Hopkins University	93.838	2001123424/2001124561		22,745	—
Temple University of the Commonwealth System of Higher Education	93.838	400591-05775-02/P0106008		5,160	—
University of Rochester	93.838	PO# 416301 / UR# 5-26108		20,879	—
Johns Hopkins University	93.838	2001124561		(470)	—
Johns Hopkins University	93.838	2001123424		26,124	—
Childrens Hospital of Boston	93.838	74159		3,468	—
University of Rochester	93.838	5-24166 415782G		88,545	—
Regents of the University of California	93.838	RESCINDED-TBD		(17,735)	—
Regents of the University of California	93.838	20130221001		31,829	—
Regents of the University of California	93.838	Sub 5912sc - U01HL094338		2,750	—
Oklahoma Medical Research Foundation	93.838	N/A		41,151	347,562
Saint Louis University	93.839	1-R01HL101917-03		16,210	—
Health Research Inc.	93.839	55-0993-02/17-01		103,509	—
Brigham and Womens Hospital	93.839	107275		65,781	—
University of Iowa	93.839	W000507247		62,061	—
Saint Louis University	93.839	2R01HL062565		74,311	—
Case Western Reserve University	93.839	N01HC92558		187,714	—
Cincinnati Childrens Hospital Medical Center	93.839	132981 P03100342084		47,295	556,881
Michigan State University	93.847	RC060037SUNY		8,443	—
Regents of the University of Colorado	93.847	FY14688003		7,388	—
Rensselaer Polytechnic Institute	93.847	A12224		80	—
Connecticut Children's Medical Center	93.847	1217929610		9,437	—
Regents of the University of California Los Angeles	93.847	1556GQC024		106,694	—
Regents of the University of Michigan	93.847	3002597885		11,339	—
Seattle Childrens Hospital	93.847	10781SUB		103,158	—
ICET Incorporated	93.847	2143ARM2SICET		16,376	—
Utah State University	93.847	11039401		30,435	—
Theragnostic Technologies Incorporated	93.847	1R41DK100205		59,191	—
George Washington University	93.847	5GRD1213EA21		153,167	—
George Washington University	93.847	5GRD1314EA21		380,458	—
Johns Hopkins University	93.847	5R01DK1930236		63,294	—
George Washington University	93.847	STOPP2D 2U01DK06123008		748	—
George Washington University	93.847	NA		253,473	—
Connecticut Children's Medical Center	93.847	1317929607		528	—
Joslin Diabetes Center	93.847	N/A		6,889	1,211,098
Loyola University Stritch School of Medicine	93.853	203676		75,325	—
Regenerative Research Foundation	93.853	5009RFSUNY		39,424	—
University of Medicine & Dentistry of New Jersey	93.853	99-705		19,208	—
Medical University of South Carolina	93.853	MUSC08-140		8,820	—
Yale University	93.853	A07593 (M10A10547)		13,988	—
Regents of the University of California, San Francisco	93.853	5845sc		1,983	—
Cincinnati Childrens Hospital Medical Center	93.853	107759		14,685	—
Johns Hopkins University	93.853	2000795137		19,354	—
Emmes Corporation	93.853	NA		40,435	—
University of Miami	93.853	NA		5,850	—
Beth Israel Deaconess Medical Center	93.853	01024736		8,191	—
Board of Trustees of the University of Alabama Birmingham	93.853	000377209052		76,790	—
Trustees of Columbia University in the City of New York	93.853	16GG00632603		700	—
Tetra Discovery Partners	93.853	U01NS078034		42,179	—
Medical University of South Carolina	93.853	MUSC08110		11,563	—
Medical University of South Carolina	93.853	MUSC09-057		25,652	—
Regents of the University of California	93.853	6873sc		533	—
Regents of the University of California	93.853	6873-2		38,438	—
Rush University Medical Center	93.853	1R01NS08481701		24,858	—
University of California at Los Angeles	93.853	1580GRD415 4414371S29131		13,221	—
Regents of the University of Michigan	93.853	3002348608SHN		630	—
Regents of the University of Michigan	93.853	3002418981PNT		2,838	—
Yale University	93.853	A09014 M10A10548 IRIS		5,368	—
Hybernia Medical LLC	93.853	R41NS067964		36,406	—
Massachusetts General Hospital	93.853	5U01NS049640		(16,465)	—
Massachusetts General Hospital	93.853	U01NS04964008		17,165	—
Massachusetts General Hospital	93.853	219714		25,166	—
Massachusetts General Hospital	93.853	221328		2,032	—
Convergence Medical Devices	93.853	R44NS070385SUNY1		41,683	—
Convergence Medical Devices	93.853	R44NS070385SUNY1		596	—
Massachusetts General Hospital	93.853	221328		17,260	—
Massachusetts General Hospital	93.853	219714		37,651	—
Massachusetts General Hospital	93.853	223370		11,580	—
Massachusetts General Hospital	93.853	N/A		398	663,505
Trustees of the University of Pennsylvania	93.855	558189		22,546	—
Brigham and Womens Hospital	93.855	N/A		17,233	—
Trustees of the University of Pennsylvania	93.855	558189		49,190	—
Brigham and Womens Hospital	93.855	110404		23,497	—
University of Rhode Island	93.855	120611_0002866/ 0000036285		7,434	—
Brigham and Womens Hospital	93.855	108082		188,828	—
Brigham and Womens Hospital	93.855	108188		128,659	—
Brigham and Womens Hospital	93.855	108085		7,006	—
University of Texas Southwestern Medical Center at Dallas	93.855	120601RG0000000278		62,071	—
Brigham and Womens Hospital	93.855	108402		189,975	—
University of Rochester	93.855	416041G		18,342	—
University of Rhode Island	93.855	090320133756 PO64137		60,398	—
Brigham and Womens Hospital	93.855	109925		97,621	—
Brigham and Womens Hospital	93.855	110007		900	—

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Mayo Clinic Rochester Minnesota	93.855	63374230	\$	38,322	—
University of Rochester	93.855	416340		39,870	—
Brigham and Womens Hospital	93.855	110285		93,367	—
Albert Einstein College of Medicine	93.855	95266984		7,296	—
Codagenix Incorporated	93.855	1R41AI10042801		110,636	—
Medical University of South Carolina	93.855	MUSC12125		73,468	—
Columbia University	93.855	7G0006382		348,618	—
Johns Hopkins University	93.855	2001603365		52,044	—
Johns Hopkins University	93.855	2001602986		25,999	—
Brigham and Womens Hospital	93.855	108402		86,856	—
Albert Einstein College of Medicine	93.855	310556		26,090	—
Johns Hopkins University	93.855	2UM1AI06863208		151,488	—
Luna Innovations Incorporated	93.855	1847NIH2SSUNY		7,851	—
Brigham and Womens Hospital	93.855	104684		18,551	—
University of Rhode Island	93.855	1205110002866		13,604	—
Trudeau Institute Incorporated	93.855	N/A		42,705	—
Brigham and Womens Hospital	93.855	1081771R56AI09188901A1		193,209	—
University of Rhode Island	93.855	0904201133756		94,257	—
Case Western Reserve University	93.855	RES507056		25,070	2,323,001
RTI Health Solutions	93.856	63040		20,891	—
Colorado State University	93.856	G78131		85,894	106,785
Brigham and Womens Hospital	93.859	106823		55,029	—
Regents of the University of California	93.859	6914226		6,134	—
Albany Medical College	93.859	5R01GM09032507		2,019	—
University of Illinois Urbana Champaign	93.859	20080169801		71,378	—
Hauptman Woodward Medical Research Institute Inc	93.859	6200		51,047	—
Rutgers University	93.859	S1479920		68,676	—
Q Chem, Inc.	93.859	2R44GM084555-02		23,015	—
University of Delaware	93.859	27996		100,826	—
Rutgers University	93.859	S1713924		26,173	—
Arizona Board of Regents	93.859	72279		86,867	—
Regents of the University of California	93.859	00008091		8,257	—
University of California at San Diego	93.859	S9000280		74,350	—
Rutgers University	93.859	S1887800		344,640	—
MatTek Corporation	93.859	NA		52,698	—
Dana Farber Cancer Institute Incorporated	93.859	1140805		22,622	—
Bowling Green State University	93.859	10380097SUNY5B		47,938	—
Mount Sinai School of Medicine	93.859	025500624609		80,873	—
University of New Mexico	93.859	86922087Q0		154,007	—
Washington University	93.859	2917153T WU1271		274,804	—
Regents of the University of California	93.859	6814817		112,806	—
MassTech Incorporated	93.859	na		3,189	—
University of Pittsburgh	93.859	0012097/1220024		26,142	—
Memorial Sloan Kettering Cancer Center	93.859	BD515263		672	—
Novan Incorporated	93.859	1R43GM10301101A1		6,789	—
Memorial Sloan Kettering Cancer Center	93.859	BD5152653		67,815	—
Novan Incorporated	93.859	HHS0100201300013C		189,893	—
University of Illinois Urbana Champaign	93.859	200903703100		93,410	—
Icahn School of Medicine at Mount Sinai	93.859	025434614609		50,964	—
University of Pittsburgh	93.859	0012097 1236184		63,188	—
Memorial Sloan Kettering Cancer Center	93.859	BD516697		295	—
University of Pittsburgh	93.859	9000613 11789612		4,096	2,170,612
New York Blood Center	93.865	NIH000262		49,624	—
Georgia State University	93.865	SP00010461		123,007	—
University of Rochester	93.865	416086G		102,912	—
Regents of the University of California; University of California, San Diego	93.865	35847020		13,675	—
University of Texas Medical Branch at Galveston	93.865	14033		2,983	—
Johns Hopkins University	93.865	2002066914		39,343	—
New York University	93.865	F607707/UW408786-2		43,143	—
Oregon Health & Science University	93.865	GVOLL0275D		531	—
Duke University	93.865	A326001 FluconazoleNIH133		8,367	—
Harvard University	93.865	114074.0876.5041196 ECHO		68,066	—
Harvard University	93.865	11407409765041196		624,976	—
Syracuse University	93.865	SP26043203312S01		10,422	—
Syracuse University	93.865	SP26043203312S01		5,799	1,092,848
National Bureau of Economic Research Incorporated	93.866	334051SUNY		19,580	—
Hebrew Rehabilitation Center for the Aged	93.866	101090049		20,559	—
Judge Baker Childrens Center	93.866	NA		70,696	—
Trustees of Princeton University	93.866	00001792		57,146	—
Board of Regents of the University of Wisconsin System	93.866	269K064		65,744	—
National Bureau of Economic Research Incorporated	93.866	3341335BU		27,375	—
National Bureau of Economic Research Incorporated	93.866	33413504SBU		18	—
National Bureau of Economic Research Incorporated	93.866	33413504SBU		19,688	—
University of Alabama	93.866	UA12061		232,119	—
Oregon Health & Science University	93.866	9008468SB		55,460	—
Trustees of Princeton University	93.866	00002125		22,387	—
Trustees of Princeton University	93.866	00002124		85,200	—
Rush University Medical Center	93.866	5R01AG04003902		25,371	—
Columbia University	93.866	1GG007504 PO:G03414		49,633	—
Rush University Medical Center	93.866	5R01AG04003903		45,239	—
Columbia University	93.866	1GG00654502		27,989	824,204
Jaeb Center for Health Research Incorporated	93.867	Site 271		205	—
Emmex Corporation	93.867	SITE 045 HHSN260200500007C		34,632	—
St Lukes Roosevelt Institute for Health Science (ARRA)	93.867	NORDIC-IHHT – SITE 261		4,575	—
New England College of Optometry	93.867	372109012013		24,023	—
Mount Sinai School of Medicine	93.867	025550814609		214,361	—
Jaeb Center for Health Research Incorporated	93.867	U10EY11751		3,189	—
Indiana University	93.867	IUB4635527SUNY PO# 715094		17,916	298,901
University of Illinois at Chicago	93.879	Sub Under R01LM010817		57,868	—
Rutgers University	93.879	P0708945		111,837	169,705
Health Research Inc.	93.917	357406		(8)	—
Health Research Inc.	93.917	357407		119,727	—
Health Research Inc.	93.917	357407		34,991	154,710
Eric County Medical Center	93.918	NA		17,705	17,705
Health Research Inc.	93.945	3152-09		27,320	27,320
Health Research Inc.	93.994	14080501		(790)	—
Health Research Inc.	93.994	14080502		823,696	822,906
Total U.S. Department of Health and Human Services			158,661,509	27,855,864	186,517,373

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Corporation for National and Community Service: Service Collaborative of WNY Incorporated	94.000	N/A	\$	1,456	1,456
Total Corporation for National and Community Service			—	1,456	1,456
U.S. Department of Homeland Security: U.S. Department of Homeland Security IonSense Incorporated	97.000 97.002	n/a	219,769	20,255	219,769 20,255
NYS Division of Homeland Security and Emergency Management Services	97.039	40850009		113,528	113,528
University of Maryland	97.061	Z901212		177,640	
University of Maryland	97.061	Z901205		27,762	
University of Southern California	97.061	33775733		23,746	
University of Southern California	97.061	45788967 PO10140824		52,629	
Blue Marble Space Institute of Science	97.061	2010ST061RE000104		14,170	295,947
Applied Visions Incorporated	97.065	NA		960	960
University of Maryland	97.108	Z980101		20,842	20,842
Total U.S. Department of Homeland Security			219,769	451,532	671,301
Agency for International Development: US Agency for International Development Higher Education for Development Engility Corporation	98.000 98.001 98.001	EPPA00090000500 CCRD00007	128,207	53,801 55,385	128,207 — 109,186
Total Agency for International Development			128,207	109,186	237,393
Total Research and Development Cluster			288,972,980	58,884,984	347,857,964
Other Programs: U.S. Department of Agriculture: University of Vermont	10.215	ONE1420527806		487	487
Higher Education – Institution Challenge Grants Program	10.217		16,693		
Higher Education – Institution Challenge Grants Program	10.217		38,255		
Higher Education – Institution Challenge Grants Program	10.217		146,777		201,725
Higher Education – Multicultural Scholars Grant Program	10.220		20,000		20,000
Capacity Building for Non-Land Grant Colleges of Agriculture (NLGCA)	10.326		45,932		45,932
NYS Office of Children and Family Services	10.551	C004564		187,027	
NYS Office of Children and Family Services	10.551	C004605		21,782	
NYS Office of Temporary & Disability Assistance	10.551	C004555		898,362	
NYS Office of Temporary & Disability Assistance	10.551	C004551		336,037	
NYS Office of Temporary & Disability Assistance	10.551	C004552		434,343	
NYS Office of Temporary & Disability Assistance	10.551	C004554		165,740	
NYS Office of Temporary & Disability Assistance	10.551	C004782		350,022	
NYS Office of Temporary & Disability Assistance	10.551	C004772		223,678	
NYS Office of Temporary & Disability Assistance	10.551	C004777		143,435	
NYS Office of Children and Family Services	10.551	C004802		128,773	
NYS Office of Temporary & Disability Assistance	10.551	C004783		842,610	
NYS Office of Children and Family Services	10.551	C004800		38,739	
NYS Office of Children and Family Services	10.551	N/A		(9)	
NYS Office of Children and Family Services	10.551	N/A		466	
NYS Office of Temporary & Disability Assistance	10.551	NA		22,662	
NYS Office of Temporary & Disability Assistance	10.551	NA		21,302	
NYS Office of Children and Family Services	10.551	N/A		(1,025)	
NYS Office of Children and Family Services	10.551	N/A		73	
NYS Office of Temporary & Disability Assistance	10.551	N/A		2,873	
NYS Office of Temporary & Disability Assistance	10.551	NA		(21,920)	
NYS Office of Children and Family Services	10.551	N/A		28,908	
NYS Office of Children and Family Services	10.551	N/A		51,111	
NYS Office of Temporary & Disability Assistance	10.551	N/A		430,700	
NYS Office of Temporary & Disability Assistance	10.551	N/A		1,251,051	
NYS Office of Children and Family Services	10.551	N/A		8,199	
NYS Office of Children and Family Services	10.551	N/A		40,074	
NYS Office of Temporary & Disability Assistance	10.551	N/A		290,495	
NYS Office of Temporary & Disability Assistance	10.551	N/A		1,105,090	
NYS Office of Children and Family Services	10.551	C26760		15,150	
NYS Office of Children and Family Services	10.551	C023001		9,179	7,024,927
NYS Department of Health	10.557	C025788		242,822	
NYS Department of Health	10.557	C025788		713,513	956,335
NYS Office of Temporary & Disability Assistance	10.561	C004114		(181)	
NYS Office of Temporary & Disability Assistance	10.561	C004566		120,542	
NYS Office of Temporary & Disability Assistance	10.561	C004773		35,073	
NYS Office of Temporary & Disability Assistance	10.561	C021539		209,401	
NYS Office of Temporary & Disability Assistance	10.561	C021533		135,831	
NYS Office of Temporary & Disability Assistance	10.561	C021534		211,755	
NYS Office of Temporary & Disability Assistance	10.561	C021537		99,795	
NYS Office of Temporary & Disability Assistance	10.561	C021525		100,193	912,409
Total U.S. Department of Agriculture			267,657	8,894,158	9,161,815
U.S. Department of Commerce: Investments for Public Works and Economic Development Facilities Trade Adjustment Assistance for Firms Sea Grant Support Sea Grant Support Coastal Zone Management Estuarine Research Reserves Measurement and Engineering Research and Standards Measurement and Engineering Research and Standards Measurement and Engineering Research and Standards Measurement and Engineering Research and Standards Measurement and Engineering Research and Standards	11.300 11.313 11.417 11.417 11.420 11.609 11.609 11.609 11.609 11.609		174,716 819,792 28,643 48,167 19,219 3,379 10,559 3,168 24,343 5,835		174,716 819,792 — 76,810 19,219 — — — — 47,284
Total U.S. Department of Commerce			1,137,821	—	1,137,821
U.S. Department of Defense Academy of Applied Sciences Academy of Applied Sciences Military Medical Research and Development Military Medical Research and Development Military Medical Research and Development Military Medical Research and Development Basic Scientific Research Academy of Applied Sciences Academy of Applied Sciences	12.300 12.300 12.420 12.420 12.420 12.420 12.431 12.630 12.630	1240 1248 1285 1362 1366	(616) 28,387 30,795 38,942 1,832	301 5,164	— 5,465 — — 97,508 1,832 — — 14,473

**THE RESEARCH FOUNDATION FOR
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<u>Federal grantor/federal subdivision or pass-through grantor</u>	<u>CFDA number</u>	<u>Pass-through Number</u>	<u>Direct expenditures</u>	<u>Pass-through expenditures</u>	<u>Total expenditures by CFDA and federal grantor</u>
Academy of Applied Sciences	12.630	W911NF1020076	\$	1,751	18,776
Wyle Laboratories Incorporated	12.800	AP0979FY13		37,264	37,264
Language Grant Program	12.900		4,818		4,818
Total U.S. Department of Defense			104,158	61,505	165,663
U.S. Department of Housing and Urban Development:					
City of Binghamton	14.254	Permanent Ordinance No.R13-107		3,024	3,024
Housing Trust Fund Corporation	14.269	1297DR113		574,807	574,807
Total U.S. Department of Housing and Urban Development			—	577,831	577,831
U.S. Department of the Interior					
Cooperative Research and Training Programs Resources of the National Park System	15.945		26,345		—
Cooperative Research and Training Programs Resources of the National Park System	15.945		14,797		—
Cooperative Research and Training Programs Resources of the National Park System	15.945		248		—
Cooperative Research and Training Programs Resources of the National Park System	15.945		10,825		—
Cooperative Research and Training Programs Resources of the National Park System	15.945		30,135		—
Cooperative Research and Training Programs Resources of the National Park System	15.945		22,832		—
Cooperative Research and Training Programs Resources of the National Park System	15.945		27,801		—
Cooperative Research and Training Programs Resources of the National Park System	15.945		12,766		—
Cooperative Research and Training Programs Resources of the National Park System	15.945		28,074		173,823
Total U.S. Department of the Interior			173,823	—	173,823
U.S. Department of Justice:					
Buffalo Promise Neighborhood	16.000	N/A		46,454	46,454
Violence Against Women Act Court Training and Improvement Grants	16.013		91,280		91,280
City of Albany	16.523	JF111009E00		11,658	11,658
Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus	16.525		1,275		1,275
NYS Office of Victim Services	16.575	n/a		(213)	(213)
Westchester County	16.590	n/a		84,932	84,932
Center for Problem Oriented Policing	16.710	N/A		15,520	15,520
Total U.S. Department of Justice			92,555	158,351	250,906
U.S. Department of Labor:					
Fulton Montgomery and Schoharie Counties Workforce Development Board Incorporated	17.000	NA		14,713	14,713
GLOW Workforce Investment Board	17.259	PY2012-GLOW-4		740	—
GLOW Workforce Investment Board	17.259	PY2013-GLOW-2		6,751	—
Family Services Inc	17.259	N/A		140	7,631
H-1B Job Training Grants	17.268		325,512		—
H-1B Job Training Grants	17.268		134,995		—
Orange County Community College	17.268	8132		1,749	—
Orange County Community College	17.268	N/A		(8,952)	453,304
Hudson Valley Community College	17.269	CB 18229-09-60-A-36		(374)	(374)
Monroe Community College	17.282	n/a		102,648	102,648
Total U.S. Department of Labor			460,507	117,415	577,922
U.S. Department of State:					
Investing in People in The Middle East and North Africa	19.021		145,503		145,503
Professional and Cultural Exchange Programs – Citizen Exchanges	19.415		127,676		127,676
General Department of State Assistance	19.700		1,097,044		1,097,044
Total U.S. Department of State			1,370,223	—	1,370,223
U.S. Department of Transportation:					
Niagara Frontier Transportation Authority	20.000	N/A		3,861	—
NYS Department of Transportation	20.000	AC00133		13,281	—
NYS Department of Transportation	20.000	PO# AC00130		18,390	35,532
Research Foundation of City University of New York	20.205	499970225		2,264	2,264
Adirondack North Country Association	20.215	N/A		114,027	114,027
NYS Department of Transportation	20.218	C003101		106,877	106,877
New York City Department of Transportation	20.500	20121417763 FTANY04003500		320,538	320,538
NYS Governors Traffic Safety Committee	20.600	HS12013TTSMR00245088		129,903	—
NYS Governors Traffic Safety Committee	20.600	HS12013TTSMR00243088		57,025	—
NYS Governors Traffic Safety Committee	20.600	HS12013TTSMR00257088		74,838	—
NYS Governors Traffic Safety Committee	20.600	HS12013TTSMR00256088		44,457	—
NYS Governors Traffic Safety Committee	20.600	C002115		179,085	—
NYS Governors Traffic Safety Committee	20.600	C002097		170,879	—
NYS Governors Traffic Safety Committee	20.600	C002116		420,414	—
NYS Governors Traffic Safety Committee	20.600	C002118		111,841	—
NYS Governors Traffic Safety Committee	20.600	RF00191015		4,581	—
NYS Governors Traffic Safety Committee	20.600	DMV01C0020783700393		48,922	—
NYS Governors Traffic Safety Committee	20.600	DMV01T0050963700393		1,750	1,243,695
NYS Governors Traffic Safety Committee	20.602	CPS2012RFSUNY00103052		(3,424)	—
NYS Governors Traffic Safety Committee	20.602	CPS2012RFSUNY00103052		16,938	—
NYS Governors Traffic Safety Committee	20.602	CPS2014RFSUNY00148099		100	13,614
NYS Governors Traffic Safety Committee	20.609	BUNY 2011 SUNY RF00269 (015)		(440)	—
NYS Governors Traffic Safety Committee	20.609	2011RF00303015		(320)	(760)
Research Foundation of City University of New York	20.701	499970324		13,150	—
Research Foundation of City University of New York	20.701	499970325		39,975	—
Research Foundation of City University of New York	20.701	499970224		14,724	67,849
Total U.S. Department of Transportation			—	1,903,636	1,903,636
Appalachian Regional Commission:					
Appalachian Regional Development (See individual Appalachian Programs)	23.001		72,437		72,437
Appalachian Area Development	23.002		17,987		17,987
East Tennessee State University	23.011	22001315		2,705	2,705
Total Appalachian Regional Commission			90,424	2,705	93,129
Office of Personnel Management:					
Intergovernmental Personnel Act (IPA) Mobility Program	27.011		20,437		20,437
Total Office of Personnel Management			20,437	—	20,437
National Aeronautics and Space Administration:					
National Aeronautics and Space Administration	43.000		5,736		—
Colorado State University	43.000	G39751		28,318	—
Jet Propulsion Laboratory	43.000	1493773		17,239	51,293
Science	43.001		27,353		—
Science	43.001		25,846		—
Science	43.001		25,257		—

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Science	43.001		\$ 77,364		—
Cornell University	43.001	61420-9292		10,000	165,820
Exploration	43.003		40,888		40,888
Total National Aeronautics and Space Administration			202,444	55,557	258,001
National Foundation on the Arts and Humanities:					
Young Audiences of WNY	45.024	NA		25,870	—
Arts Midwest	45.024	19761		14,162	40,032
New York Council for the Humanities	45.129	6023		2,106	2,106
Promotion of the Humanities_Division of Preservation and Access	45.149		110,000		110,000
Promotion of the Humanities_Professional Development	45.163		121,083		—
Promotion of the Humanities_Professional Development	45.163		14,830		—
Promotion of the Humanities_Professional Development	45.163		49,809		185,722
Promotion of the Humanities_Office of Digital Humanities	45.169		22,544		22,544
Museums for America	45.301		5,361		—
Museums for America	45.301		27,252		32,613
Board of Trustee of the Buffalo and Erie County Public Library	45.312	NA		20,540	20,540
Total National Foundation on the Arts and Humanities			350,879	62,678	413,557
Small Business Administration:					
Small Business Administration	59.000		2,735,266		2,735,266
Small Business Development Centers	59.037		1,063,313		—
Small Business Development Centers	59.037		53,098		—
Small Business Development Centers	59.037		76,148		—
Small Business Development Centers	59.037		(33)		—
Small Business Development Centers	59.037		3,318,092		—
Small Business Development Centers	59.037		5,123		—
Small Business Development Centers	59.037		5,534		—
Small Business Development Centers	59.037		454,814		—
Small Business Development Centers	59.037		29,740		—
Small Business Development Centers	59.037		80,504		5,086,333
Veterans Business Development	59.044		27,500		—
Veterans Business Development	59.044		127,810		—
Veterans Business Development	59.044		11,368		166,678
Federal and State Technology Partnership Program	59.058		36,464		36,464
Entrepreneurial Development Disaster Assistance (Disaster Relief Appropriations Act)	59.064		1,089,980		—
Entrepreneurial Development Disaster Assistance (Disaster Relief Appropriations Act)	59.064		954,982		2,044,962
Total Small Business Administration			10,069,703	—	10,069,703
U.S. Department of Veteran Affairs:					
Veterans Benefits Administration	64.000		6,650		6,650
Veterans Dependency and Indemnity Compensation for Service-Connected Death	64.110		1,202		1,202
Total U.S. Department of Veteran Affairs			7,852	—	7,852
Environmental Protection Agency:					
NYS Environmental Facilities Corporation	66.000	584 C792050200		99,101	99,101
NYS Department of Environmental Conservation	66.461	AM07444		(299)	(299)
Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study	66.513		7,944		7,944
Science To Achieve Results (STAR) Fellowship Program	66.514		10,037		10,037
Environmental Workforce Development and Job Training Cooperative Agreements	66.815		298		298
Total Environmental Protection Agency			18,279	98,802	117,081
U.S. Department of Energy:					
U.S. Department of Energy	81.000		31,109		—
U.S. Department of Energy	81.000		21,061		52,170
NYS Energy Research and Development Authority (ARRA)	81.041	26154PO#ERDA10000027474		(65)	(65)
Brookhaven Science Associates LLC	81.049	133654		18,851	—
Brookhaven Science Associates LLC	81.049	133655		7,541	—
Brookhaven Science Associates LLC	81.049	133610		25,974	—
Brookhaven Science Associates LLC	81.049	138142		55,937	—
Brookhaven Science Associates LLC	81.049	146480		42,164	—
Brookhaven Science Associates LLC	81.049	145975		42,797	—
Brookhaven Science Associates LLC	81.049	145974		42,059	—
Brookhaven Science Associates LLC	81.049	148216		241	—
Brookhaven Science Associates LLC	81.049	148219		47,393	—
Brookhaven Science Associates LLC	81.049	156046		47,727	—
Brookhaven Science Associates LLC	81.049	156761		41,028	—
Brookhaven Science Associates LLC	81.049	163652		31,466	—
Brookhaven Science Associates LLC	81.049	163378		45,865	—
Brookhaven Science Associates LLC	81.049	170059		41,114	—
Brookhaven Science Associates LLC	81.049	169062		37,732	—
Brookhaven Science Associates LLC	81.049	170819		20,085	—
Brookhaven Science Associates LLC	81.049	174401		13,096	—
Brookhaven Science Associates LLC	81.049	181220		38,923	—
Brookhaven Science Associates LLC	81.049	187238		33,573	—
Brookhaven Science Associates LLC	81.049	189902		34,763	—
Brookhaven Science Associates LLC	81.049	189766		42,797	—
Brookhaven Science Associates LLC	81.049	194418		42,797	—
Brookhaven Science Associates LLC	81.049	192487		45,249	—
Brookhaven Science Associates LLC	81.049	198136		44,682	—
Brookhaven Science Associates LLC	81.049	201209		42,319	—
Brookhaven Science Associates LLC	81.049	207081		40,833	—
Brookhaven Science Associates LLC	81.049	204886		51,892	—
Brookhaven Science Associates LLC	81.049	210310		36,260	—
Brookhaven Science Associates LLC	81.049	210367		45,002	—
Brookhaven Science Associates LLC	81.049	215204		28,619	—
Brookhaven Science Associates LLC	81.049	218102		43,507	—
Brookhaven Science Associates LLC	81.049	218988		4,782	—
Brookhaven Science Associates LLC	81.049	218985		43,886	—
Brookhaven Science Associates LLC	81.049	218981		42,797	—
Brookhaven Science Associates LLC	81.049	218994		45,048	—
Brookhaven Science Associates LLC	81.049	219733		38,740	—
Brookhaven Science Associates LLC	81.049	218993		42,797	—
Brookhaven Science Associates LLC	81.049	220884		35,002	—
Brookhaven Science Associates LLC	81.049	220887		36,693	—
Brookhaven Science Associates LLC	81.049	222340		46,703	—
Brookhaven Science Associates LLC	81.049	226119		42,797	—
Brookhaven Science Associates LLC	81.049	229738		31,709	—

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Brookhaven Science Associates LLC	81.049	229098	\$	43,683	—
Brookhaven Science Associates LLC	81.049	228672		34,438	—
Brookhaven Science Associates LLC	81.049	228930		33,965	—
Brookhaven Science Associates LLC	81.049	228952		28,076	—
Brookhaven Science Associates LLC	81.049	228947		21,109	—
Brookhaven Science Associates LLC	81.049	229147		36,981	—
Brookhaven Science Associates LLC	81.049	245154		21,401	—
Brookhaven Science Associates LLC	81.049	na		19,947	—
Brookhaven Science Associates LLC	81.049	243787		45,048	—
Brookhaven Science Associates LLC	81.049	249024		38,190	—
Brookhaven Science Associates LLC	81.049	245049		37,361	—
Brookhaven Science Associates LLC	81.049	243765		13,355	—
Brookhaven Science Associates LLC	81.049	246538		96,271	—
Brookhaven Science Associates LLC	81.049	251582		25,388	—
Brookhaven Science Associates LLC	81.049	252853		95,162	—
Brookhaven Science Associates LLC	81.049	252993		35,907	—
Brookhaven Science Associates LLC	81.049	243443		534	—
Brookhaven Science Associates LLC	81.049	254688		28,369	—
Brookhaven Science Associates LLC	81.049	255470		42,382	—
Brookhaven Science Associates LLC	81.049	258059		26,086	—
Brookhaven Science Associates LLC	81.049	256907		26,289	—
Brookhaven Science Associates LLC	81.049	261044		18,527	—
Brookhaven Science Associates LLC	81.049	262753		17,318	—
Brookhaven Science Associates LLC	81.049	261375		21,026	—
Brookhaven Science Associates LLC	81.049	263026		11,635	—
Brookhaven Science Associates LLC	81.049	266892		2,862	—
Brookhaven Science Associates LLC	81.049	266814		3,624	—
Brookhaven Science Associates LLC	81.049	267465		3,624	—
Brookhaven Science Associates LLC	81.049	267077		3,624	—
Brookhaven Science Associates LLC	81.049	270479		2,295	—
Brookhaven Science Associates LLC	81.049	270748		4,076	—
Brookhaven Science Associates LLC	81.049	266620		3,624	—
Brookhaven Science Associates LLC	81.049	267472		3,624	—
Brookhaven Science Associates LLC	81.049	272625		2,402	2,391,443
Conservation Research and Development	81.086				7,546
Hudson Valley Community College (ARRA)	81.087	PO0066763PO0073415	7,546	1,256	1,256
Syracuse University (ARRA)	81.122	24294-02619-S05		12,575	—
Syracuse University (ARRA)	81.122	2429402619S02		50,270	62,845
Total Department of Energy			59,716	2,455,479	2,515,195
U.S. Department of Education:					
U.S. Department of Education	84.000		502,879		—
NYS Comm On Qual Care and Adv for Persons with Dis	84.000	C111828		63,946	—
Central Susquehanna Intermediate Unit	84.000	NA		(1,459)	565,366
Erie County Department of Social Services	84.002	ED3264		74,459	—
Erie County Department of Social Services	84.002	ED3497		72,160	—
NYS Education Department	84.002	C010002		23,161	—
NYS Education Department	84.002	C010002		412,939	582,719
Buffalo Public Schools	84.010	NA		(22,800)	—
Buffalo City School District	84.010	F0004D21444EJN		21	—
Buffalo City School District	84.010	F0004D21440EAR		19,438	(3,341)
Migrant Education_State Grant Program	84.011		325,892		—
NYS Education Department	84.011	C113239		61,319	—
NYS Education Department	84.011	C401000 0035130022		407,385	—
NYS Education Department	84.011	C402220 0035140022		542,064	—
NYS Education Department	84.011	C113239		113,009	—
NYS Education Department	84.011	0035130037 C400998		235,265	—
NYS Education Department	84.011	N/A		2,723	—
NYS Education Department	84.011	C402222 0035140037		811,914	—
NYS Education Department	84.011	N/A		28,536	—
NYS Education Department	84.011	035130002 C40996		98,354	—
NYS Education Department	84.011	C402221 035140002		335,670	—
NYS Education Department	84.011	C400993 0035130005		217,053	—
NYS Education Department	84.011	C402224 0035140005		925,309	—
Gloucester County Special Services School District	84.011	NA		2,420	—
NYS Education Department	84.011	C990152		(446)	—
Mississippi Department of Education	84.011	1332018246B9B0EA09001		(80)	—
META Associates	84.011	NA		23,056	—
California Department of Education	84.011	CN120270		1,065	—
Texas Education Agency	84.011	CT 2620 PO 31357		3,811	—
NYS Education Department	84.011	C990263		33,568	—
NYS Education Department	84.011	C990263		90,381	—
NYS Education Department	84.011	C990263		305,268	—
NYS Education Department	84.011	C990263		15,275	—
NYS Education Department	84.011	C401003 0035130021		124,299	—
Chandler (AZ) Unified School District #80	84.011	RF201220		4	—
Kentucky Department of Education	84.011	PON254012000031961		48,816	—
Kesselman Jones Incorporated	84.011	NA		5,537	—
Florida Department of Education	84.011	9862173T3PE01		199,583	—
Pennsylvania Department of Education	84.011	NA		2,493	—
Maine Department of Education	84.011	CT20130116*2613 VC1000076007		427,826	—
Guymon Public Schools	84.011	PO 802		5,822	—
Pennsylvania Department of Education	84.011	RF201221		6,794	—
Colorado Department of Education	84.011	N/A		(415)	—
Maryland State Department of Education	84.011	NA		7,390	—
Mississippi State University	84.011	05040536119101		7,048	—
Florida Department of Education	84.011	NA		1,524	—
Oregon Department of Education	84.011	NA		3,810	—
Southwest Arkansas Migrant Education Cooperative	84.011	NA		2,052	—
Chandler (AZ) Unified School District #80	84.011	NA		2,002	—
Kentucky Department of Education	84.011	PON25401300029261		79,150	—
Center for Schools and Communities	84.011	NA		9,966	—
Mississippi Department of Education	84.011	1432018246B9B1EA09001		66,740	—
Essex Regional Educational Services Commission	84.011	PO# 140472		23,388	—
Colorado Department of Education	84.011	PO DAA 14000000038		7,856	—
Mano en Mano	84.011	NA		2,490	—
NYS Education Department	84.011	C990333		1,084,030	—
NYS Education Department	84.011	C0990333		315,442	—

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Arizona Department of Education	84.011	P.O. #ADED14-055654	\$	3,496	—
California Department of Education	84.011	CN130177		34,912	—
Kesselman Jones Incorporated	84.011	NA		16,915	—
META Associates	84.011	N/A		29,351	—
META Associates	84.011	N/A		25,700	—
Missouri Department of Elementary and Secondary Education	84.011	N/A		7,272	—
Center for Schools and Communities	84.011	NA		38	—
Arroyo Research Services	84.011	N/A		21,829	—
Center for Schools and Communities	84.011	NA		12,988	—
Maine Department of Education	84.011	CT20131218*2243 VC1000076007		301,226	—
Alabama State Department of Education	84.011	J400343		44,480	—
Florida Department of Education	84.011	9862174T4PE01		325,180	—
Alabama State Department of Education	84.011	J400342		6,985	—
Texas Education Agency	84.011	CT 3155 PO 32708		22,759	—
Pennsylvania Department of Education	84.011	2013-25		7,992	—
Alabama State Department of Education	84.011	C4U0397		15,434	—
Pennsylvania Department of Education	84.011	2013-26		9,839	—
Pennsylvania Department of Education	84.011	201427		9,314	—
Gloucester County Special Services School District	84.011	NA		458	—
Maryland State Department of Education	84.011	NA		2,102	—
Center for Schools and Communities	84.011	NA		8,518	—
NYS Education Department	84.011	C400999 0035130013		140,372	—
NYS Education Department	84.011	C402223 0035140013		608,958	8,668,576
University of Maine at Orono	84.015	UMS885		14,109	—
University of Maine at Orono	84.015	UMS923		45,203	59,312
Undergraduate International Studies and Foreign Language Programs	84.016		5,805		5,805
NYS Education Department	84.027	C011055		4,681	—
NYS Education Department	84.027	C012095		496,010	—
NYS Education Department	84.027	C008221		(78)	—
NYS Education Department	84.027	C009494		116,193	—
University of North Carolina at Charlotte	84.027	2013009701SUN		18,686	—
NYS Education Department	84.027	C012091		72,617	—
University of North Carolina at Charlotte	84.027	2014019101SUN		15,007	723,116
Higher Education_Institutional Aid	84.031		126,909		—
Higher Education_Institutional Aid	84.031		258,255		—
Higher Education_Institutional Aid	84.031		432,881		818,045
TRIO_Student Support Services	84.042		337,216		—
TRIO_Student Support Services	84.042		208,515		—
TRIO_Student Support Services	84.042		333,246		—
TRIO_Student Support Services	84.042		262,585		—
TRIO_Student Support Services	84.042		275,159		—
TRIO_Student Support Services	84.042		382,705		—
TRIO_Student Support Services	84.042		481,289		—
TRIO_Student Support Services	84.042		267,805		—
TRIO_Student Support Services	84.042		253,022		—
TRIO_Student Support Services	84.042		229,621		3,031,163
TRIO_Talent Search	84.044		285,125		—
TRIO_Talent Search	84.044		299,158		584,283
TRIO_Upward Bound	84.047		871		—
TRIO_Upward Bound	84.047		229,437		—
TRIO_Upward Bound	84.047		425,035		—
TRIO_Upward Bound	84.047		278,937		—
TRIO_Upward Bound	84.047		386,232		—
TRIO_Upward Bound	84.047		337,118		—
TRIO_Upward Bound	84.047		595,381		—
TRIO_Upward Bound	84.047		271,562		2,524,573
NYS Education Department	84.048	8000136950		2,018	—
NYS Education Department	84.048	8000146995		120,939	—
NYS Education Department	84.048	8000136010		45	—
NYS Education Department	84.048	8000146010		268,567	—
NYS Education Department	84.048	8000136060		4,614	—
NYS Education Department	84.048	8000146060		173,253	—
NYS Education Department	84.048	8000136100		3,936	—
NYS Education Department	84.048	8000146100		163,192	—
NYS Education Department	84.048	8000136170		108	—
NYS Education Department	84.048	8000146170		152,327	—
NYS Education Department	84.048	8000136890		5,367	—
NYS Education Department	84.048	FA8000146890		84,144	—
NYS Education Department	84.048	8000136870		3,508	—
NYS Education Department	84.048	8000146870		190,366	1,172,384
Fund for the Improvement of Postsecondary Education	84.116		205,375		—
Fund for the Improvement of Postsecondary Education	84.116		(1,953)		—
Fund for the Improvement of Postsecondary Education	84.116		100,060		—
Fund for the Improvement of Postsecondary Education	84.116		30,850		—
Fund for the Improvement of Postsecondary Education	84.116		53,921		—
Fund for the Improvement of Postsecondary Education	84.116		34,233		—
Research Foundation of City University of New York	84.116	46355J		985	423,471
NYS Office of Children and Family Services	84.126	C004564		29,997	—
NYS Office of Children and Family Services	84.126	C004571		21,504	—
NYS Office of Children and Family Services	84.126	C004605		15,488	—
NYS Office of Children and Family Services	84.126	C004802		20,472	—
NYS Office of Children and Family Services	84.126	C004808		22,268	—
NYS Office of Children and Family Services	84.126	C004800		14,513	—
NYS Office of Children and Family Services	84.126	C026875		77,810	—
NYS Office of Children and Family Services	84.126	C026892		28,871	—
NYS Office of Children and Family Services	84.126	C026875		77,011	—
NYS Education Department	84.126	C011548		21,798	—
NYS Office of Children and Family Services	84.126	N/A		59	—
NYS Office of Children and Family Services	84.126	N/A		(49)	—
NYS Office of Children and Family Services	84.126	N/A		6,073	—
NYS Office of Children and Family Services	84.126	N/A		5,408	341,223
NYS Comm On Qual Care and Adv for Persons with Dis	84.133	C111829		40,416	—
NYS Comm On Qual Care and Adv for Persons with Dis	84.133	C111829		12,979	53,395
Florida Department of Education	84.144	9861163T3P001		19,969	—
Alabama State Department of Education	84.144	C3X0621		30,080	—
Florida Department of Education	84.144	9861164T4P001		46,040	96,089
Migrant Education_College Assistance Migrant Program	84.149		414,044		414,044
Javits Fellowships	84.170		4,904		4,904

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Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through Number	Direct expenditures	Pass-through expenditures	Total expenditures by CFDA and federal grantor
New York City Department of Education	84.173	N/A	\$	386	—
New York City Department of Education	84.173	N/A		(289)	—
New York City Board of Education	84.173	331800880148/PL 611		275	—
New York City Board of Education	84.173	331800880148/PL 619		(378)	—
New York City Department of Education	84.173	N/A		493	—
New York City Department of Education	84.173	N/A		6,068	—
New York City Department of Education	84.173	N/A		28,177	—
New York City Board of Education	84.173	331800880148/PL 619		12,870	—
New York City Board of Education	84.173	331800880148/PL 611		2,273	49,875
City School District of Albany	84.184	N/A		108	108
Bilingual Education_ Professional Development	84.195		71,908		71,908
East Bloomfield Central School	84.196	N/A		528	—
East Bloomfield Central School	84.196	N/A		641	—
East Bloomfield Central School	84.196	N/A		2,719	—
East Bloomfield Central School	84.196	N/A		599	—
East Bloomfield Central School	84.196	N/A		2,092	—
East Bloomfield Central School	84.196	N/A		1,959	—
East Bloomfield Central School	84.196	N/A		7,522	16,060
Graduate Assistance in Areas of National Need	84.200		90,026		—
Graduate Assistance in Areas of National Need	84.200		89,872		—
Graduate Assistance in Areas of National Need	84.200		23,505		—
Graduate Assistance in Areas of National Need	84.200		14,472		—
Graduate Assistance in Areas of National Need	84.200		137,612		—
Graduate Assistance in Areas of National Need	84.200		151,904		—
Graduate Assistance in Areas of National Need	84.200		95,324		602,715
Schenectady City School District	84.215	N/A		18,581	—
Albion Central School	84.215	N/A		75	—
Albion Central School	84.215	NA		295	—
Onondaga Cortland Madison Board of Education Services	84.215	170-1091071-55657		92,680	—
Ulster County BOCES	84.215	13-03169		14,964	—
State University of New York	84.215	C002372		594,803	721,398
TRIO_McNair Post-Baccalaureate Achievement	84.217		219,651		—
TRIO_McNair Post-Baccalaureate Achievement	84.217		232,746		—
TRIO_McNair Post-Baccalaureate Achievement	84.217		285,213		—
TRIO_McNair Post-Baccalaureate Achievement	84.217		(200)		—
TRIO_McNair Post-Baccalaureate Achievement	84.217		208,542		945,952
Rehabilitation Training_Continuing Education	84.264		746,385		746,385
City School District of Albany	84.287	n/a		59,181	—
City School District of Albany	84.287	NA		21,737	—
Tully Central School District	84.287	N/A		3,498	—
NYS Education Department	84.287	C402120 0187146057		217,399	—
NYS Education Department	84.287	C402121 0187146058		216,890	518,705
Colorado Seminary – University of Denver	84.305	SC37031A0100		18,060	18,060
University of North Carolina at Charlotte	84.324	2010078801SUN		55	55
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325		121,734		—
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325		296,280		—
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325		258,633		—
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325		154		—
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325		83,028		—
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325		54,190		—
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.325		295,266		1,109,285
Child Care Access Means Parents in School	84.335		12,313		12,313
Syracuse University	84.336	2632003219S01		9,355	—
Syracuse University	84.336	2632003481S01		15,959	25,314
Buffalo Board of Education	84.351	N/A		10	—
Buffalo Board of Education	84.351	N/A		104	—
Buffalo Board of Education	84.351	NA		519	—
Buffalo City School District	84.351	NA		57,940	—
Buffalo City School District	84.351	F0004F20440RFR		63,388	121,961
English Language Acquisition State Grants	84.365		337,399		—
English Language Acquisition State Grants	84.365		393,755		—
English Language Acquisition State Grants	84.365		353,024		1,084,178
Buffalo Public Schools	84.366	N/A		68	—
Buffalo City School District	84.366	N/A		4,398	—
Syracuse City School District	84.366	N/A		712	5,178
National Writing Project Corporation	84.367	04NY10SEED2012		14,014	—
NYS Education Department	84.367	C401815 247130034		98,874	—
NYS Education Department	84.367	C401815 247140034		34,528	—
NYS Education Department	84.367	0247130030 C401824		246,185	—
NYS Education Department	84.367	C401811 0247130020		46,238	—
NYS Education Department	84.367	C401811 0247140020		163,676	—
National Writing Project Corporation	84.367	08NY14 SEED2012		9,616	—
National Writing Project Corporation	84.367	08NY14SEED2012		6,928	—
NYS Education Department	84.367	0247130022 C401812		129,745	—
NYS Education Department	84.367	0247140022 C401812		71,308	—
National Writing Project Corporation	84.367	08NY14SEED2012		628	—
NYS Education Department	84.367	C401818 0247130026		37,566	—
NYS Education Department	84.367	C401818 0247140026		39,852	—
National Writing Project Corporation	84.367	01NY09SEED2012		15,467	—
NYS Education Department	84.367	0247130104 C401829		148,953	—
NYS Education Department	84.367	C401823 0247130027		166,469	—
NYS Education Department	84.367	C401823 0247140027		321,058	—
NYS Education Department	84.367	0247140104 C401829		134,341	—
NYS Education Department	84.367	0247130028 C401813		58,415	—
NYS Education Department	84.367	0247140028 C401813		82,376	—
Bank Street College of Education	84.367	11-2399-2864		10,982	—
Bank Street College of Education	84.367	1123992865		11,329	1,848,548
Rochester City School District	84.377	PO 2014004354		82,837	82,837
NYS Office of Children and Family Services	84.378	C003016		(907)	—
NYS Office of Children and Family Services	84.378	C004525		2,732	—
NYS Office of Children and Family Services	84.378	C004766		305,765	—
NYS Higher Education Services Corporation	84.378	NA		405	—
NYS Higher Education Services Corporation	84.378	T112290		15,251	—
NYS Higher Education Services Corporation	84.378	T112260		39,122	—
NYS Higher Education Services Corporation	84.378	T002519		14,833	—
NYS Higher Education Services Corporation	84.378	C002520		200,499	—
NYS Higher Education Services Corporation	84.378	n/a		48,005	625,705
City School District of Albany	84.388	5123142110		46,537	46,537

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Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through Number	Direct expenditures	Pass-through expenditures	Total expenditures by CFDA and federal grantor
NYS Education Department (ARRA)	84.395	C401691 5525130005	\$	439	—
NYS Education Department (ARRA)	84.395	C401691 5525140005		792,212	—
NYS Education Department (ARRA)	84.395	5520130001 C401873		31,980	—
NYS Education Department (ARRA)	84.395	5520140001 C401873		292,989	—
NYS Education Department (ARRA)	84.395	C401688 5525130002		65,931	—
NYS Education Department (ARRA)	84.395	5520130002 C401872		44,553	—
NYS Education Department (ARRA)	84.395	C401688 5525140002		859,667	—
NYS Education Department (ARRA)	84.395	5520140002 C401872		257,168	—
Board of Cooperative Educational Services of Nassau County	84.395	N/A		11,817	2,356,756
National Writing Project Corporation	84.411	04NY10132013		143,223	143,223
National Writing Project Corporation	84.928	04NY10		289	—
National Writing Project Corporation	84.928	08NY14		3,055	—
National Writing Project Corporation	84.928	01NY09		394	3,738
Total U.S. Department of Education			13,206,810	18,015,111	31,221,921
U.S. Department of Health and Human Services:					
U.S. Department of Health and Human Services (ARRA)	93.000		24,576	—	—
U.S. Department of Health and Human Services	93.000		5,378,600	—	—
U.S. Department of Health and Human Services	93.000		18,304	—	—
University of Pittsburgh	93.000	0020808408495Y2012		5,413	—
University of Pittsburgh	93.000	0020808408495Y2028		1,500	—
Association of American Medical Colleges	93.000	U24MD006960		2,023	—
Association of American Medical Colleges	93.000	U24MD006960		74,852	—
Allegany County Department of Social Services	93.000	NA		2,231	—
NYS Education Department	93.000	C113239		(9,261)	—
NYS Education Department	93.000	N/A		1,348	—
NYS Education Department	93.000	N/A		34,342	—
NYS Education Department	93.000	N/A		30,843	5,564,771
Albany County Dept for the Aging & Handicapped	93.048	N/A		1,710	1,710
Oneida County Office for the Aging Continuing Care	93.051	N/A		38,006	38,006
Public Health Emergency Preparedness	93.069		72,353	—	—
Public Health Emergency Preparedness	93.069		37,888	—	—
Public Health Emergency Preparedness	93.069		73,838	—	—
Public Health Emergency Preparedness	93.069		161,603	—	345,682
Health Research Inc.	93.074	334807		8,300	8,300
NYS Office of Children and Family Services	93.090	N/A		44,012	—
NYS Office of Children and Family Services	93.090	N/A		30,417	74,429
NYS Department of Health	93.092	C027452		143,079	—
NYS Department of Health	93.092	C027452		138,095	281,174
Area Health Education Centers Point of Service Maintenance and Enhancement Awards	93.107		274,635	—	—
Area Health Education Centers Point of Service Maintenance and Enhancement Awards	93.107		584,571	—	859,206
University of Rochester	93.110	416205G		14,055	14,055
Environmental Health	93.113		63,189	—	—
Environmental Health	93.113		15,524	—	—
Environmental Health	93.113		28,758	—	107,471
Preventive Medicine and Public Health Residency Training Program, Integrative Medicine Program, and	93.117		120,243	—	120,243
Oral Diseases and Disorders Research	93.121		26,970	—	—
Oral Diseases and Disorders Research	93.121		133,623	—	—
Oral Diseases and Disorders Research	93.121		46,771	—	207,364
Nurse Anesthetist Traineeships	93.124		1,352	—	1,352
University of Medicine & Dentistry of New Jersey	93.142	2210HWWTBuffalo		5,343	—
University of Medicine & Dentistry of New Jersey	93.142	2212HDPTBuffalo		11,333	—
Rutgers University	93.142	8032		28,073	—
Rutgers University	93.142	8032		54,846	99,595
NIEHS Superfund Hazardous Substances_Basic Research and Education	93.143		25,000	—	25,000
AIDS Education and Training Centers	93.145		6,663	—	—
AIDS Education and Training Centers	93.145		135,356	—	—
AIDS Education and Training Centers	93.145		204,822	—	—
Health Research Inc.	93.145	15334025		14,035	—
Columbia University	93.145	1GG00640402		5,658	—
Columbia University	93.145	1GG00640403/ SAPO# G04383		187,257	553,791
Coordinated Services and Access to Research for Women, Infants, Children, and Youth	93.153		187,456	—	—
Coordinated Services and Access to Research for Women, Infants, Children, and Youth	93.153		677,532	—	864,988
Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals	93.156		(1,955)	—	—
Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals	93.156		(1,878)	—	—
Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals	93.156		(689)	—	—
Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals	93.156		13,188	—	—
Geriatric Training for Physicians, Dentists and Behavioral/Mental Health Professionals	93.156		688,190	—	696,856
Research Related to Deafness and Communication Disorders	93.173		30,013	—	30,013
Research and Training in Complementary and Alternative Medicine	93.213		32,613	—	32,613
Health Research Inc.	93.236	410803		71,860	71,860
Mental Health Research Grants	93.242		2,607	—	—
Mental Health Research Grants	93.242		19,670	—	22,277
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.243		96,583	—	—
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.243		142,723	—	—
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.243		219,243	—	—
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.243		318,122	—	—
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.243		83,332	—	860,003
Advanced Nursing Education Grant Program	93.247		40,999	—	—
Advanced Nursing Education Grant Program	93.247		198,037	—	—
Advanced Nursing Education Grant Program	93.247		230,105	—	—
Advanced Nursing Education Grant Program	93.247		257,684	—	726,825
Public Health Training Centers Program	93.249		237,590	—	—
Public Health Training Centers Program	93.249		89,072	—	326,662
Poison Center Support and Enhancement Grant Program	93.253		72,621	—	—
Poison Center Support and Enhancement Grant Program	93.253		251,981	—	324,602
Occupational Safety and Health Program	93.262		98,898	—	—
Occupational Safety and Health Program	93.262		1,748	—	—
Occupational Safety and Health Program	93.262		115,299	—	—
Occupational Safety and Health Program	93.262		11,477	—	227,422
Nurse Faculty Loan Program (NFLP)	93.264		29,337	—	29,337
Onondaga County	93.268	N/A		35,650	—
Onondaga County	93.268	N/A		24,809	60,459
Alcohol Research Programs	93.273		295,140	—	—
Alcohol Research Programs	93.273		28,230	—	323,370
Drug-Free Communities Support Program Grants	93.276		67,636	—	—
Drug-Free Communities Support Program Grants	93.276		44,423	—	—
Drug-Free Communities Support Program Grants	93.276		77,901	—	189,960

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Drug Abuse and Addiction Research Programs	93.279		\$ 7,691		—
Drug Abuse and Addiction Research Programs	93.279		11,474		—
Mount Sinai Medical Center	93.279	025561614609		79,394	98,559
Mental Health Research Career/Scientist Development Awards	93.281		130,801		130,801
Mental Health National Research Service Awards for Research Training	93.282		23,309		—
Mental Health National Research Service Awards for Research Training	93.282		24,078		47,387
Health Research Inc.	93.283	15035305		44,057	—
Brooklyn Perinatal Network Incorporated	93.283	N/A		(6,337)	—
Health Research Inc.	93.283	411503		13,906	51,626
Minority Health and Health Disparities Research	93.307		123,409		123,409
National Center for Advancing Translational Sciences	93.350		43,794		43,794
Research Infrastructure Programs	93.351		490,498		490,498
Advanced Education Nursing Traineeships	93.358		336,544		—
Advanced Education Nursing Traineeships	93.358		379,525		—
Advanced Education Nursing Traineeships	93.358		11,210		—
Advanced Education Nursing Traineeships	93.358		312,808		1,040,087
Nurse Education, Practice Quality and Retention Grants	93.359		193,866		193,866
Children's Hospital of Philadelphia	93.395	AALL07PI		2,870	2,870
Cancer Research Manpower	93.398		277,258		—
Cancer Research Manpower	93.398		26,140		—
Cancer Research Manpower	93.398		293,488		—
Cancer Research Manpower	93.398		30,120		—
Cancer Research Manpower	93.398		20,077		—
Cancer Research Manpower	93.398		40,631		—
Cancer Research Manpower	93.398		3,541		691,255
ARRA Grants for Training in Primary Care Medicine and Dentistry Training and Enhancement (ARRA)	93.403		107,604		107,604
Affordable Care Act (ACA) Grants for School-Based Health Center Capital Expenditures	93.501		433		433
Affordable Care Act (ACA) Expansion of Physician Assistant Training Program	93.514		475,200		475,200
Trustees of Columbia University in the City of New York	93.516	1GG006283		51,617	51,617
Community Service Society of New York	93.525	N/A		119,424	—
Community Service Society of New York	93.525	n/a		99,629	219,053
Community Service Society of New York	93.525	N/A		19,593	19,593
Institute for Family Health	93.530			(1,527)	—
NYS Office of Children and Family Services	93.558	C004090		(1,710)	—
NYS Office of Children and Family Services	93.558	C004091		188,021	—
NYS Office of Children and Family Services	93.558	C004564		145,002	—
NYS Office of Children and Family Services	93.558	C004570		64,049	—
NYS Office of Children and Family Services	93.558	C004571		323,234	—
NYS Office of Children and Family Services	93.558	C004573		76,370	—
NYS Office of Children and Family Services	93.558	C004575		25,878	—
NYS Office of Children and Family Services	93.558	C004587		312,097	—
NYS Office of Children and Family Services	93.558	C004590		217,107	—
NYS Office of Children and Family Services	93.558	C004605		188,503	—
NYS Office of Children and Family Services	93.558	C004588		298,604	—
NYS Office of Children and Family Services	93.558	C004574		151,036	—
NYS Office of Children and Family Services	93.558	C004807		208,216	—
NYS Office of Children and Family Services	93.558	C004802		67,735	—
NYS Office of Children and Family Services	93.558	C004808		348,659	—
NYS Office of Children and Family Services	93.558	C004909		81,701	—
NYS Office of Children and Family Services	93.558	C004805		195,829	—
NYS Office of Children and Family Services	93.558	C004799		28,208	—
NYS Office of Children and Family Services	93.558	C004798		350,435	—
NYS Office of Children and Family Services	93.558	C004801		223,185	—
NYS Office of Children and Family Services	93.558	C004795		234,677	—
SUNY at Stony Brook	93.558	C001770		76,272	—
SUNY at Stony Brook	93.558	C001769		80,661	—
SUNY at Stony Brook	93.558	C001766		66,099	—
SUNY at Stony Brook	93.558	C001767		288,067	—
SUNY at Stony Brook	93.558	C001705		120,905	—
SUNY at Stony Brook	93.558	C001847		68,173	—
SUNY at Stony Brook	93.558	C001844		21,232	—
SUNY at Stony Brook	93.558	C001843		89,919	—
SUNY at Stony Brook	93.558	C001845		70,246	—
SUNY at Stony Brook	93.558	C001846		124,764	—
NYS Office of Children and Family Services	93.558	N/A		(106,439)	—
NYS Office of Children and Family Services	93.558	N/A		5,892	—
NYS Office of Children and Family Services	93.558	N/A		(18,247)	—
NYS Office of Children and Family Services	93.558	N/A		(1,256)	—
NYS Office of Children and Family Services	93.558	N/A		4,137	—
NYS Office of Children and Family Services	93.558	N/A		(513)	—
NYS Office of Children and Family Services	93.558	N/A		(4,963)	—
NYS Office of Children and Family Services	93.558	N/A		(10)	—
NYS Office of Children and Family Services	93.558	N/A		484	—
NYS Office of Children and Family Services	93.558	N/A		630	—
NYS Office of Children and Family Services	93.558	N/A		(1,914)	—
NYS Office of Children and Family Services	93.558	N/A		(3,373)	—
NYS Office of Children and Family Services	93.558	N/A		58	—
NYS Office of Children and Family Services	93.558	N/A		(7,556)	—
NYS Office of Children and Family Services	93.558	N/A		(3,558)	—
NYS Office of Children and Family Services	93.558	N/A		(1,063)	—
NYS Office of Children and Family Services	93.558	N/A		76	—
NYS Office of Children and Family Services	93.558	N/A		(596)	—
NYS Office of Children and Family Services	93.558	N/A		405,922	—
NYS Office of Children and Family Services	93.558	N/A		29,461	—
NYS Office of Children and Family Services	93.558	N/A		52,107	—
NYS Office of Children and Family Services	93.558	N/A		1,446,911	—
NYS Office of Children and Family Services	93.558	N/A		231,170	—
NYS Office of Children and Family Services	93.558	N/A		42,058	—
NYS Office of Children and Family Services	93.558	N/A		140,917	—
NYS Office of Children and Family Services	93.558	N/A		91,100	—
NYS Office of Children and Family Services	93.558	N/A		79,273	—
NYS Office of Children and Family Services	93.558	N/A		1,124,460	—
NYS Office of Children and Family Services	93.558	N/A		69,472	—
NYS Office of Children and Family Services	93.558	N/A		38,085	—
NYS Office of Children and Family Services	93.558	N/A		90,733	—
NYS Office of Children and Family Services	93.558	N/A		202,530	—
NYS Office of Children and Family Services	93.558	N/A		270,357	—
NYS Office of Children and Family Services	93.558	N/A		69,780	—

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Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through Number	Direct expenditures	Pass- through expenditures	Total expenditures by CFDA and federal grantor
NYS Office of Children and Family Services	93.558	N/A	\$	222,633	—
NYS Office of Children and Family Services	93.558	N/A		104,407	—
NYS Office of Children and Family Services	93.558	C26760		15,440	—
NYS Office of Children and Family Services	93.558	C023001		10,513	—
NYS Office of Temporary & Disability Assistance	93.558	C002430		(15,378)	—
NYS Office of Temporary & Disability Assistance	93.558	C002083		4,129,642	—
NYS Office of Temporary & Disability Assistance	93.558	C002430		692,777	14,137,806
NYS Office of Children and Family Services	93.563	C004564		53,578	—
NYS Office of Temporary & Disability Assistance	93.563	C004568		410,103	—
NYS Office of Children and Family Services	93.563	C004605		23,807	—
NYS Office of Temporary & Disability Assistance	93.563	C004556		626,480	—
NYS Office of Temporary & Disability Assistance	93.563	C004553		287,296	—
NYS Office of Temporary & Disability Assistance	93.563	C004565		302,103	—
NYS Office of Temporary & Disability Assistance	93.563	C004775		367,834	—
NYS Office of Temporary & Disability Assistance	93.563	C004776		477,134	—
NYS Office of Temporary & Disability Assistance	93.563	C004774		133,815	—
NYS Office of Children and Family Services	93.563	C004802		39,827	—
NYS Office of Temporary & Disability Assistance	93.563	C004784		251,934	—
NYS Office of Children and Family Services	93.563	C004800		58,918	—
NYS Office of Children and Family Services	93.563	N/A		(3)	—
NYS Office of Children and Family Services	93.563	N/A		134	—
NYS Office of Children and Family Services	93.563	N/A		(293)	—
NYS Office of Children and Family Services	93.563	N/A		21	—
NYS Office of Children and Family Services	93.563	N/A		7,904	—
NYS Office of Children and Family Services	93.563	N/A		13,975	—
NYS Office of Children and Family Services	93.563	N/A		2,330	—
NYS Office of Children and Family Services	93.563	N/A		11,337	—
NYS Office of Temporary & Disability Assistance	93.563	N/A		15,209	—
NYS Office of Children and Family Services	93.563	C26760		4,142	—
NYS Office of Children and Family Services	93.563	C023001		2,595	3,090,180
NYS Office of Children and Family Services	93.568	C004564		29,906	—
NYS Office of Children and Family Services	93.568	C004605		14,448	—
NYS Office of Children and Family Services	93.568	C004802		19,913	—
NYS Office of Children and Family Services	93.568	C004800		26,135	—
NYS Office of Children and Family Services	93.568	N/A		(1)	—
NYS Office of Children and Family Services	93.568	N/A		33	—
NYS Office of Children and Family Services	93.568	N/A		(93)	—
NYS Office of Children and Family Services	93.568	N/A		7	—
NYS Office of Children and Family Services	93.568	N/A		4,477	—
NYS Office of Children and Family Services	93.568	N/A		7,898	—
NYS Office of Children and Family Services	93.568	N/A		1,210	—
NYS Office of Children and Family Services	93.568	N/A		5,886	—
NYS Office of Children and Family Services	93.568	C26760		2,346	—
NYS Office of Children and Family Services	93.568	C023001		1,347	113,512
NYS Office of Children and Family Services	93.575	C002262		157	—
NYS Office of Children and Family Services	93.575	C002411		373,080	—
NYS Office of Children and Family Services	93.575	C002411		1,602,572	1,975,809
NYS Office of Children and Family Services	93.576	C004564		1,988	—
NYS Office of Children and Family Services	93.576	C004605		5,856	—
NYS Office of Children and Family Services	93.576	C004802		1,677	—
NYS Office of Children and Family Services	93.576	C004800		13,530	23,051
NYS Office of Children and Family Services	93.596	C002282		70	—
NYS Office of Children and Family Services	93.596	C004105		(1,386)	—
NYS Office of Children and Family Services	93.596	C003086		(2,104)	—
NYS Office of Children and Family Services	93.596	C004090		(109)	—
NYS Office of Children and Family Services	93.596	C004117		(1,698)	—
NYS Office of Children and Family Services	93.596	C004564		81,949	—
NYS Office of Children and Family Services	93.596	C004570		8,485	—
NYS Office of Children and Family Services	93.596	C004571		53,962	—
NYS Office of Children and Family Services	93.596	C004572		307,731	—
NYS Office of Children and Family Services	93.596	C004573		18,938	—
NYS Office of Children and Family Services	93.596	C004591		251,603	—
NYS Office of Children and Family Services	93.596	C004575		4,468	—
NYS Office of Children and Family Services	93.596	C004587		1,515	—
NYS Office of Children and Family Services	93.596	C004596		5,550,600	—
NYS Office of Children and Family Services	93.596	C004605		129,542	—
NYS Office of Children and Family Services	93.596	C004588		11,042	—
NYS Office of Children and Family Services	93.596	C004574		15,969	—
NYS Office of Children and Family Services	93.596	C004807		4,284	—
NYS Office of Children and Family Services	93.596	C004802		51,984	—
NYS Office of Children and Family Services	93.596	C004808		53,190	—
NYS Office of Children and Family Services	93.596	C004806		275,024	—
NYS Office of Children and Family Services	93.596	C004909		9,937	—
NYS Office of Children and Family Services	93.596	C004805		2,322	—
NYS Office of Children and Family Services	93.596	C004797		212,062	—
NYS Office of Children and Family Services	93.596	C004799		5,563	—
NYS Office of Children and Family Services	93.596	C004798		800	—
NYS Office of Children and Family Services	93.596	C004796		3,535,680	—
NYS Office of Children and Family Services	93.596	C004800		110,667	—
NYS Office of Children and Family Services	93.596	C004795		5,990	—
SUNY at Stony Brook	93.596	C001770		4,473	—
SUNY at Stony Brook	93.596	C001769		4,717	—
SUNY at Stony Brook	93.596	C001766		3,871	—
SUNY at Stony Brook	93.596	C001767		16,866	—
SUNY at Stony Brook	93.596	C001705		7,070	—
SUNY at Stony Brook	93.596	C001847		1,938	—
SUNY at Stony Brook	93.596	C001844		605	—
SUNY at Stony Brook	93.596	C001843		2,553	—
SUNY at Stony Brook	93.596	C001845		1,998	—
SUNY at Stony Brook	93.596	C001846		3,541	—
NYS Office of Children and Family Services	93.596	N/A		(8,935)	—
NYS Office of Children and Family Services	93.596	N/A		495	—
NYS Office of Children and Family Services	93.596	N/A		(1,531)	—
NYS Office of Children and Family Services	93.596	N/A		(105)	—
NYS Office of Children and Family Services	93.596	N/A		(43)	—
NYS Office of Children and Family Services	93.596	N/A		(1)	—
NYS Office of Children and Family Services	93.596	N/A		25	—
NYS Office of Children and Family Services	93.596	N/A		422	—

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Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through Number	Direct expenditures	Pass- through expenditures	Total expenditures by CFDA and federal grantor
NYS Office of Children and Family Services	93.596	N/A	\$	(150)	—
NYS Office of Children and Family Services	93.596	N/A		(264)	—
NYS Office of Children and Family Services	93.596	N/A		5	—
NYS Office of Children and Family Services	93.596	N/A		(54)	—
NYS Office of Children and Family Services	93.596	N/A		4	—
NYS Office of Children and Family Services	93.596	N/A		(457)	—
NYS Office of Children and Family Services	93.596	N/A		1,214	—
NYS Office of Children and Family Services	93.596	N/A		2,146	—
NYS Office of Children and Family Services	93.596	N/A		84,853	—
NYS Office of Children and Family Services	93.596	N/A		13,548	—
NYS Office of Children and Family Services	93.596	N/A		2,459	—
NYS Office of Children and Family Services	93.596	N/A		5,339	—
NYS Office of Children and Family Services	93.596	N/A		50,788	—
NYS Office of Children and Family Services	93.596	N/A		31,912	—
NYS Office of Children and Family Services	93.596	N/A		1,980	—
NYS Office of Children and Family Services	93.596	N/A		1,079	—
NYS Office of Children and Family Services	93.596	N/A		2,586	—
NYS Office of Children and Family Services	93.596	N/A		20,370	—
NYS Office of Children and Family Services	93.596	N/A		41,297	—
NYS Office of Children and Family Services	93.596	N/A		6,273	—
NYS Office of Children and Family Services	93.596	N/A		1,050	—
NYS Office of Children and Family Services	93.596	C26760		636	—
NYS Office of Children and Family Services	93.596	C023001		243	11,002,896
Catholic Family Center of Rochester	93.605	HHS2012ACFACYFCF0510		64,472	—
Catholic Family Center of Rochester	93.605	N/A		91,601	156,073
NYS Developmental Disabilities Planning Council	93.630	C022123		12,373	—
NYS Developmental Disabilities Planning Council	93.630	C024304		90,903	103,276
Child Welfare Research Training or Demonstration	93.648		2,319,185		—
Child Welfare Research Training or Demonstration	93.648		251,831		—
Child Welfare Research Training or Demonstration	93.648		1,306,403		—
Eric County Department of Social Services	93.648	ED3265		52,642	3,930,061
NYS Office of Children and Family Services	93.658	C004090		(184)	—
NYS Office of Children and Family Services	93.658	C004564		60,264	—
NYS Office of Children and Family Services	93.658	C004570		10,237	—
NYS Office of Children and Family Services	93.658	C004571		12,036	—
NYS Office of Children and Family Services	93.658	C004573		54,633	—
NYS Office of Children and Family Services	93.658	C004575		5,978	—
NYS Office of Children and Family Services	93.658	C004587		1,821	—
NYS Office of Children and Family Services	93.658	C004590		25,878	—
NYS Office of Children and Family Services	93.658	C004605		91,506	—
NYS Office of Children and Family Services	93.658	C004588		23,965	—
NYS Office of Children and Family Services	93.658	C004574		33,460	—
Albany County Department for Children Youth and Families	93.658	483		19,763	—
NYS Office of Children and Family Services	93.658	C004807		8,777	—
NYS Office of Children and Family Services	93.658	C004802		41,294	—
NYS Office of Children and Family Services	93.658	C004808		11,860	—
NYS Office of Children and Family Services	93.658	C004909		48,676	—
NYS Office of Children and Family Services	93.658	C004805		5,256	—
NYS Office of Children and Family Services	93.658	C004799		22,652	—
NYS Office of Children and Family Services	93.658	C004798		1,639	—
NYS Office of Children and Family Services	93.658	C004801		24,040	—
NYS Office of Children and Family Services	93.658	C004800		70,598	—
NYS Office of Children and Family Services	93.658	C004795		18,825	—
SUNY at Stony Brook	93.658	C001770		6,326	—
SUNY at Stony Brook	93.658	C001769		7,198	—
SUNY at Stony Brook	93.658	C001766		7,339	—
SUNY at Stony Brook	93.658	C001767		11,574	—
SUNY at Stony Brook	93.658	C001705		4,057	—
SUNY at Stony Brook	93.658	C001847		4,664	—
SUNY at Stony Brook	93.658	C001844		583	—
SUNY at Stony Brook	93.658	C001843		6,673	—
SUNY at Stony Brook	93.658	C001845		14,611	—
SUNY at Stony Brook	93.658	C001846		11,692	—
NYS Office of Children and Family Services	93.658	N/A		(9,776)	—
NYS Office of Children and Family Services	93.658	N/A		549	—
NYS Office of Children and Family Services	93.658	N/A		(4,110)	—
NYS Office of Children and Family Services	93.658	N/A		(119)	—
NYS Office of Children and Family Services	93.658	N/A		(49)	—
NYS Office of Children and Family Services	93.658	N/A		(1,155)	—
NYS Office of Children and Family Services	93.658	N/A		(3)	—
NYS Office of Children and Family Services	93.658	N/A		143	—
NYS Office of Children and Family Services	93.658	N/A		297	—
NYS Office of Children and Family Services	93.658	N/A		13	—
NYS Office of Children and Family Services	93.658	N/A		(173)	—
NYS Office of Children and Family Services	93.658	N/A		(717)	—
NYS Office of Children and Family Services	93.658	N/A		5	—
NYS Office of Children and Family Services	93.658	N/A		(1,845)	—
NYS Office of Children and Family Services	93.658	N/A		(311)	—
NYS Office of Children and Family Services	93.658	N/A		(20)	—
NYS Office of Children and Family Services	93.658	N/A		22	—
NYS Office of Children and Family Services	93.658	N/A		(311)	—
NYS Office of Children and Family Services	93.658	N/A		114,008	—
NYS Office of Children and Family Services	93.658	N/A		200,069	—
NYS Office of Children and Family Services	93.658	N/A		7,817	—
NYS Office of Children and Family Services	93.658	N/A		13,821	—
NYS Office of Children and Family Services	93.658	N/A		114,721	—
NYS Office of Children and Family Services	93.658	N/A		42,270	—
NYS Office of Children and Family Services	93.658	N/A		3,308	—
NYS Office of Children and Family Services	93.658	N/A		7,303	—
NYS Office of Children and Family Services	93.658	N/A		35,761	—
NYS Office of Children and Family Services	93.658	N/A		71,802	—
NYS Office of Children and Family Services	93.658	N/A		10,418	—
NYS Office of Children and Family Services	93.658	N/A		2,481	—
NYS Office of Children and Family Services	93.658	N/A		5,993	—
NYS Office of Children and Family Services	93.658	N/A		21,437	—
NYS Office of Children and Family Services	93.658	N/A		73,211	—
NYS Office of Children and Family Services	93.658	N/A		187,073	—
NYS Office of Children and Family Services	93.658	N/A		26,214	—

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Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through Number	Direct expenditures	Pass- through expenditures	Total expenditures by CFDA and federal grantor
NYS Office of Children and Family Services	93.658	N/A	\$	16,174	—
NYS Office of Children and Family Services	93.658	N/A		10,980	—
NYS Office of Children and Family Services	93.658	C26760		4,097	—
NYS Office of Children and Family Services	93.658	C023001		2,515	1,621,604
NYS Office of Children and Family Services	93.659	C004090		(712)	—
NYS Office of Children and Family Services	93.659	C004570		73,720	—
NYS Office of Children and Family Services	93.659	C004573		116,623	—
NYS Office of Children and Family Services	93.659	C004575		37,957	—
NYS Office of Children and Family Services	93.659	C004587		13,166	—
NYS Office of Children and Family Services	93.659	C004590		152,920	—
NYS Office of Children and Family Services	93.659	C004588		79,843	—
NYS Office of Children and Family Services	93.659	C004574		117,173	—
NYS Office of Children and Family Services	93.659	C004807		63,476	—
NYS Office of Children and Family Services	93.659	C004909		103,830	—
NYS Office of Children and Family Services	93.659	C004805		33,542	—
NYS Office of Children and Family Services	93.659	C004799		65,373	—
NYS Office of Children and Family Services	93.659	C004798		11,855	—
NYS Office of Children and Family Services	93.659	C004801		141,935	—
NYS Office of Children and Family Services	93.659	C004795		78,853	—
SUNY at Stony Brook	93.659	C001770		37,370	—
SUNY at Stony Brook	93.659	C001769		38,755	—
SUNY at Stony Brook	93.659	C001766		29,596	—
SUNY at Stony Brook	93.659	C001767		159,559	—
SUNY at Stony Brook	93.659	C001705		68,164	—
SUNY at Stony Brook	93.659	C001847		27,585	—
SUNY at Stony Brook	93.659	C001844		9,896	—
SUNY at Stony Brook	93.659	C001843		35,608	—
SUNY at Stony Brook	93.659	C001845		13,729	—
SUNY at Stony Brook	93.659	C001846		45,747	—
NYS Office of Children and Family Services	93.659	N/A		(63,275)	—
NYS Office of Children and Family Services	93.659	N/A		3,524	—
NYS Office of Children and Family Services	93.659	N/A		(7,160)	—
NYS Office of Children and Family Services	93.659	N/A		(759)	—
NYS Office of Children and Family Services	93.659	N/A		(309)	—
NYS Office of Children and Family Services	93.659	N/A		(7,665)	—
NYS Office of Children and Family Services	93.659	N/A		18	—
NYS Office of Children and Family Services	93.659	N/A		(1,101)	—
NYS Office of Children and Family Services	93.659	N/A		(1,296)	—
NYS Office of Children and Family Services	93.659	N/A		33	—
NYS Office of Children and Family Services	93.659	N/A		(12,380)	—
NYS Office of Children and Family Services	93.659	N/A		(28)	—
NYS Office of Children and Family Services	93.659	N/A		761,734	—
NYS Office of Children and Family Services	93.659	N/A		295,397	—
NYS Office of Children and Family Services	93.659	N/A		716,498	—
NYS Office of Children and Family Services	93.659	N/A		78,604	—
NYS Office of Children and Family Services	93.659	N/A		20,876	—
NYS Office of Children and Family Services	93.659	N/A		45,016	—
NYS Office of Children and Family Services	93.659	N/A		462,948	—
NYS Office of Children and Family Services	93.659	N/A		19,611	—
NYS Office of Children and Family Services	93.659	N/A		15,603	—
NYS Office of Children and Family Services	93.659	N/A		37,046	—
NYS Office of Children and Family Services	93.659	N/A		126,943	—
NYS Office of Children and Family Services	93.659	N/A		497,573	—
NYS Office of Children and Family Services	93.659	N/A		277,128	—
NYS Office of Children and Family Services	93.659	N/A		87,279	4,907,421
NYS Office of Children and Family Services	93.667	C003084		(29)	—
NYS Office of Children and Family Services	93.667	C004090		(952)	—
NYS Office of Children and Family Services	93.667	C004570		106,081	—
NYS Office of Children and Family Services	93.667	C004573		167,782	—
NYS Office of Children and Family Services	93.667	C004575		82,079	—
NYS Office of Children and Family Services	93.667	C004587		18,942	—
NYS Office of Children and Family Services	93.667	C004590		220,032	—
NYS Office of Children and Family Services	93.667	C004588		114,892	—
NYS Office of Children and Family Services	93.667	C004574		168,503	—
NYS Office of Children and Family Services	93.667	C004807		71,983	—
NYS Office of Children and Family Services	93.667	C004909		117,792	—
NYS Office of Children and Family Services	93.667	C004805		62,906	—
NYS Office of Children and Family Services	93.667	C004799		74,172	—
NYS Office of Children and Family Services	93.667	C004798		13,444	—
NYS Office of Children and Family Services	93.667	C004801		160,760	—
NYS Office of Children and Family Services	93.667	C004795		89,507	—
SUNY at Stony Brook	93.667	C001770		53,765	—
SUNY at Stony Brook	93.667	C001769		71,999	—
SUNY at Stony Brook	93.667	C001766		42,571	—
SUNY at Stony Brook	93.667	C001767		229,635	—
SUNY at Stony Brook	93.667	C001705		98,114	—
SUNY at Stony Brook	93.667	C001847		31,287	—
SUNY at Stony Brook	93.667	C001844		11,219	—
SUNY at Stony Brook	93.667	C001843		58,663	—
SUNY at Stony Brook	93.667	C001845		15,564	—
SUNY at Stony Brook	93.667	C001846		51,902	—
NYS Office of Children and Family Services	93.667	N/A		(91,678)	—
NYS Office of Children and Family Services	93.667	N/A		5,057	—
NYS Office of Children and Family Services	93.667	N/A		(10,555)	—
NYS Office of Children and Family Services	93.667	N/A		(1,074)	—
NYS Office of Children and Family Services	93.667	N/A		(438)	—
NYS Office of Children and Family Services	93.667	N/A		(1,473)	—
NYS Office of Children and Family Services	93.667	N/A		2,962	—
NYS Office of Children and Family Services	93.667	N/A		(1,768)	—
NYS Office of Children and Family Services	93.667	N/A		45	—
NYS Office of Children and Family Services	93.667	N/A		1,031,132	—
NYS Office of Children and Family Services	93.667	N/A		924,813	—
NYS Office of Children and Family Services	93.667	N/A		113,119	—
NYS Office of Children and Family Services	93.667	N/A		30,050	—
NYS Office of Children and Family Services	93.667	N/A		64,791	—
NYS Office of Children and Family Services	93.667	N/A		524,999	—
NYS Office of Children and Family Services	93.667	N/A		673,896	—
NYS Office of Children and Family Services	93.667	N/A		22,246	—

**THE RESEARCH FOUNDATION FOR
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Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through Number	Direct expenditures	Pass- through expenditures	Total expenditures by CFDA and federal grantor
NYS Office of Children and Family Services	93.667	N/A	\$	17,693	—
NYS Office of Children and Family Services	93.667	N/A		42,004	—
NYS Office of Children and Family Services	93.667	N/A		136,696	—
NYS Office of Children and Family Services	93.667	N/A		98,928	—
NYS Office of Temporary & Disability Assistance	93.667	C021485		57,620	—
NYS Office of Temporary & Disability Assistance	93.667	C021479		247,671	—
NYS Office of Temporary & Disability Assistance	93.667	C021485		826	—
NYS Office of Temporary & Disability Assistance	93.667	C021479		78,876	—
Herkimer County Department of Social Services	93.667	N/A		101,517	—
Herkimer County Department of Social Services	93.667	N/A		88,617	—
Erie County Department of Social Services	93.667	ED2201		(300)	—
Erie County Department of Social Services	93.667	ED3266		29,606	—
Erie County Department of Social Services	93.667	ED3267		126,084	—
Ontario County Department of Social Services	93.667	N/A		19,354	—
Erie County Department of Social Services	93.667	ED3498		420,011	—
Erie County Department of Social Services	93.667	ED3496		202,099	—
Ontario County Department of Social Services	93.667	N/A		33,065	7,119,104
Trans-NIH Recovery Act Research Support (ARRA)	93.701		7,197		7,197
National Center for Research Resources, Recovery Act Construction Support (ARRA)	93.702		606,666		606,666
Mental and Behavioral Health Education and Training Grants	93.732		155,043		—
Nazareth College	93.732	0218125 SUB		3,008	158,051
NYS Office for the Aging	93.734	C120048		353,389	353,389
NYS Office of Children and Family Services	93.778	C004564		108,151	—
NYS Office of Children and Family Services	93.778	C004571		3,156	—
NYS Office of Children and Family Services	93.778	C004605		26,762	—
NYS Office of Children and Family Services	93.778	C004802		75,461	—
NYS Office of Children and Family Services	93.778	C004808		2,874	—
NYS Office of Children and Family Services	93.778	C004800		19,832	—
NYS Office of Children and Family Services	93.778	N/A		(6)	—
NYS Office of Children and Family Services	93.778	N/A		274	—
NYS Office of Children and Family Services	93.778	N/A		155	—
NYS Office of Children and Family Services	93.778	N/A		(1,700)	—
NYS Office of Children and Family Services	93.778	N/A		122	—
NYS Office of Children and Family Services	93.778	N/A		(89)	—
NYS Office of Children and Family Services	93.778	N/A		17,323	—
NYS Office of Children and Family Services	93.778	N/A		30,629	—
NYS Office of Children and Family Services	93.778	N/A		10,468	—
NYS Office of Children and Family Services	93.778	N/A		5,018	—
NYS Office of Children and Family Services	93.778	N/A		24,457	—
NYS Office of Children and Family Services	93.778	C26760		9,079	—
NYS Office of Children and Family Services	93.778	C023001		5,602	337,568
Multiple Sponsors	93.779	N/A		6,923	—
NYS Office For People with Dev Disabilities	93.779	N/A		243,921	—
NYS Office For People with Dev Disabilities	93.779	N/A		128,656	—
NYS Department of Social Services	93.779	N/A		132,086	—
NYS Department of Social Services	93.779	NA		143,057	—
NYS Office For People with Dev Disabilities	93.779	N/A		97,623	752,266
Health Careers Opportunity Program	93.822		324,938		—
Health Careers Opportunity Program	93.822		422,115		747,053
Cardiovascular Diseases Research	93.837		48,081		—
Cardiovascular Diseases Research	93.837		342,278		390,359
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847		9,367		—
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847		125,845		—
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847		23,895		—
American Gastroenterological Association	93.847	003		1,472	—
American Gastroenterological Association	93.847	003		6,382	166,961
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		(43)		—
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		29,602		—
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		24,003		—
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		11,069		—
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		29,160		—
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		31,360		—
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853		27,602		152,753
Allergy, Immunology and Transplantation Research	93.855		8,960		—
Allergy, Immunology and Transplantation Research	93.855		128,889		—
Allergy, Immunology and Transplantation Research	93.855		31,783		—
Allergy, Immunology and Transplantation Research	93.855		52,247		—
Allergy, Immunology and Transplantation Research	93.855		26,139		—
Allergy, Immunology and Transplantation Research	93.855		125,736		373,754
Biomedical Research and Research Training	93.859		4,000		—
Biomedical Research and Research Training	93.859		211,204		—
Biomedical Research and Research Training	93.859		375,455		—
Biomedical Research and Research Training	93.859		198,399		—
Biomedical Research and Research Training	93.859		1,984		—
Biomedical Research and Research Training	93.859		(648)		—
Biomedical Research and Research Training	93.859		126		—
Biomedical Research and Research Training	93.859		6,072		—
Biomedical Research and Research Training	93.859		19,368		—
Biomedical Research and Research Training	93.859		47,689		—
Biomedical Research and Research Training	93.859		31,157		—
Biomedical Research and Research Training	93.859		51,495		—
Biomedical Research and Research Training	93.859		46,787		—
Biomedical Research and Research Training	93.859		448,827		—
Biomedical Research and Research Training	93.859		241,316		—
Biomedical Research and Research Training	93.859		120,956		—
Biomedical Research and Research Training	93.859		203,846		—
Biomedical Research and Research Training	93.859		255,265		—
Biomedical Research and Research Training	93.859		250,485		—
Biomedical Research and Research Training	93.859		41,747		—
Biomedical Research and Research Training	93.859		14,252		—
Biomedical Research and Research Training	93.859		80,556		—
Biomedical Research and Research Training	93.859		94		—
Biomedical Research and Research Training	93.859		221,277		2,871,709
Aging Research	93.866		3,521		3,521
Vision Research	93.867		26,098		—
Vision Research	93.867		19,829		45,927
University of Pittsburgh	93.879	0020803407796UPSTATE3		1,150	1,150
Grants for Primary Care Training and Enhancement	93.884		155,197		—

**THE RESEARCH FOUNDATION FOR
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Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through Number	Direct expenditures	Pass- through expenditures	Total expenditures by CFDA and federal grantor
Grants for Primary Care Training and Enhancement	93.884		\$ 239,734		—
Grants for Primary Care Training and Enhancement	93.884		204,203		—
Grants for Primary Care Training and Enhancement	93.884		28,387		—
Grants for Primary Care Training and Enhancement	93.884		99,606		727,127
Health Care and Other Facilities	93.887		175,766		175,766
Public Health Solutions	93.889	12LICH001 76601		3,024	—
Health Research Inc.	93.889	285708		952	—
Health Research Inc.	93.889	2856		4,779	—
Health Research Inc.	93.889	434902		1,006	—
Health Research Inc.	93.889	4349		862	—
Health Research Inc.	93.889	2856		81,180	—
Health Research Inc.	93.889	285708		1,625	—
Health Research Inc.	93.889	334806		(1,509)	91,919
United Way of Long Island	93.914	12725		20	—
United Way of Long Island	93.914	139800		416	—
United Way of Long Island	93.914	13725		110,971	—
United Way of Long Island	93.914	13724		84,959	—
Public Health Solutions	93.914	11ESR364		(25,089)	—
Public Health Solutions	93.914	11ESP364		(15,963)	—
Public Health Solutions	93.914	10MCM364		431	—
Public Health Solutions	93.914	11ESP364		79,792	—
Public Health Solutions	93.914	10MCM364		489,692	—
Public Health Solutions	93.914	06SCF364		160,608	—
Public Health Solutions	93.914	11ESR364	\$	43,113	—
Public Health Solutions	93.914	11ESP364		33,029	—
Public Health Solutions	93.914	11ESR364		23,184	—
Public Health Solutions	93.914	06SCF364		85,345	—
Public Health Solutions	93.914	10MCM364		226,414	1,296,922
Health Research Inc.	93.917	437403		72,910	—
Health Research Inc.	93.917	437403		23,367	—
Health Research Inc.	93.917	357306		153,920	—
Health Research Inc.	93.917	357306		40,213	—
Health Research Inc.	93.917	393304		203,626	—
Health Research Inc.	93.917	393304		39,683	533,719
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	93.918		623,297		—
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	93.918	ti	80,494		—
Grants to Provide Outpatient Early Intervention Services with Respect to HIV Disease	93.918		614,753		1,318,544
NOVA Southeastern University	93.924	331383		16,233	16,233
Special Projects of National Significance	93.928		106,107		—
Special Projects of National Significance	93.928		93,477		—
Special Projects of National Significance	93.928		295,516		—
Special Projects of National Significance	93.928		266,393		761,493
Herrick-Martin Institute	93.939	N/A		97,622	97,622
Public Health Solutions	93.940	13RFSUNY01		27,193	27,193
Health Research Inc.	93.941	15061902		7	—
Health Research Inc.	93.941	15061903		79,677	—
Health Research Inc.	93.941	15061903		17,792	97,476
Health Research Inc.	93.945	15067801		114,451	—
Health Research Inc.	93.945	15067802		143,214	257,665
Council on Addiction Prevention and Education	93.959	N/A		4,052	4,052
University of Rochester	93.969	415929G		14,961	—
University of Rochester	93.969	416274		48,315	—
Clinton County Office for the Aging	93.969	N/A		22,427	—
Clinton County Office for the Aging	93.969	N/A		20,362	106,065
Preventive Health Services, Sexually Transmitted Diseases Research, Demonstrations, and Public Information and Education Grants	93.978		226		226
International Research and Research Training	93.989		(120)		—
International Research and Research Training	93.989		24,331		—
International Research and Research Training	93.989		799,795		—
International Research and Research Training	93.989		62,851		886,857
NYS Department of Health	93.991	C024260		59,901	—
NYS Department of Health	93.991	C024260		14,859	74,760
NYS Department of Health	93.994	C025872		27,137	—
NYS Department of Health	93.994	C025872		66,623	—
NYS Department of Health	93.994	C026997		—	—
NYS Department of Health	93.994	C027551		369	—
NYS Department of Health	93.994	C026816		469,379	—
NYS Department of Health	93.994	C026997		173,800	—
NYS Department of Health	93.994	C027551		13,359	—
NYS Department of Health	93.994	C026816		173,073	—
NYS Department of Health	93.994	C026997		139,249	—
NYS Department of Health	93.994	C022457A		402,017	—
NYS Department of Health	93.994	C022457A		420,157	1,885,163
Total U.S. Department of Health and Human Services			<u>28,713,587</u>	<u>51,671,380</u>	<u>80,384,967</u>

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<u>Federal grantor/federal subdivision or pass-through grantor</u>	<u>CFDA number</u>	<u>Pass-through Number</u>	<u>Direct expenditures</u>	<u>Pass- through expenditures</u>	<u>Total expenditures by CFDA and federal grantor</u>
Corporation for National and Community Service:					
Retired and Senior Volunteer Program	94.002		\$ 42,180		—
Retired and Senior Volunteer Program	94.002		20,564		62,744
American Association of State Colleges and Universe	94.005	NA		12,565	12,565
NYS Office of Children and Family Services	94.006	T011670		7,316	—
NYS Office of Children and Family Services	94.006	T011670		4,529	—
NYS Office of Children and Family Services	94.006	C026679		91,592	103,437
Total Corporation for National and Community Service			<u>62,744</u>	<u>116,002</u>	<u>178,746</u>
Social Security Administration:					
NYS Office of Children and Family Services	96.001	C004564		162,633	—
NYS Office of Children and Family Services	96.001	C004605		985	—
NYS Office of Temporary & Disability Assistance	96.001	C004567		49,597	—
NYS Office of Children and Family Services	96.001	C004802		111,095	—
NYS Office of Children and Family Services	96.001	C004800		2,082	—
NYS Office of Temporary & Disability Assistance	96.001	N/A		21,294	347,686
Total Social Security Administration			<u>—</u>	<u>347,686</u>	<u>347,686</u>
U.S. Department of Homeland Security:					
U.S. Sailing Association	97.012	N/A		9,850	9,850
NYS Emergency Management Office	97.042	T000679		28,815	—
NYS Division of Homeland Security and Emergency Management Services	97.042	na		20,200	49,015
Applied Research in Environmental Sciences Nonprofit Incorporated	97.061	NA		600	600
Homeland Security-related Science, Technology, Engineering and Mathematics (HS STEM) Career Development Program	97.104		63,922		63,922
Total U.S. Department of Homeland Security			<u>63,922</u>	<u>59,465</u>	<u>123,387</u>
Agency for International Development:					
USAID Foreign Assistance for Programs Overseas	98.001		(5,172)		—
USAID Foreign Assistance for Programs Overseas	98.001		7,592		—
USAID Foreign Assistance for Programs Overseas	98.001		2,636,301		—
USAID Foreign Assistance for Programs Overseas	98.001		75,310		—
USAID Foreign Assistance for Programs Overseas	98.001		2,011,881		—
USAID Foreign Assistance for Programs Overseas	98.001		1,331,337		—
USAID Foreign Assistance for Programs Overseas	98.001		1,525,308		—
USAID Foreign Assistance for Programs Overseas	98.001		77,680		—
Asia Foundation	98.001	31508400001		741,782	—
Deloitte Consulting Limited Liability Partnership	98.001	33710001SA13		285,474	8,687,493
Total Agency for International Development			<u>7,660,237</u>	<u>1,027,256</u>	<u>8,687,493</u>
Total Other Programs			<u>64,133,778</u>	<u>85,625,017</u>	<u>149,758,795</u>
TOTAL EXPENDITURES OF FEDERAL AWARDS			<u>\$ 353,106,758</u>	<u>144,510,001</u>	<u>497,616,759</u>

See accompanying independent auditors' report.

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Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2014

(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.

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Indirect cost charges to federal awards for the year ended June 30, 2014 were as follows:

Research and development	\$	92,078,811
Other programs		<u>16,194,418</u>
Total		<u><u>\$ 108,273,229</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>Program expenditures</u>
SNAP Cluster:		
Supplemental Nutrition Assistance Program (10.551)	\$	7,024,927
State Administrative Matching Grants for the Supplemental Nutrition Assistance Program (10.561)		<u>912,409</u>
Total SNAP Cluster	\$	<u><u>7,937,336</u></u>
Economic Development Cluster:		
Investments for Public Works and Economic Development Facilities (11.300)	\$	<u>174,716</u>
Total Economic Development Cluster	\$	<u><u>174,716</u></u>
CDBG - Entitlements Grant Cluster:		
Community Development Block Grants / Special Purpose Grants / Insular Areas (14.254)	\$	<u>3,024</u>
Total CDBG - Entitles Grant Cluster	\$	<u><u>3,024</u></u>
HOPE VI Cluster:		
Choice Neighborhoods Implementation Grants (14.889)	\$	<u>8,433</u>
Total HOPE VI Cluster	\$	<u><u>8,433</u></u>
Fish and Wildlife Cluster:		
Sport Fish Restoration Program (15.605)	\$	5,000
Wildlife Restoration and Basic Hunter Education (15.611)		<u>485,545</u>
Total Fish and Wildlife Cluster	\$	<u><u>490,545</u></u>

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Year ended June 30, 2014

	<u>Program expenditures</u>
JAG Program Cluster:	
Edward Byrne Memorial Justice Assistance Grant Program (16.738)	\$ 128,978
Total JAG Program Cluster	<u>\$ 128,978</u>
Workforce Investment Act (WIA) Cluster:	
WIA Youth Activities (17.259)	\$ 7,631
Total WIA Cluster	<u>\$ 7,631</u>
Federal Transit Cluster:	
Federal Transit – Capital Investment Grants (20.500)	\$ 320,538
Total Federal Transit Cluster	<u>\$ 320,538</u>
Highway Safety Cluster:	
State and Community Highway Safety (20.600)	\$ 1,243,695
Occupant Protection Incentive Grants (20.602)	13,614
Safety Belt Performance Grants (20.609)	(760)
Total Highway Safety Cluster	<u>\$ 1,256,549</u>
Special Education Cluster:	
Special Education – Grants to States (84.027)	\$ 723,116
Special Education – Preschool Grants (84.173)	49,875
Total Special Education Cluster	<u>\$ 772,991</u>
TRIO Cluster:	
TRIO – Student Support Services (84.042)	\$ 3,031,163
TRIO – Talent Search (84.044)	584,283
TRIO – Upward Bound (84.047)	2,524,573
TRIO – McNair Post-Baccalaureate Achievement (84.217)	945,952
Total TRIO Cluster	<u>\$ 7,085,971</u>
Teacher Quality Partnerships Grants Cluster:	
Teacher Quality Partnership Grants (84.336)	\$ 25,314
Total Teacher Quality Partnerships Grants Cluster	<u>\$ 25,314</u>
School Improvement Grants Cluster:	
School Improvement Grant (84.377)	\$ 82,837
School Improvement Grant, Recovery Act (84.388)	46,537
Total School Improvement Grants Cluster	<u>\$ 129,374</u>

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2014

	<u>Program expenditures</u>
Temporary Assistance for Needy Families (TANF) Cluster:	
Temporary Assistance for Needy Families (93.558)	\$ 14,137,806
Total Temporary Assistance for Needy Family Cluster	<u>\$ 14,137,806</u>
Child Care Cluster:	
Child Care and Development Block Grant (93.575)	\$ 1,975,809
Child Care Mandatory and Matching Funds of the Child Care and Development Fund (93.596)	11,002,896
Total Child Care Cluster	<u>\$ 12,978,705</u>
Medicaid Cluster:	
Medical Assistance Program (93.778)	\$ 337,568
Total Medicaid Cluster	<u>\$ 337,568</u>
Disability Insurance/SSI Cluster:	
Social Security – Disability Insurance (96.001)	\$ 347,686
Total Disability Insurance/SSI Cluster	<u>\$ 347,686</u>

(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, 2014:

Program title	Federal CFDA number	Research and development	Other programs
U.S. Department of Agriculture Grants for Agricultural Research, Special Research Grants	10.000	\$ 34,946	
Higher Education – Institution Challenge Grants Program	10.200	1,767	
Agriculture and Food Research Initiative (AFRI)	10.217		89,944
Forestry Research	10.310	326,534	
National Fish and Wildlife Foundation	10.652	33,512	
Environmental Quality Incentives Program	10.683	5,114	
Sea Grant Support	10.912	2,193	
	11.417	1,056,194	

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2014

<u>Program title</u>	<u>Federal CFDA number</u>	<u>Research and development</u>	<u>Other programs</u>
Center for Sponsored Coastal Ocean Research_Coastal Ocean Program	11.478	\$ 12,450	
NOAA Programs for Disaster Relief Appropriations Act – Nonconstruction and Construction	11.483	19,537	
Measurement and Engineering Research and Standards	11.609	1,293,611	
U.S. Department of Defense	12.000	56,039	
Basic and Applied Scientific Research	12.300	174,836	
Military Medical Research and Development	12.420	154,687	
Basic Scientific Research	12.431	670,522	
Basic, Applied, and Advanced Research in Science and Engineering	12.630	1,872,798	
Air Force Defense Research Sciences Program	12.800	887,045	
Research and Technology Development	12.910	743,739	
Central Intelligence Agency	13.000	103,896	
Hurricane Sandy Community Development Block Grant Disaster Recovery Grants (CDBG-DR)	14.269		13,007
U.S. Department of the Interior	15.000	16,378	
Cooperative Endangered Species Conservation Fund	15.615	2,748	
Violence Against Women Act Court Training and Improvement Grants	16.013		10,042
National Institute of Justice Research, Evaluation, and Development Project Grants	16.560	1,801	
Juvenile Mentoring Program	16.726	94,614	
H-1B Job Training Grants	17.268		50,071
Investing in People in The Middle East and North Africa	19.021		6,173
General Department of State Assistance	19.700	21,800	
U.S. Department of Transportation	20.000	16,718	
Highway Research and Development Program	20.200	639	
Highway Planning and Construction	20.205	63,471	
University Transportation Centers Program	20.701	7,546	
National Aeronautics and Space Administration	43.000	18,465	
Science	43.001	258,786	
Aeronautics	43.002	33,016	
Promotion of the Humanities_Office of Digital Humanities	45.169	1,876	
Laura Bush 21st Century Librarian Program	45.313	16,000	
Engineering Grants	47.041	230,773	
Mathematical and Physical Sciences	47.049	96,701	

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2014

<u>Program title</u>	<u>Federal CFDA number</u>	<u>Research and development</u>	<u>Other programs</u>
Geosciences	47.050	\$ 151,418	
Computer and Information Science and Engineering	47.070	94,916	
Biological Sciences	47.074	1,603,262	
Social, Behavioral, and Economic Sciences	47.075	47,582	
Education and Human Resources	47.076	113,478	135,788
Office of International and Integrative Activities	47.079	16,829	
Office of Cyberinfrastructure	47.080	396,700	
Trans-NSF Recovery Act Research Support	47.082	23,191	397,557
Small Business Administration	59.000		1,309,594
Small Business Development Centers	59.037		3,899,077
Federal and State Technology Partnership Program	59.058		10,108
Entrepreneurial Development Disaster Assistance (Disaster Relief Appropriations Act)	59.064		1,285,468
Long Island Sound Program	66.437	61,850	
Great Lakes Program	66.469	99,169	
Science To Achieve Results (STAR) Research Program	66.509	10,709	
U.S. Department of Energy	81.000	11,385	
Office of Science Financial Assistance Program	81.049	1,626,232	
University Coal Research	81.057	58,134	
Renewable Energy Research and Development	81.087	1,299,674	
U.S. Department of Education	84.000		17,000
Migrant Education_State Grant Program	84.011		76,272
National Institute on Disability and Rehabilitation Research	84.133	481,959	
Education Research, Development and Dissemination		76,253	
Research in Special Education	84.305	117,094	
Special Education – Personnel Development to Improve Services and Results for Children with Disabilities	84.324	43,133	
Improving Teacher Quality State Grants	84.325		244,199
College Access Challenge Grant Program	84.367		104,195
Department of Education	84.378		11,250
Investing in Innovation (i3) Fund	84.395		53,107
U.S. Department of Health and Human Services	84.411	946,758	

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2014

<u>Program title</u>	<u>Federal CFDA number</u>	<u>Research and development</u>	<u>Other programs</u>
Public Health Emergency Preparedness Area Health Education Centers Point of Service Maintenance and Enhancement Awards	93.069	\$	122,386
Environmental Health	93.107		682,521
Oral Diseases and Disorders Research	93.113	645,685	
Research Related to Deafness and Communication Disorders	93.121	1,166,464	
Research on Healthcare Costs, Quality and Outcomes	93.173	116,431	
Grants to States to Support Oral Health Workforce Activities	93.226	148,240	
Mental Health Research Grants	93.236		45,329
Substance Abuse and Mental Health Services_Projects of Regional and National Significance	93.242	911,780	
Occupational Safety and Health Program	93.243		5,849
Alcohol Research Programs	93.262	513,796	
Drug Abuse and Addiction Research Programs	93.273	6,605,715	
Mental Health Research Career/Scientist Development Awards	93.279	83,327	
Centers for Disease Control and Prevention_Investigations and Technical Assistance	93.281		22,294
Discovery and Applied Research for Technological Innovations to Improve Human Health	93.283	4,126	
Minority Health and Health Disparities Research	93.286	872,528	
Trans-NIH Research Support	93.307	459,002	7,038
Cancer Cause and Prevention Research	93.310	89,880	
Cancer Treatment Research	93.393	427,615	
Cancer Biology Research	93.395	646,918	
Cancer Research Manpower	93.396	111,227	
Temporary Assistance for Needy Families	93.398		4,821
Child Support Enforcement	93.558		923,731
Child Care and Development Block Grant	93.563		228,327
Child Welfare Research Training or Demonstration	93.575		1,848,049
Adoption Assistance	93.648		3,191,762
Trans-NIH Recovery Act Research Support	93.659		180,849
National Center for Research Resources, Recovery Act Construction Support	93.701	(1,438)	
	93.702	919,027	

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2014

<u>Program title</u>	<u>Federal CFDA number</u>	<u>Research and development</u>	<u>Other programs</u>
Mental and Behavioral Health Education and Training Grants	93.732	\$	53,661
Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education Programs	93.734		42,600
Health Careers Opportunity Program	93.822		313,551
Cardiovascular Diseases Research	93.837	307,321	47,872
Lung Diseases Research	93.838	194,430	
Blood Diseases and Resources Research	93.839	428,743	
Arthritis, Musculoskeletal and Skin Diseases Research	93.846	143,054	
Diabetes, Digestive, and Kidney Diseases Extramural Research	93.847	1,327,471	
Extramural Research Programs in the Neurosciences and Neurological Disorders	93.853	267,889	
Allergy, Immunology and Transplantation Research	93.855	725,697	
Biomedical Research and Research Training	93.859	421,563	
Child Health and Human Development Extramural Research	93.865	332,333	75,328
Aging Research	93.866	51,694	
Vision Research	93.867	229,904	
Special Projects of National Significance	93.928		173,596
International Research and Research Training	93.989	135,164	48,457
Maternal and Child Health Services Block Grant to the States	93.994		396,500
United States Agency for International Development	98.000	80,000	
USAID Foreign Assistance for Programs Overseas	98.001	29,591	601,483
Total amount provided to subrecipients		\$ <u>34,005,655</u>	<u>16,728,856</u>



KPMG LLP
515 Broadway
Albany, NY 12207-2974

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

The Board of Directors
The Research Foundation 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 statements of financial position as of June 30, 2014 and 2013, the related statements of activities and cash flows for the years then ended, and the related notes to the financial statements, and have issued our report thereon dated September 30, 2014.

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

September 30, 2014



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, 2014. The RF's major federal programs are identified in the summary of auditors' 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, 2014.

Other Matters

The results of our auditing procedures disclosed an instance of noncompliance, which is required to be reported in accordance with OMB Circular A-133 and which is described in the accompanying schedule of



findings and questioned costs as item 2014-001. Our opinion on each major federal program is not modified with respect to this matter.

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

December 4, 2014

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

Schedule of Findings and Questioned Costs

Year ended June 30, 2014

(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, 2014.
- b) There were no significant deficiencies or material weaknesses reported in connection with the financial statements of the RF as of and for the year ended June 30, 2014.
- c) There were no instances of noncompliance reported which are material to the basic financial statements of the RF as of and for the year ended June 30, 2014.

Single Audit

- d) There were no significant deficiencies or material weaknesses reported in connection with the major federal programs of the RF for the year ended June 30, 2014.
- e) An unmodified opinion was issued on the RF's compliance with each of its major federal programs for the year ended June 30, 2014.
- f) There is a finding required to be reported under Section 510(a) of OMB Circular A-133 for the year ended June 30, 2014.
- g) The major federal programs of the RF for the year ended June 30, 2014 are as follows:

Name of federal program	CFDA number
Research and Development Cluster	Various
TRIO Cluster	Various
Migrant Education Program	84.011
Department of Health and Human Services	93.000
Child Care and Development Fund (CCDF) Cluster	93.575; 93.596
Child Welfare Research Training or Demonstration	93.648

- h) The dollar threshold used to distinguish between Type A and Type B programs was \$3.0 million.
- i) The RF is considered to be a low risk auditee for the year ended June 30, 2014.

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

Schedule of Findings and Questioned Costs

Year ended June 30, 2014

(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 71 through 73.

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

Schedule of Findings and Questioned Costs

Year ended June 30, 2014

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, 2013 – December 31, 2013 (93.667)
January 1, 2013 – December 31, 2013 (10.551, 10.561)

U.S. Department of Health and Human Services

Responsible Campus: Buffalo State College

Finding Reference: 2014 – 001

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 Circular A-21, 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, 2014

Finding and Recommendation

The RF has established policies and procedures to determine 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 started to take appropriate action. For nonsalary direct cost expenditures, we are reviewing centrally at the campus to determine the proportional benefit to the program and adjusting the allocation methodology accordingly. For cost related to administrative personnel, we are in the process of assessing how these costs should be charged and will adjust accordingly.

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

Schedule of Findings and Questioned Costs

Year ended June 30, 2014

Contact

Garrett Sanders, Executive Vice President

Implementation Date

In process

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

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

(Not Covered by Auditors' Reports)

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

Summary of Prior Year's Findings and Questioned Costs

Year ended June 30, 2014

Prior Year Finding Reference	Program and CFDA Number	Compliance Requirement	Summary of Finding	Status
2013-01	<p>Research and Development Cluster</p> <p>CFDA: 93.121</p> <p>Federal Award Numbers: 58291; 61730</p>	Reporting – Federal Funding Accountability and Transparency Act	<p>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.</p> <p>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.</p> <p>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.</p>	The Research Foundation understands the importance of the timeliness of submission of FFATA reports. We have provided a guide to FFATA compliance and best practices on the Research Foundation website and this has been discussed with the campuses. FFATA reporting is also tested as part of our internal audits at the campuses.