

OMB Circular A-133 Audit Report

Year ended June 30, 2010

OMB Circular A-133 Audit Report Year ended June 30, 2010

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**KPMG LLP** 515 Broadway Albany, NY 12207-2974

#### **Independent Auditors' Report**

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

We have audited the accompanying balance sheets of The Research Foundation of State University of New York (the RF) as of June 30, 2010 and 2009, and the related statements of activities, and cash flows for the years then ended. These financial statements are the responsibility of the RF's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the RF's internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of The Research Foundation of State University of New York as of June 30, 2010 and 2009, and the changes in its net assets and its cash flows for the year then ended in conformity with U.S. generally accepted accounting principles.

In accordance with Government Auditing Standards, we have also issued a report dated August 26, 2010 on our consideration of the RF's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with Government Auditing Standards and should be considered in assessing the results of our 2010 audit.



Our audits were conducted for the purpose of forming an opinion on the basic financial statements taken as a whole. The accompanying schedule of expenditures of federal awards for the year ended June 30, 2010 is presented for purposes of additional analysis as required by the U.S. Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations,* and is not a required part of the basic financial statements. The schedule of expenditures of federal awards has been subjected to the auditing procedures applied in the audit of the 2010 basic financial statements and, in our opinion, is fairly stated, in all material respects, in relation to the 2010 basic financial statements taken as a whole.



August 26, 2010

### Balance Sheets

June 30, 2010 and 2009

Assets	_	2010	2009
Current assets: Cash and cash equivalents Accounts receivable, net Advances to others Short-term investments Due from broker for securities sold Other assets	\$	2,010,783 189,056,669 16,805,781 157,224,453 — 6,316,686	8,840,237 153,637,970 14,512,133 184,858,471 618,384 6,502,849
Total current assets	_	371,414,372	368,970,044
Noncurrent assets: Long-term investments Fixed assets, net Other assets  Total noncurrent assets	_	37,705,833 23,005,816 3,106,830 63,818,479	59,508,586 23,883,861 2,621,598 86,014,045
Total assets	\$	435,232,851	454,984,089
Liabilities and Net Deficit	=	· · ·	
Current liabilities: Accounts payable and accrued expenses Accrued compensation Accrued vacation Deferred revenue Deposits held for others Due to broker for securities purchased Current portion of long-term debt Line of credit  Total current liabilities	\$	56,045,362 23,039,956 28,361,985 112,048,861 47,186,375 — 199,712 10,429,051 277,311,302	61,044,920 21,487,221 26,440,127 163,531,476 44,679,365 5,944,400 666,952 ————————————————————————————————————
Noncurrent liabilities: Deposits held for others Post-retirement benefit obligation Long-term debt, net of current portion Other liabilities  Total noncurrent liabilities	_	1,100,418 251,525,000 5,393,666 3,887,867 261,906,951	1,037,306 187,640,000 5,593,378 3,164,867 197,435,551
Total liabilities	_	539,218,253	521,230,012
Net deficit: Unrestricted  Total liabilities and net deficit	\$	(103,985,402) 435,232,851	(66,245,923) 454,984,089
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See accompanying notes to financial statements.

### Statements of Activities

Years ended June 30, 2010 and 2009

		2010	2009
Revenues: Grants awarded for research and other sponsored activities:			
Federal	\$	390,166,895	338,409,474
Federal flow through	Ψ	168,462,052	168,834,289
New York state		153,657,037	152,868,882
Private and other		180,259,974	185,908,815
Total grants awarded for research and other			
sponsored activities		892,545,958	846,021,460
Investment income (loss), net		12,730,879	(63,312,585)
Inventions and licenses income		10,957,870	13,791,952
Other income	-	20,049,036	24,261,250
Total revenues		936,283,743	820,762,077
Expenses:			
Sponsored programs and other activities		747,605,346	721,252,422
Administration and support		174,595,876	172,810,490
Total expenses	-	922,201,222	894,062,912
Change in net assets from revenues and expenses		14,082,521	(73,300,835)
Other changes:			
Post-retirement related charge other than net periodic		( <b>51</b> 0 <b>33</b> 000)	(10.760.000)
benefit costs	-	(51,822,000)	(18,760,000)
Decrease in net assets		(37,739,479)	(92,060,835)
Net (deficit) assets at beginning of year		(66,245,923)	25,814,912
Net deficit at end of year	\$	(103,985,402)	(66,245,923)

See accompanying notes to financial statements.

#### Statements of Cash Flows

Years ended June 30, 2010 and 2009

	2010	2009
Cash flows from operating activities: Federal grants and contracts State and local grants and contracts Private grants and contracts Other receipts Salaries and wages payments Employee benefits payments Payments to suppliers/vendors Operating interest and dividends Equity investment partnership income Interest payments Other payments	\$ 554,266,707 84,045,921 165,270,974 218,703,663 (402,797,042) (135,909,399) (464,666,573) 2,920,149 1,797,793 (235,296) (88,774,629)	527,442,191 157,292,441 152,010,724 218,360,589 (390,492,712) (131,801,103) (431,739,728) 7,501,641 1,928,038 (268,195) (78,232,393)
Net cash (used in) provided by operating activities	(65,377,732)	32,001,493
Cash flows from investing activities: Proceeds from sales of investments Purchases of investments Equity investment partnership distribution Cash paid for purchases of fixed assets	320,856,044 (271,558,756) 2,360,003 (2,871,112)	693,688,167 (685,330,116) 1,385,000 (6,410,547)
Net cash provided by investing activities	48,786,179	3,332,504
Cash flows from financing activities: Principal payments on long-term debt Proceeds from line of credit Payments on line of credit	(666,952) 22,656,811 (12,227,760)	(1,107,435) 34,223,530 (59,829,259)
Net cash provided by (used in) financing activities	9,762,099	(26,713,164)
Net (decrease) increase in cash and cash equivalents	(6,829,454)	8,620,833
Cash and cash equivalents, beginning of year	8,840,237	219,404
Cash and cash equivalents, end of year	\$ 2,010,783	8,840,237
Reconciliation of change in net assets to net cash (used in) provided by operating activities:  Change in net assets  Adjustments to reconcile change in net assets to net cash (used in) provided by operating activities:	\$ (37,739,479)	(92,060,835)
Realized and unrealized (gains) losses on investments Unrealized loss, interest rate swap Depreciation expense Loss on disposal of fixed assets Donated fixed assets	(8,012,937) 237,768 4,571,048 344,709 (1,166,600)	72,742,264 350,105 4,352,447 503,041 (271,287)
Changes in operating assets and liabilities: Accounts receivable and other assets Accrued investment income Accounts payable and accrued expenses Other accruals and other liabilities Deferred revenue Deposits held for and advances to others Post-retirement benefit obligation, net of investment transfer to trust	(35,717,768) 466,401 (4,999,558) 3,959,825 (51,482,615) 276,474 63,885,000	21,313,718 299,975 (2,377,810) 4,962,898 (7,229,888) (11,536,953) 40,953,818
Net cash (used in) provided by operating activities	\$ (65,377,732)	32,001,493
Supplemental disclosure of noncash activities: Investment transfer to trust	\$ _	(66,392,818)

See accompanying notes to financial statements.

Notes to Financial Statements
June 30, 2010 and 2009

#### (1) Organization

The Research Foundation of State University of New York (RF) is a private, nonprofit corporation that supports the advancement of education, research, and discovery at the State University of New York (SUNY). Established in 1951, the RF carries out its responsibilities pursuant to a formal contract with SUNY that has been in force since 1977. The RF is tax-exempt under Internal Revenue Code (IRC) Section 501(c)(3).

Separate from SUNY, the RF is able to form partnerships that enhance SUNY's education, research and public service mission and spur economic development across New York State. The primary service offered by the RF is sponsored programs administration. The infrastructure in place for sponsored programs allows the RF to also administer agency funds and assist campuses with establishing affiliated corporations.

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

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

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

#### (a) Basis of Presentation

In June 2009, the Financial Accounting Standards Board (FASB) authorized *FASB Accounting Standards Codification* (ASC or Codification) to become the single source of authoritative nongovernmental U.S. generally accepted accounting principles (GAAP). The Codification brings together in place the authoritative accounting standards that existed in a number of formats including FASB Statements and Interpretations, Emerging Issues Task Force Abstracts, FASB Staff Positions and American Institute of Certified Public Accountants (AICPA) Statements of Positions and Accounting and Auditing Guides. The Codification is effective for financial statements issued for periods ending after September 15, 2009. Since the Codification is the accumulation of existing GAAP, it did not have any impact on the RF's financial statements.

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

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 were issued on August 26, 2010 and subsequent events have been evaluated through that date.

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Notes to Financial Statements
June 30, 2010 and 2009

#### (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 amount of net assets and disclosures of contingencies as of the date of the financial statements and the reported amount of change in net assets during the reporting period. The most significant areas which are affected by the use of estimates include balances for allowance for doubtful accounts, valuation of certain alternative investments, and the post-retirement benefit obligation. Actual results could differ from those estimates and the differences between estimates and actual results could be significant.

#### (c) Revenue Recognition

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

Investment income or loss is comprised of dividends and interest, realized and changes in unrealized gains and losses, and income from investment in equity partnerships.

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

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

#### (d) Cash Equivalents

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

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Notes to Financial Statements June 30, 2010 and 2009

#### (e) Investments

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

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

Short-term investments reflect the RF's anticipated need to fulfill current obligations under sponsored awards and agency agreements, using approximately the amounts represented in the deferred revenue and current deposits held for others captions on the RF balance sheet. Investment holdings in excess of these needs are classified as long-term investments.

The captions "Due from broker for securities sold" and "Due to broker for securities purchased" represent investment trade activity that took place prior to year-end but had not been settled by year-end.

The RF does not use its investments as collateral. To minimize potential losses, the RF maintains a diversified investment portfolio. Investments are held with the investment custodian in the RF's name

In December 2008, the FASB issued ASC 715-20-50 and 55, which require additional disclosures for employer benefit plan assets. ASC 715-20-50 and 55 require employers to disclose information about fair value measurements of plan assets similar to the disclosures required under ASC 820. The adoption of ASC 715-20-50 and 55 did not have a material impact on the amounts presented in the RF's financial statements (see note 8).

#### (f) Fixed Assets

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

Upon sale or retirement of fixed assets, the cost and the related accumulated depreciation are removed from the accounts and the resulting gain or loss is recorded. Depreciation expense for the years ended June 30, 2010 and 2009 was \$4,571,048 and \$4,352,447, respectively. Generally, title to equipment purchased using sponsored funds is retained by the grantor institution until such time as final disposition is determined. Accordingly, purchases of equipment charged to the respective grant or contract are not capitalized.

Notes to Financial Statements
June 30, 2010 and 2009

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

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

#### (h) Deferred Revenue

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

#### (i) Accrued Vacation

RF employees are granted vacation and sick leave in varying amounts. In the event of termination, an employee is reimbursed for accumulated vacation up to a maximum of 30 days. Employees are not reimbursed for accumulated sick leave at termination. However, as described in note 9, upon retirement up to 200 days of accumulated sick leave is considered in the computation of retirement benefits.

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

In May 2009, the RF established a Voluntary Employee Benefit Association (VEBA) trust for the post-retirement benefit plan. The assets held in the VEBA trust reduce the accumulated post-retirement benefit obligation, as reported on the RF's balance sheet. The VEBA trust held assets of \$80,446,000 and \$66,296,000 as of June 30, 2010 and 2009, respectively.

#### (k) Other Information

Accounts receivable as of June 30, 2010 and 2009 are reported net of an allowance for doubtful accounts of approximately \$6,740,000 and \$6,900,000, respectively.

Advances to others and deposits held for others represent amounts related to agency activity at the campus and affiliated organization locations. Agency activity refers to those university-related organizations, such as campus-based foundations or campus-based clinical practice plans that use RF-provided human resources, payroll, and purchasing and payables administration services. Included in the noncurrent deposits held for others are planned gifts donated to the RF to ultimately benefit the campus foundations of approximately \$1,100,000 and \$1,037,000 at June 30, 2010 and

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Notes to Financial Statements June 30, 2010 and 2009

2009, respectively. Included in deposits held for others are approximately \$35,807,000 and \$33,584,000 of construction funds for an affiliated organization at June 30, 2010 and 2009, respectively.

Various SUNY employees perform work on RF sponsored grants. SUNY pays these employees directly, and is reimbursed by the RF on a monthly basis. The related amounts due to SUNY are included in accrued compensation and consist of both a known and estimated component. The total liability to SUNY at June 30, 2010 and 2009 is approximately \$7,207,000 and \$7,952,000, respectively.

The RF maintains a deferred compensation plan established in accordance with Section 457(b) of the IRC. Plan funds, totaling \$3,106,830 and \$2,621,598 as of June 30, 2010 and 2009, respectively, are a part of the general assets of the RF, which are subject to claims of creditors of the RF.

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

### (1) Fair Value of Financial Instruments

The carrying amounts of accounts receivable, other current assets, accounts payable and accrued expenses, and deposits held for others approximate fair value due to the short maturity of these financial instruments. The carrying amount of long-term debt and the line of credit approximate fair value because these loans bear interest at a 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 and derivative instruments.

#### (m) Reclassifications

Certain 2009 amounts have been reclassified to conform to the 2010 presentation.

Notes to Financial Statements
June 30, 2010 and 2009

#### (3) Affiliated Organizations

The RF has 17 affiliated organizations as of June 30, 2010 that have been established to facilitate university-industry-government partnerships and accelerate the growth of sponsored program and applied research opportunities at SUNY. These entities limit liability to the RF and SUNY, establish separate and distinct governance structures, and are often able to meet a variety of needs. The affiliated organizations are as follows:

### (a) Binghamton Technologies Corporation

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

#### (b) BioBAT, Inc.

BioBAT, Inc. is a private, not-for-profit corporation formed by the RF (acting on behalf of SUNY Downstate Medical Center) and the New York City Economic Development Corporation (on behalf of the City of New York) to develop the Brooklyn Army Terminal into a site for biotechnology expansion, manufacturing, and research. This facility will provide a committed location in New York City where new and growth stage biotechnology and biopharmaceutical companies can expand, create jobs, and manufacture products for market.

#### (c) 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.

#### (d) Brookhaven Science Associates, LLC

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

Total assets of BSA as of September 30, 2009 and 2008 are \$23,910,197 and \$23,375,183, respectively, and total liabilities are \$17,025,601 and \$16,536,173, respectively. Total members equity of BSA as of September 30, 2009 and 2008 are \$6,884,596 and \$6,839,010, respectively. Total revenue for the years ended September 30, 2009 and 2008 are \$7,605,447 and \$7,431,674, respectively. Total expenses for the years ended September 30, 2009 and 2008 are \$4,009,861 and \$3,575,598, respectively. The RF records its share of the net earnings of BSA from BSA's most

Notes to Financial Statements
June 30, 2010 and 2009

recent completed fiscal year. The RF records distributions received as a reduction of the investment balance.

### (e) Buffalo 2020 Development Corporation

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

#### (f) CBN Connect, Inc.

CBN Connect, Inc. was formed by the RF (on behalf of SUNY Plattsburgh) in partnership with the St. Regis Mohawk Tribe and the Adirondack North Country Association to promote and facilitate the development of high-speed communications networks throughout the eastern Adirondack Park and beyond. CBN Connect, Inc. will partner with regional, state, and federal entities to develop a network infrastructure through which broadband service providers will accommodate homes and business throughout the region.

#### (g) CUBRC, Inc.

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

#### (h) Central New York Biotechnology Research Center

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

#### (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.

Notes to Financial Statements
June 30, 2010 and 2009

#### (j) Fort Schuyler Management Corporation

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

#### (k) Fuller Road Management Corporation

Fuller Road Management Corporation (FRMC) is a private, not-for-profit corporation formed by the RF (acting on behalf of the University at Albany) and the University at Albany Foundation. FRMC provides a vehicle for the construction of comprehensive research facilities at the College of Nanoscale Science and Engineering in an effort to promote the advancement of the research portfolio of the University at Albany, as well as to assist in the development of early and late stage companies, the creation of jobs and the development of the region's economy.

In May 2005, the RF, as tenant, and FRMC, as landlord, executed an agreement for the lease of clean room facilities, which are used for nanotechnology-related research and development at the University at Albany. Rent payments made by the RF pursuant to the agreement for each of the years ended June 30, 2010 and 2009 were \$7,014,458. The annual rental payment may escalate annually at a rate not to exceed one percent. The term of the lease is from May 20, 2005 through September 30, 2035. Annual minimum lease payments are shown in note 13.

### (l) Long Island High Technology Incubator

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

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

New York Maritime College Sailing Foundation, Inc. (NYMCSF) is a private, not-for-profit corporation formed by the RF to support sailing programs at the State University of New York Maritime College. The goal of NYMCSF is to advance the college's mission through the enhancement of the faculty, student and staff for the benefit of midshipmen and to facilitate the program's short and long-term excellence through donations of funds, equipment or boats. This corporation is inactive and will be dissolved during fiscal year 2011.

Notes to Financial Statements
June 30, 2010 and 2009

#### (n) Purchase College Advancement Corporation

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

#### (o) Source Sentinel, LLC

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

#### (p) SUNY China International Corporation

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

#### (q) SUNY Fredonia Technology Incubator, Inc.

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

#### (r) University at Albany Bioscience Development Corporation

University at Albany Bioscience Development Corporation is a private, not-for-profit corporation formed by the RF (on behalf of the University at Albany) in partnership with the University at Albany Foundation to advance the educational and research mission of SUNY and the University at Albany and enhance their ability to attract public and private funds by providing facilities for research and scholarly programs for the benefit of faculty, visiting scholars, students and staff. During fiscal year 2010, the RF withdrew its membership in UABDC.

Notes to Financial Statements June 30, 2010 and 2009

#### (4) Investments

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

	2010	2009
Investments, fair value:		
Cash equivalents	\$ 43,594,374	104,459,288
U.S. government securities	50,719,432	55,276,026
Mortgage/asset-backed securities	1,790,476	3,236,503
Corporate debt securities	13,490,484	18,214,706
Common stocks	7,193,010	2,952,525
International funds	7,972,308	2,644,986
Hedge funds	59,886,557	44,019,433
Other	9,201,349	6,203,068
	193,847,990	237,006,535
Investment in equity partnership	1,082,296	2,034,506
Total	\$ 194,930,286	239,041,041

Hedge fund investments consist of alternative investments in fund of funds, limited partnerships and marketable alternatives. Hedge funds may trade in derivative instruments that involve varying degrees of market risk including credit exposure, liquidity and interest rates. Due to the level of risk associated with these securities and the level of uncertainty related to changes in their value, it is possible market conditions could have a near-term material effect on balances reported in the balance sheets and the statements of activities.

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

The following is the composition of investment income (loss) for the years ended June 30:

	 2010	2009
Dividends and interest	\$ 2,920,149	7,501,641
Net realized and unrealized gains (losses)	8,012,937	(72,742,264)
Income from investment in equity partnership	 1,797,793	1,928,038
Total return on investments	\$ 12,730,879	(63,312,585)

Notes to Financial Statements June 30, 2010 and 2009

#### (5) Fair Value Measurements

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

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

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 techniques used to estimate the fair values are affected by the assumptions used, including discount rates and estimates of the amount, and timing of future cash flows. Fair values for securities are based on quoted market prices or dealer quotes, where available. When quoted market prices are not available, fair values are based on quoted market prices of comparable instruments. The RF uses matrix pricing from a third-party vendor to determine fair value pricing of its mortgage backed securities.

For fiscal 2010, the RF adopted the provisions of Accounting Standards Update (ASU) 2009-12, *Investments in Certain Entities that Calculate Net Asset Value per Share (or its Equivalents)*. ASU 2009-12 allows for the estimation of the fair value of investments in certain investment companies for which the investment does not have a readily determinable value by using net asset value (NAV) per share or its equivalent as a practical expedient.

The RF's hedge fund investments are typically redeemable at NAV under the original terms of the investment agreement. Redemption of such investments generally requires 30 to 95 days written notice prior to the redemption period. Further, these investments may be temporarily illiquid, which includes restrictions that have suspended normal liquidity terms or lock-ups with definite expiration dates, or may be restricted until the fund manager liquidates certain fund assets. As of June 30, 2010, the RF did not have any significant exposure to temporarily illiquid investments due to voluntary lock-up agreements.

Notes to Financial Statements June 30, 2010 and 2009

The following tables summarize, as of June 30, 2010 and 2009, the RF's assets and liabilities that are measured at fair value on a recurring basis. Financial instruments are classified in their entirety based on the lowest level of input that is significant to the fair value measurement:

			201	.0	
	_	Level 1	Level 2	Level 3	Total
Assets:					
Cash equivalents	\$	43,594,374			43,594,374
U.S. government securities	Ψ	50,719,432			50,719,432
Mortgage/asset-backed securities			1,790,476		1,790,476
Corporate debt securities		13,490,484			13,490,484
Common stocks		7,193,010			7,193,010
International funds		7,972,308			7,972,308
Hedge funds		, , <u> </u>	59,886,557		59,886,557
Other	_	9,201,349			9,201,349
Total	\$_	132,170,957	61,677,033		193,847,990
Liabilities:	_	_			
Interest rate swap	\$		781,037		781,037
Forward rate contract	Ψ		967,579	_	967,579
	\$		1,748,616		1,748,616
	Φ <b>=</b>		1,748,010		1,748,010
			200	19	
	-	Level 1	Level 2	Level 3	Total
Assets:	-				
Cash equivalents	\$	104,459,286			104,459,286
U.S. government securities	Ф	29,025,773	26,250,254	<u> </u>	55,276,027
Mortgage/asset-backed securities		27,023,113	3,236,503		3,236,503
Corporate debt securities		4,880,717	13,333,990		18,214,707
Common stocks		2,952,525			2,952,525
International funds		2,644,986	_	_	2,644,986
Hedge funds		, , <u> </u>	_	44,019,433	44,019,433
Other	_	5,446,073	756,995		6,203,068
Total	\$	149,409,360	43,577,742	44,019,433	237,006,535
Liabilities:					
Interest rate swap	\$	_	543,269	_	543,269

The forward rate contract noted above is included with accounts payable and accrued expenses. An equal balance representing anticipated sponsor reimbursement is presented in other current assets.

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Notes to Financial Statements June 30, 2010 and 2009

A summary of activity for all assets and liabilities with Level 3 fair value measurements for the years ended June 30, 2010 and 2009 follows:

	_	2010	2009
Beginning balance	\$	44,019,433	54,617,900
Net realized and unrealized gains (losses)		2,767,151	(5,026,067)
Net purchases (sales)		13,099,973	(5,572,400)
Transfers related to adoption of ASU 2009 – 12	_	(59,886,557)	
Ending balance	\$		44,019,433

### (6) Other Assets and Other Liabilities

Other assets and liabilities consist of the following at June 30, 2010 and 2009:

2010	2009
• ==1	
	3,211,399
	10,998
967,579	_
	3,280,452
6,316,686	6,502,849
3,106,830	2,621,598
9,423,516	9,124,447
3,106,830	2,621,598
781,037	543,269
3,887,867	3,164,867
	2,698,771 2,650,336 967,579 — 6,316,686 3,106,830 9,423,516 3,106,830 781,037

Notes to Financial Statements June 30, 2010 and 2009

#### (7) Fixed Assets

Fixed assets consist of the following at June 30:

Fixed asset classification		Fixed assets June 30, 2009	Additions	Dispositions/ retirements	Fixed assets June 30, 2010
Building Office furniture and equipment	\$	6,500,000 41,457,562	4,056,212	2,241,573	6,500,000 43,272,201
Information systems	_	32,877,186	<del></del>		32,877,186
Total fixed assets	_	80,834,748	4,056,212	2,241,573	82,649,387
Less accumulated depreciation:					
Building		910,000	130,000	_	1,040,000
Office furniture and equipment		24,836,004	3,564,742	1,878,364	26,522,382
Information systems	_	31,204,883	876,306		32,081,189
Total accumulated					
depreciation	_	56,950,887	4,571,048	1,878,364	59,643,571
Fixed assets, net	\$_	23,883,861	(514,836)	363,209	23,005,816

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

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

For payment of benefits under the plan, as noted above, the RF established a VEBA trust in May 2009 with Bank of New York Mellon as the trustee. The VEBA trust held assets of \$80,446,000 and \$66,296,000 as of June 30, 2010 and 2009, respectively. The assets held in the VEBA trust reduce the accumulated post-retirement benefit obligation, as reported on the RF's balance sheet. 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 6,502 participants in the plan as of July 1, 2009.

Notes to Financial Statements June 30, 2010 and 2009

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 the nearest thousand)

	_	2010	2009
Change in benefit obligation: Benefit obligation at beginning of year	\$	253,936,000	213,079,000
Service cost		11,572,000	10,509,000
Interest cost		16,307,000	14,361,000
Plan participants' contributions		250,000	202,000
Retiree drug subsidy receipts Actuarial loss		336,000	231,000
Benefits paid		56,161,000 (6,591,000)	21,298,000 (5,744,000)
•	_		
Benefit obligation at end of year	_	331,971,000	253,936,000
Change in plan assets:			
Fair value of plan assets at beginning of year		66,296,000	
Return on plan assets		4,909,000	_
Employer contributions		15,246,000	71,607,000
Plan participants' contributions		250,000	202,000
Retiree drug subsidy receipts		336,000	231,000
Benefits paid	_	(6,591,000)	(5,744,000)
Fair value of plan assets at end of year	_	80,446,000	66,296,000
Funded status	\$ _	(251,525,000)	(187,640,000)
Amounts recognized in the balance sheet:			
Noncurrent liability	\$	(251,525,000)	(187,640,000)
Amounts recognized in unrestricted net assets:			
Net transition obligation	\$		(552,000)
Prior service credit		839,000	1,118,000
Net actuarial loss	_	(117,654,000)	(65,559,000)
Total	\$_	(116,815,000)	(64,993,000)

#### Notes to Financial Statements

June 30, 2010 and 2009

	_	2010	2009
Weighted average assumptions used to determine benefit obligation:  Discount rate at end of year		5.43%	6.27%
Components of net periodic benefit cost: Service cost Interest cost Expected return on plan assets Amortization of:	\$	11,572,000 16,307,000 (5,704,000)	10,509,000 14,361,000 —
Transition obligation Prior service credit Actuarial loss	_	552,000 (279,000) 4,861,000	555,000 (279,000) 2,262,000
Net periodic postretirement benefit cost	\$	27,309,000	27,408,000
Weighted average assumptions used to determine net periodic benefit cost:  Discount rate for the year Expected long term rate of return		6.27% 8.00	6.84% 8.00
		2010	2009
Other changes in plan assets and benefit obligations recognized in unrestricted net assets:  Net actuarial loss  Amortization of:  Transition obligation  Prior service credit	\$	(56,956,000) 552,000 (279,000)	(21,298,000) 555,000 (279,000)
Actuarial loss	_	4,861,000	2,262,000
Total recognized as a decrease in unrestricted net assets	\$ _	(51,822,000)	(18,760,000)

Expected amounts amortized from unrestricted net assets into net periodic benefit cost for fiscal year ending 2011 include prior service credit of \$279,000 and actuarial loss of (\$8,446,000). The transition obligation has been fully amortized in 2010.

Estimated gross benefit payments (net of participants' contributions):

Fiscal year ending 2011	\$ 8,137,000
Fiscal year ending 2012	9,451,000
Fiscal year ending 2013	10,813,000
Fiscal year ending 2014	12,268,000
Fiscal year ending 2015	13,890,000
Fiscal year ending 2016 – 2020	96,299,000

### Notes to Financial Statements June 30, 2010 and 2009

Estimated gross amount of subsidy receipts:	
Fiscal year ending 2011	\$ 575,000
Fiscal year ending 2012	685,000
Fiscal year ending 2013	822,000
Fiscal year ending 2014	975,000
Fiscal year ending 2015	1,124,000
Fiscal year ending 2016 – 2020	8,486,000
Estimated net benefit payments:	
Fiscal year ending 2011	\$ 7,562,000
Fiscal year ending 2012	8,766,000
Fiscal year ending 2013	9,991,000
Fiscal year ending 2014	11,293,000
Fiscal year ending 2015	12,766,000
Fiscal year ending 2016 – 2020	87,813,000

For measurement purposes, the initial trend rates vary by coverage. The health maintenance organization rate is 8.25%, the preferred provider organization (PPO) Medical Pre-65 rate is 6.75%, the PPO Medical Post-65 rate is 6.75% and administrative fees are 5.0%. Trend rates grade down to an ultimate rate of 5.0% in 2018 and later.

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

	_	One-percentage point increase	One-percentage point decrease
Effect on total service and interest cost components	\$	5,573,000	(4,431,000)
Effect on postretirement benefit obligation		62,224,000	(49,903,000)

Notes to Financial Statements June 30, 2010 and 2009

The following table presents, as of June 30, 2010, the RF's defined benefit post-retirement plan's assets, held in the VEBA trust, measured at fair value on a recurring basis. The hierarchy and inputs to valuation techniques to measure fair value of the plan's assets are the same as outlined above in note 5.

	_	Level 1	Level 2	Level 3	<b>Total</b>
Assets:					
Cash equivalents	\$	417,000		_	417,000
U.S. government securities		12,752,000		_	12,752,000
Domestic equities		9,657,000		_	9,657,000
Foreign equities		9,436,000		_	9,436,000
Hedge funds			38,158,000	1,893,000	40,051,000
Other	_	8,133,000			8,133,000
Total	\$_	40,395,000	38,158,000	1,893,000	80,446,000

A summary of activity for all assets with Level 3 fair value measurements for the year ended June 30, 2010 follows:

Beginning balance	\$	31,541,000
Net realized and unrealized gains		2,051,000
Net purchases		6,459,000
Transfers related to adoption of		
ASU 2009 – 12	_	(38,158,000)
Ending balance	\$	1,893,000

#### (a) Investment Policies and Strategies

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

The RF's investment managers, under agreement to manage the plan assets kept in the VEBA trust, exercise full investment discretion within the investment policy approved by the RF board, and guidelines as described in any or all of the appropriate documents including the respective investment advisory agreement, investment specification document, fund prospectus, offering memorandum and/or limited partnership agreement. 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.

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Notes to Financial Statements June 30, 2010 and 2009

As noted above, there are hedge fund investments included in the plan assets held in the VEBA trust. These hedge fund investments are typically redeemable at NAV under the original terms of the investment agreement. Redemption of such investments generally requires 30 to 95 days written notice prior to the redemption period. Further, these investments may be temporarily illiquid, which includes restrictions that have suspended normal liquidity terms or lock-ups with definite expiration dates, or may be restricted until the fund manager liquidates certain fund assets. At June 30, 2010, there were holdings of \$1,344,658 in a private equity fund for which redemption is noted in the private placement agreement as being at the absolute discretion of the fund directors.

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

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

The plan's asset allocation as of June 30, 2010, as shown in the table below, is expected to meet the plan's expected return.

Asset class	Target	Permissible ranges	Actual	
Cash	2%	0% – 10%	4%	
Fixed income	10	5% - 20%	10	
Equities	51	40% - 60%	55	
Global equities	25	20% - 33%	28	
Hedged equities	16	10% - 20%	25	
Private equity	10	0% - 10%	2	
Absolute return	15	5% - 25%	15	
Real assets	22	15% - 25%	16	
Inflation-protected	5	3% - 10%	6	
Commodities	5	2% - 7%	5	
Global real estate	12	4% - 14%	5	

It should be noted that the RF's Investment Subcommittee approved a hedged equities allocation exceeding the range, in order to compensate for a lower-than-targeted private equity allocation until further adjustments could be feasibly made.

#### (9) Retirement Plan

The RF maintains a noncontributory defined contribution 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. As per a plan amendment adopted January 1,

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Notes to Financial Statements June 30, 2010 and 2009

2009, 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, or in the College Retirement Equities Fund (CREF), which offers an assortment of mutual funds, stocks, bonds, real estate, and money market investments. The payroll for RF employees covered by TIAA/CREF for the years ended June 30, 2010 and 2009 was \$359,487,000 and \$349,998,000, respectively. The RF pension contributions were approximately \$31,041,000 and \$28,254,000 for the years ended June 30, 2010 and 2009, respectively. These contributions are equal to 100% of the required contributions for the year.

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

The RF entered into an agreement during 2002 with the City of Albany Industrial Development Agency (IDA) whereby the IDA issued both a taxable and a tax-exempt series of bonds for the purpose of providing funds to acquire a parcel of real estate together with the existing building thereon. The RF occupies and conducts most of its central office operations from this location. At June 30, 2010, the tax-exempt bond debt totaled \$5,540,000 with maturity in 2032 at an interest rate of 0.40% at June 30, 2010. The taxable bond debt was extinguished in 2009. Subsequent to June 30, 2010, the tax-exempt bonds will bear interest at variable rates as established by the remarketing agent. The adjustable rate for the tax exempt-bonds will not exceed 12% per annum. The RF must meet certain liquidity requirements while the tax-exempt bonds are outstanding.

In January 2006, the RF entered into an interest rate swap agreement with the Bank of New York (BNY) wherein the RF agreed to pay BNY a fixed rate of interest equal to 3.615% on the original tax-exempt bond issuance total of \$5,600,000 and to receive from BNY a payment equal to 70% of the London Interbank Offered Rate (LIBOR) as published by the British Banker's Association (BBA). The monthly interest rate is calculated using the weighted average method applied to the daily USD-LIBOR-BBA rate. The agreement expires coincident with the maturity of the bonds in 2032. The RF's net benefit or obligation under the swap agreement is accounted for as an asset or liability at fair value in the financial statements. The estimated fair value of the swap at June 30, 2010 and 2009 was \$(781,037) and \$(543,269), respectively. The balances are included within other liabilities in the accompanying balance sheets.

The RF is also contractually obligated per long-term capital lease agreements for equipment.

Notes to Financial Statements June 30, 2010 and 2009

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

	Balance June 30, 2009			Balance June 30, 2010	Current portion
Long-term debt: Lease obligations \$	720,330	_	666,952	53,378	34,712
Bonds payable	5,540,000			5,540,000	165,000
Total long-term debt	6,260,330		666,952	5,593,378	199,712
Other long-term liabilities: Post-retirement benefit					
obligation	187,640,000	84,040,000	20,155,000	251,525,000	_
Deposits held for others	1,037,306	138,838	75,726	1,100,418	_
Other liabilities	3,164,867	723,000		3,887,867	
Total other long-term liabilities	191,842,173	84,901,838	20,230,726	256,513,285	
Total long-term liabilities \$	198,102,503	84,901,838	20,897,678	262,106,663	199,712

Future payments on long-term debt as of June 30, 2010 are as follows:

0.40%

		Bonds payable-building		Capital	Capital leases		al
	_	Principal	Interest	Principal	Interest	Principal	Interest
Fiscal year:							
2011	\$	165,000	21,500	34,712	3,692	199,712	25,192
2012		170,000	20,820	18,666	536	188,666	21,356
2013		175,000	20,120	´ —	_	175,000	20,120
2014		180,000	19,400		_	180,000	19,400
2015		185,000	18,660	_	_	185,000	18,660
2016 - 2020		1,035,000	81,140		_	1,035,000	81,140
2021 - 2025		1,220,000	58,260	_	_	1,220,000	58,260
2026 - 2030		1,430,000	31,400		_	1,430,000	31,400
2031 - 2033	_	980,000	4,020			980,000	4,020
Total	\$	5,540,000	275,320	53,378	4,228	5,593,378	279,548
		Interes	t rate	Interes	t rate		

### Line of Credit

The RF maintains an unsecured line of credit in the amount of \$65,000,000 of which \$10,429,051 and \$0 were used as of June 30, 2010 and 2009, respectively.

9.78%

Notes to Financial Statements June 30, 2010 and 2009

### (11) Revenues

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

	_	2010	2009
Federal grants and contracts	\$	558,628,947	507,243,763
State grants and contracts		153,657,037	168,834,289
Local grants and contracts		11,941,683	12,286,586
Private grants and contracts		168,318,291	157,656,822
Investment income		4,717,942	9,429,679
Net realized and unrealized gains (losses) on investments		8,012,937	(72,742,264)
Gifts, capital gifts and grants		1,166,631	264,271
Inventions and licenses income		10,957,870	13,791,952
Other income	_	18,882,405	23,996,979
Total revenues	\$	936,283,743	820,762,077

### (12) Expenses

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

	2010	2009
Instruction \$	108,276,949	116,858,648
Research	472,003,682	458,545,681
Public service	145,538,851	135,405,663
Academic support	19,736,392	20,828,956
Student services	2,507,844	2,512,876
Operations and maintenance	43,046,194	22,619,885
Institutional support	123,215,113	129,643,943
Scholarships and fellowships	2,703,015	2,363,856
Auxiliary enterprises	22,129	159,721
Depreciation expense	4,571,048	4,352,447
Interest expense on capital related debt	235,296	268,195
Loss on disposal of fixed assets	344,709	503,041
Total expenses \$	922,201,222	894,062,912

Notes to Financial Statements June 30, 2010 and 2009

#### (13) Commitments and Contingencies

#### (a) Lease Obligations

In addition to the long-term lease with FRMC described in note 3(k), the RF contracts with various entities to lease space as part of its mission to support research operations at SUNY through administration of sponsored projects. Future minimum payments, as of June 30, 2010, for lease terms in excess of one year follows:

Fiscal year	 FRMC	Other	Total
2011	\$ 7,014,458	5,785,774	12,800,232
2012	7,014,458	5,134,894	12,149,352
2013	7,014,458	4,591,736	11,606,194
2014	7,014,458	3,602,997	10,617,455
2015	7,014,458	2,798,218	9,812,676
Thereafter	 149,057,233	12,565,104	161,622,337
	\$ 184,129,523	34,478,723	218,608,246

### (b) Contingencies

The RF has certain contingencies resulting from litigation and claims incident to the ordinary course of business. The RF is currently responding to federal subpoenas relating to programs at the University at Buffalo and Buffalo State College. Potential liability resulting from these inquiries cannot reasonably be determined at this time; however, management believes that the probable resolution of such contingencies will not likely materially affect the financial position or operations of the RF.

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

Teat ended Julie 30, 2010					
	CFDA		Direct	Pass- through	Total expenditures by CFDA and
Federal grantor/federal subdivision or pass-through grantor	number	Pass-through number	expenditures	expenditures	Federal grantor
Research and Development Cluster:					
Department of Agriculture: Agricultural Research Service	10.000		\$ 32,961		
Cooperative State Research Service	10.000	,	1,101,817	_	
Economic Research Services	10.000	_	25,848	_	
Forest Service	10.000	_	474,158	_	
Natural Resources Conservation Service	10.000	_	13,333	_	
Northeastern States Research Cooperative	10.000 10.000	PO # Y452464	81,261	1,540	
University of Arizona NYS Department of Environmental Conservation	10.000	AMO4981 #28	_	15,000	1,745,918
NYS Department of Environmental Conservation	10.025	AMOU4981	_	8,815	1,7 10,710
Regents of the University of California, Riverside	10.025	S000377	_	23,186	
NYS Department of Environmental Conservation	10.025	AMO7795	_	11,794	43,795
Cornell University	10.200 10.202	553368964 Z520301	_	6,352	6,352
NYS Department of Environmental Conservation Iowa State University	10.202	AMO4981 #14 2,006,035,102,017,200		73,927 11,110	73,927 11,110
University of Vermont	10.215	22194	_	4,353	4,353
University of Delaware	10.310	21924	_	32,615	32,615
Kansas State University	10.500	S09047	_	15,203	
Kansas State University	10.500	S10050	_	218,585	233,788
University of Maine at Orono Watershed Agricultural Council	10.652 10.652	UMS678 349	_	3,407 36,879	
University of Vermont	10.652	22603	_	42,707	
University of Maine at Orono	10.652	UMS727	_	18,772	
Consortium for Research on Renewable Industrial Materials	10.652	318	_	6,818	
University of Vermont	10.652	23281	_	34,816	
University of New Hampshire University of Maine at Orono	10.652 10.652	PZ100006	_	25,026	197,092
Northern Economics Initiatives Corporation	10.664	UMS751 SO543		28,667 29,775	197,092
Washington State University	10.664	112560G002550	_	34,042	63,817
NYS Department of Environmental Conservation	10.675	AMO4981 #25	_	2,310	2,310
Yale University	10.678	Y070001	_	3,333	3,333
New York Forest Owners Association	10.681	_		25,009	25,009
Total Department of Agriculture			1,729,378	714,041	2,443,419
Department of Commerce:					
Department of Commerce	11.000	_	145,257	_	
National Institute of Standards and Technology	11.000	_	1,943,001	_	
National Oceanic and Atmospheric Administration	11.000	_	3,134,660	_	
Nature Conservancy Long Island Chapter	11.000	LICNOAA8050310	_	130	5,223,048
Fugro Earth Data Incorporated Regents of the University of Michigan	11.008 11.303	2009 3001413893	_	2,855 2,632	2,855 2,632
North Country Council Incorporated	11.307	3001413893	_	62,054	62,054
National Business Incubation Association	11.312	_	_	69	69
Nature Conservancy Long Island Chapter	11.405	FERTL	_	45,734	45,734
University of Vermont	11.417	21875 Initial 2008	_	1,054	
University of Vermont	11.417 11.417	23159 Initial 2009/Malchoff	_	80,823 34,701	
University of Vermont University of Connecticut	11.417	24374 Watzin/Mihuc 6505 FRS527480		(21)	116,557
Rutgers University	11.430	S1061415;4025967010255	_	2,186	110,557
University of North Carolina at Wilmington	11.430	200904A	_	24,166	26,352
University of Michigan	11.432	3001092444	_	55,975	55,975
University of Maine at Orono	11.454	— — — 10255	_	9,908	9,908
Rutgers University University Corporation for Atmospheric Research	11.455 11.467	PO S972646/RU 4021892Org 10255 S0766811	_	26,893 33,600	26,893
University Corporation for Atmospheric Research	11.467	S0981071	_	3,964	
University Corporation for Atmospheric Research	11.467	S0766814	_	27,077	64,641
University of Rhode Island	11.472	0128070001224	_	6,727	6,727
University of Delaware	11.473	. <del></del>	_	1,877	1,877
Woods Hole Oceanographic Inst	11.478	A100654	_	25,660	42.502
University of Tennessee Howard University	11.478 11.481	OR863600101 631017H040948	_	17,933 53,334	43,593
Howard University	11.481	631017H040948	_	123,679	177,013
Nanoelectronics Research Corporation (NERC)	11.609	2006NE1463	_	2,149,714	2,149,714
Total Department of Commerce			5,222,918	2,792,724	8,015,642
-			3,222,710	2,172,124	0,013,042
Department of Defense: Air Force Office of Scientific Research	12 000		2.919.390		
Air Force Research Laboratory	12.000 12.000	_	964,928	_	
Air Force Rome Lab Griffis Air Force Base	12.000	_	10,034		
Army Armament Research and Development Command	12.000	_	30,910	_	
Army Corps Engineers	12.000	_	223,472	_	
Army ERDC Cold Regions Research & Engineering	12.000	_	4,762	_	
Army Humphreys Engineer Center Support Activity	12.000	_	315,023	_	
Army Medical Research Acquisition Activity Army Medical Research and Material Command	12.000 12.000	<u>-</u>	3,623,568 157,927	_	
Army Natick Contracting Division	12.000	<u> </u>	22,419	_	
Army Natick Soldier Center	12.000	_	25	_	
Army Picatinny Arsenal	12.000	_	836,544	_	
Army Research Development & Engineering Command	12.000	_	3,426,683	_	
Army Research Institute	12.000	_	303,268	_	
Army Research Laboratory Army Research Office	12.000 12.000	<u>-</u>	1,271 411,710	_	
Defense Advanced Research Projects Agency (DARPA)	12.000	<u> </u>	484,766	_	
Defense Threat Reduction Agency	12.000	_	181,570	_	
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Schedule of Expenditures of Federal Awards Year ended June 30, 2010

	r ear ended J	une 30, 2010			
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
Department of Defense, continued	number	1 ass-tin ough number	capenatures	expenditures	reuctai grantoi
Department of Defense	12.000	_	\$ 13,349	_	
Department of Defense Advanced Research Project Agency	12.000	_	27,240	_	
Intelligence Advanced Research Projects Activity National Geospatial Intelligence Agency	12.000 12.000		450,218 313,254	_	
National Security Agency	12.000	_	1,171,843	_	
Naval Sea Systems Command	12.000	_	31,505	_	
Navy Experimental Diving Unit Navy Office of Naval Research	12.000 12.000	_	1,053,367 4,805,949	_	
Navy Research Laboratory	12.000	_	612,936	_	
Navy Space& Naval Warfare Systems Center San Diego	12.000	_	88,743	_	
CUBRC Incorporated	12.000	6813-001	_	1,918	
Global Contour Ltd	12.000 12.000	06-ACOE-FSD-Part 1 0763202	_	5,068 171,624	
CUBRC Incorporated CUBRC Incorporated	12.000	0763202	_	5,822	
CUBRC Incorporated	12.000	0763602	_	56,332	
CUBRC Incorporated	12.000	0765401	_	55,357	
CUBRC Incorporated	12.000	0765701	_	45,229	
Charles River Analytics Inc Health Research Inc	12.000 12.000	SC0805601 (ERMINE) 57-1132-01	_	1,040 152,438	
Lockheed Martin	12.000	8100001993	_	132,869	
CUBRC Incorporated	12.000	076501	_	54,595	
CUBRC Incorporated	12.000	0767302	_	17,643	
CUBRC Incorporated	12.000	0767201	_	121,129	
CUBRC Incorporated	12.000 12.000	07676-01	_	86,122 31,344	
CUBRC Incorporated BBN Technologies Corporation	12.000	07696-01 9500009218	_	468,585	
Applied Media Analysis Incorporated	12.000	_	_	77,433	
Esensors Incorporated	12.000	TBN	_	40,000	
Lynntech Incorporated	12.000	2009-AF182-0001	_	48,529	
CUBRC Incorporated	12.000	0770601	_	93,187	
CUBRC Incorporated Lockheed Martin Corporation	12.000 12.000	07697-01 8100002763	_	18,564 43,887	
CUBRC Incorporated	12.000	07719.02.02	_	20,386	
Charles River Analytics Inc	12.000	SC0907002 (ERMINE II)	_	206	
BBN Technologies Corporation	12.000	9500009218	_	22,836	
CACI Technologies Inc	12.000	S09100357	_	34,933	
Power Photonic Corporation Government of Israel Ministry of Defense	12.000 12.000	4440158606	_	23,534 244	
Dow Corning Corporation	12.000	<del></del>	_	3,487	
University of Minnesota	12.000	D001450601	_	7,616	24,328,631
US Display Consortium	12.114	RFP04-111	_	65	
ReliaCoat Technologies LLC	12.114	2010	_	2,033	2,098
Soar Technology Incorporated Pennsylvania State University	12.300 12.300	1016101 4049RFSUNYONR1123	_	116,680 112,116	
Arsenal Business & Technology Partnership	12.300	W15QKN0790001	_	278,539	
Salbec LLC	12.300	080109-1	_	34,788	
Johns Hopkins University	12.300	2000061398	_	299	
Johns Hopkins University	12.300	2000061392	_	60,803	
Florida Atlantic University Dartmouth College	12.300 12.300	SRF37 5009595000P00010	_	23,015 136,070	
Plasma Technology Inc	12.300	3009393000F00010	_	56,763	
Plasma Technology Inc	12.300	_	_	20,279	
Referentia Systems Incorporated	12.300	SBU0011039N07193	_	24,902	
Plasma Technology Inc	12.300		_	192,859	
Dow Corning Corporation	12.300 12.300	N0001408C0398	_	36,140 11,007	
Florida Atlantic University Pennsylvania State University	12.300	SRH17 3866SBUONR0557	_	28,590	
Hypres Incorporated	12.300	HYPN0001409C0687	_	115,929	
Mesoscribe Technologies Inc	12.300	FA955009C0142	_	2,796	
Hypres Incorporated	12.300	HYPN0001409C0529	_	36,466	
Hypres Incorporated Brookhaven Science Associates LLC	12.300 12.300		_	66,460	
Massachusetts Institute of Technology	12.300	162129 5710002737	_	48,692 18,041	1,421,234
Arizona Board of Regents	12.351	POY554529	_	5,101	1,421,234
Vanderbilt University	12.351	21243S1	_	612	
Arizona State University	12.351	Subagreement No. 09-205	_	2,564	8,277
University of Puerto Rico	12.420	W81XWH0710329	_	58,891	
Health Research Inc Health Research Inc	12.420 12.420	57-8074-01 57-8075-01	_	11,444 11,176	
Health Research Inc	12.420	57-1164-01	_	6,551	
Health Research Inc	12.420	57-1165-01	_	8,986	
Rutgers University	12.420	S1031970	_	556,731	
University of Mississippi	12.420	0804073	_	81,410	0.05 450
TRUE Research Foundation POC	12.420 12.431	W81XWH090163 090K926	_	202,483	937,672
University of Wisconsin at Madison Mesoscribe Technologies Inc	12.431	16722	_	32,705 67,714	
Hypres Incorporated	12.431	HYPN0001408M147	_	206	
Hypres Incorporated	12.431	HYPN0001409M0316	_	21,016	121,641
USfalcon	12.630	6012004	_	92,231	
Lockheed Martin Corporation	12.630	BBMKS6355	_	177,873	
Imperial Machine and Tool Company Imperial Machine and Tool Company	12.630 12.630	MJ19082 21069JS		48,724 4,882	323,710
		2368402248501	_	3,890	323,710
Syracuse University	12.800	2306402246301			
Syracuse University NSC Technology GIRD Systems Incorporated	12.800 12.800 12.800	Subcontract agreement 12-001-0508F01	_	87,474 55,149	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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
Department of Defense, continued		<u> </u>			
ITT Corporation	12.800	Subcontract 327172	\$ —	251	
California Institute of Technology	12.800	52-1069108	_	6,993	
ITT Corporation	12.800	200821J	_	73,052	
University of Wisconsin at Madison San Francisco State University	12.800 12.800	F308114 S9-94504		163,817 22,332	
University of Virginia	12.800	GG11221-133954	_	82,280	
University of Rochester	12.800	414917-G 5-89812	_	43,889	
VeroModo Incorporated	12.800	_	_	1,770	
University of Maryland	12.800	Z803701	_	28,609	
Power Photonic Corporation	12.800	_	_	101,745	
Sensor Electronic Technology Incorporated	12.800	_	_	1,037	
Sensor Electronic Technology Incorporated University of California Berkeley	12.800 12.800	00006770	_	95,679 33,065	
Wyle Laboratories Incorporated	12.800	RC00035522	_	9,336	
Wyle Laboratories Incorporated	12.800	RC00035522	_	82,253	892,621
Starfire Systems Incorporated	12.910	_	_	88	
iFyber Incorporated	12.910	_	_	20,240	
PAR Government Systems Corporation	12.910	SC111272BU	_	3,682	
University of California at Los Angeles Sekos Incorporated	12.910 12.910	0160GEE764	_	136,022	
Spectral Energetics Incorporated	12.910	Protocol # 04-015-09 0401509	_	78,826 124,877	363,735
Total Department of Defense	12.710	0401307	22,486,674	5,912,945	28,399,619
Central Intelligence Agency:	12.000		47.047		
Central Intelligence Agency Science Applications International Corp	13.000 13.000		47,867	24,774	
Science Applications International Corp	13.000	4400164293 - 2003*N443800*00		18,251	90,892
<b>Total Central Intelligence Agency</b>			47,867	43,025	90,892
Department of Housing and Urban Development: Environmental Education Associate	14.903			7,953	7,953
Total Department of Housing and Urban Development	14.903	_		7,953	7,953
Department of the Interior:			-		
ARRA – Geological Survey	15.818	_	14,480	_	14,480
Dept of the Interior Bureau of Land Management	15.000	_	55,346	_	14,400
Fish and Wildlife Service	15.000	_	30,384	_	
Geological Survey	15.000	_	139,691	_	
National Park Service	15.000		412,427	_	
NYS Department of Environmental Conservation	15.000 15.000	AMO6189 AMO6600	_	3,737 69,788	711,373
NYS Department of Environmental Conservation Canal Society of New York State Incorporated	15.224	AMO6000	_	3,117	3,117
Trustees of Princeton University	15.423	00001636	_	21,943	21,943
National Fish and Wildlife Foundation	15.608	200800580001	_	38,655	38,655
NYS Department of Environmental Conservation	15.611	AMO5643	_	188,198	
NYS Department of Environmental Conservation	15.611	AMO6396	_	89,002	
NYS Department of Environmental Conservation	15.611	AMO6609	_	9,198	286,398
NYS Department of Environmental Conservation NYS Department of Environmental Conservation	15.625 15.630	C303571 AM06757	_	6,706 29,706	6,706 29,706
Nature Conservancy	15.634	SWG Herps II	_	9,030	29,700
Nature Conservancy	15.634	SWG TigerBeetles	_	7,685	
Texas Parks and Wildlife	15.634	T43	_	17,220	
NYS Department of Environmental Conservation	15.634	AM07297	_	4,317	
NYS Department of Environmental Conservation	15.634	C990147 AM06924	_	74,340	
NYS Department of Environmental Conservation	15.634	AMO5770 AMO5951	_	70,535	215 162
NYS Department of Environmental Conservation Cornell University	15.634 15.805	511428928	_	32,036 9,386	215,163
NYS Water Resources Institute at Cornell University	15.805		_	6,478	15,864
University of Florida	15.808	UF09148		55,113	55,113
Total Department of the Interior			652,328	746,190	1,398,518
Department of Justice: Department of Justice	16.000	_	1,093,816	_	
City of Buffalo	16.000	_		14	1,093,830
University of Colorado	16.540	0000059916	_	5,732	5,732
University of Maryland	16.541	Z955101	_	47,778	47,778
University of Missouri – St Louis	16.560	2006JVFX0011		45,647	45,647
Total Department of Justice			1,093,816	99,171	1,192,987
Department of Labor: Suffolk County Community College	17.261	_	_	8,848	8,848
Total Department of Labor				8,848	8,848
Federal Reserve System:					
Federal Reserve Bank of New York	18.000	_	23,364		23,364
Total Federal Reserve System Department of State:			23,364		23,364
Department of State	19.000	_	35,183	_	
International Relief and Development Inc	19.000	IRDSUNY001	- · · · · · ·	177,732	
US Civilian Research and Development Foundation	19.000	AZB220610BA08	_	14,545	227,460
Council for International Exchange of Scholars	19.401	_		28,631	28,631
Total Department of State			35,183	220,908	256,091

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Schedule of Expenditures of Federal Awards Year ended June 30, 2010

Endared grounds of federal subdivisions on page through growth	CFDA	Does through wymba-	Direct	Pass- through	Total expenditures by CFDA and
Federal grantor/federal subdivision or pass-through grantor	number	Pass-through number	expenditures	expenditures	Federal grantor
Department of Transportation: Federal Aviation Administration	20.000		\$ 15,523		
Federal Highway Administration	20.000	_	1,922,901		
Federal Transit Administration	20.000	_	22,003	_	
Arora and Associates PC	20.000	DTFH61-06-D-00037	,	32,942	1,993,369
Shumaker Consulting Engineering&Land Surveying PC	20.007	PIN 6754.08	_	1,479	
Shumaker Consulting Engineering&Land Surveying PC	20.007	PIN 6754.08	_	4,338	5,817
Rensselaer Polytechnic Institute	20.200	A90379	_	24,132	24,132
NYS Education Department NYS Education Department	20.205	C008795	_	1,981,509	
CUBRC Incorporated	20.205 20.205	C008795 07605-03	_	500,769 33,089	
CUBRC Incorporated	20.205	07605-03	_	51,084	2,566,451
Research Foundation of City University of New York	20.502	555050601	_	52,373	52,373
Research Foundation of City University of New York	20.701	497772419	_	2,509	
Research Foundation of City University of New York	20.701	49111	_	8,817	
Research Foundation of City University of New York	20.701	491111821	_	19,289	
Research Foundation of City University of New York	20.701	491110920	_	4,941	
University of Vermont	20.701	20002/21225 Troy Initial	_	28,616	72 456
Research Foundation of City University of New York	20.701	49111-17-20		9,284	73,456
Total Department of Transportation			1,960,427	2,755,171	4,715,598
Department of the Treasury: Department of the Treasury	21.000	_	100,657	_	100,657
Total Department of the Treasury			100,657		100,657
U.S. Postal Service:					
Postal Service Lockheed Martin	22.000 22.000	 DW461522	911,340	50,390	961,730
Total U.S. Postal Service	22.000	D W 401322	911,340	50,390	961,730
Library of Congress:					
Broome Tioga BOCES	42.002	_		3,293	3,293
Total Library of Congress				3,293	3,293
Ames Research Center Goddard Space Flight Center John H Glenn Research Center at Lewis Field Langley Research Center Lunar and Planetary Institute Lyndon B Johnson Space Center Washington Research Foundation of City University of New York Howard University Howard University Howard University Jet Propulsion Laboratory Jet Propulsion Laboratory National Institute of Aerospace Cornell University University of Pittsburgh Space Telescope Science Institute Research Corporation of the University of Hawaii Colorado State University JPL Caltech Jet Propulsion Laboratory Metron Aviation Incorporated Metron Aviation Incorporated Metron Aviation Incorporated Space Science Institute Space Telescope Science Institute Montana State University University of Washington Virginia Institute of Marine Science National Space Biomedical Research Institute Jet Propulsion Laboratory Space Telescope Science Institute Jet Propulsion Laboratory Space Telescope Science Institute Jet Propulsion Laboratory National Space Biomedical Research Institute Jet Propulsion Laboratory National Space Biomedical Research Institute American Museum of Natural History Smithsonian Astrophysical Observatory	43.000 43.000 43.000 43.000 43.000 43.000 43.000 43.000 43.000 43.000 43.000 43.000 43.000 43.000 43.000 43.000 43.001		1,735,840 3,141,325 243,666 50,063 87,795 868,148 290,975	42,831 1,076 147 58,960 18,609 84,737 15,692 32,704 3,214 1,683 23,738 86,001 2,420 131,945 11,081 92,725 7,111 39,128 108,616 48,769 12,026 245,483 5,747 20,827 39,389 57,810 37,245	6,701,203
Siminsonian Astrophysical Observatory University of Arizona Southwest Research Institute National Space Biomedical Research Institute Space Telescope Science Institute Cornell University Rensselaer Polytechnic Institute Unisys Corporation Unisys Corporation Jet Propulsion Laboratory	43.001 43.001 43.001 43.001 43.001 43.002 43.002 43.002 43.002 43.002	Y503561 A99188JD SMST01603 HSTG01161606A 482407892 B10554 MLO-000135 TSM-000280 1369094		19,994 16,673 170,489 29,629 10,000 66,469 35,766 109,619 26,870	1,247,941
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Schedule of Expenditures of Federal Awards Year ended June 30, 2010

Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through number	Direct expenditures	Pass- through expenditures	Total expenditures by CFDA and Federal grantor
National Foundation on the Arts and Humanities:					
National Endowment for the Arts National Endowment for the Humanities	45.000 45.000	_	\$ 31,856 26,673	_	58,529
University of Vermont	45.163	22294	20,073	31,941	31,941
Lincoln Park Zoo Neotropic Fund	45.312	LG-24-07-0056-07		84,598	84,598
Total National Foundation on the Arts and Humanities			58,529	116,539	175,068
National Science Foundation:					
ARRA – National Science Foundation	47.082	_	6,958,449	_	6,958,449
National Science Foundation	47.000		43,887,169		43,887,169
ARRA – NSC Technology ARRA – ChromaDex Incorporated	47.082 47.082	0930634 658019 v1/HN	_	54,834 30,009	
ARRA – Chromabex incorporated ARRA – Georgetown University	47.082	RX2220491SUNY	_	25,508	
ARRA – University of Vermont	47.082	24143 DMR0959486	_	5,691	116,042
Esensors Incorporated	47.000	<del>_</del>	_	1,689	
BBN Technologies Corporation University of Illinois Urbana Champaign	47.000 47.000	9500009444	_	7,705 7,476	16,870
North Carolina State University	47.041	<u> </u>	_	4,097	10,670
Hypres Incorporated	47.041	_	_	44,361	
Ohio State University Research Foundation	47.041	_	_	22,009	
Multiple Sponsors	47.041	— G-3373-1	_	3,879	
Colorado State University Rensselaer Polytechnic Institute	47.041 47.041	A11647	_	985 23,289	
NEES Consortium Inc	47.041	OMSA2007SSLSUNYUB	_	1,711	
University of Utah	47.041	07050402	_	125,734	
University of Nevada Reno NEES Consortium Inc	47.041 47.041	CUREE Subcontract No 6	_	135,696 1,341,544	
North Carolina State University	47.041	2008-1015-06	_	9,817	
University of Washington	47.041	576722	_	97,571	
Regents of the University of California	47.041	00006218	_	92,125	
William Marsh Rice University Rochester Institute of Technology	47.041 47.041	R3B592 30950-01	_	80,971 43,262	
Purdue University	47.041	NEES – 4101-31871	_	929,284	
Esensors Incorporated	47.041	_	_	88,696	
Board of Trustees of the Leland Stanford Junior University	47.041	24145260-46334-C	_	931	
Specialty Materials Incorporated Granger Engineering	47.041 47.041	7255	_	12,622 (365)	3,058,219
Syracuse University	47.041	2236101654S01	_	50,352	3,036,219
Johns Hopkins University	47.049	TBN	_	697	
Purdue University	47.049	4101-27546	_	2,981	
University of Massachusetts Darmouth University of Kansas	47.049 47.049	060105 FY2004005	_	23,129 9,169	
Columbia University	47.049	PHY0612811 Sub 11	_	68,198	
Portland State University	47.049	208HAM122	_	18,258	
Case Western Reserve University	47.049	DMR0423914	_	(1,223)	195.040
Occidental College Pennsylvania State University	47.049 47.050	G478 3638-SUNY-NSF-5019	_	13,479 4,970	185,040
University of Rhode Island	47.050	050404-532943	_	52	
Colorado State University	47.050	G304515	_	58,835	
Columbia University Syracuse University	47.050 47.050	582219 16779S374101053	_	3,220 12,495	79,572
Rensselaer Polytechnic Institute	47.070	——————————————————————————————————————	_	(1,627)	19,312
Florida State University	47.070	R00695	_	1,886	
University of California at Los Angeles	47.070	0145GKB375	_	27,246	27,505
Washington State University Purdue University	47.074 47.074	107476G002259 410129430	_	231,717 97,223	
Oregon State University	47.074	S0991AA	_	31	
University of Rochester	47.074	413401G 528296	_	446	
University of Rochester University of Connecticut	47.074 47.074	414626G FRS524144	_	27,304 4,828	
Cornell University	47.074	462228052	_	78,233	
University of Puerto Rico	47.074	DEB0620910	_	35,664	
Academy of Natural Sciences of Philadelphia	47.074	Sub No. 49930007553	_	8,501	
University of Tennessee Montana State University	47.074	OR1288500101 G02307W0992	_	11,098	495,045
University of Maryland	47.075 47.075	Z314801	_	2,799 54,001	
University of Arkansas	47.075	SA0908001	_	6,692	
University of North Carolina at Greensboro	47.075	20080265	_	29,451	
Eastern Michigan University University of California at San Diego	47.075 47.075	EMU 20080217 PO#10295473-002	_	39,673 86,689	
Trustees of Boston University	47.075	GC207663NGD	_	5,333	224,638
Rensselaer Polytechnic Institute	47.076	B10500	_	23,535	,
Cache Corporation	47.076	Agrmt #0IE96	_	118,952	
Illinois State University Erie Community College	47.076 47.076	07C210-01B DUE0802062	<u> </u>	146,912 8,069	297,468
U.S. Civilian Research and Development Foundation	47.079	UZC22877TA07	_	1,113	1,113
Total National Science Foundation			50,845,618	4,501,512	55,347,130
Department of Veterans Affairs:	64.000		250 405		
Veterans Admin Western New York Healthcare Systems Veterans Administration Healthcare Network Upstate	64.000 64.000	_	259,485 25,119	=	
Veterans Administration Medical Ctr at Northport	64.000	_	292,249	_	
Veterans Affairs Medical Center	64.000	_	75,240		652,093
<b>Total Department of Veterans Affairs</b>			652,093		652,093

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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
Environmental Protection Agency:					
Environmental Protection Agency	66.000	_	\$ 2,021,660	_	
Environmental Protection Agency Great Lakes Natio	66.000	_	96,125	_	
New York Rivers United	66.000	2004-0005-219	_	(3,296)	
Battelle Memorial Institute	66.000	227310	_	28,198	2.126.101
Rensselaer Polytechnic Institute Syracuse University	66.000 66.202	A10931 2235401668S03 EM833404010	_	(6,586) 68,250	2,136,101
Syracuse University	66.202	2235401008303 EM833404010 2235401668S04	_	139,288	207,538
Finger Lakes Resource Conservation & Development Center	66.439	WS-98292700-0	_	30,502	30,502
Suffolk County Health Services	66.456	HSV525823511100000001	_	8,909	8,909
Village of Cooperstown	66.460	_	_	14,957	14,957
Tioga County Soil and Water Conservation District	66.461	EPA-R2-09WPDG	_	626	626
Tioga County Soil and Water Conservation District Indiana University	66.466	_	_	27,978	27,978
Indiana University Indiana University	66.469 66.469	GL00E766010/Hites4340133	_	1,824 4,640	
Clarkson University	66.469	375327912 CLKSN61293		39,649	
Clarkson University	66.469	375325302	_	28,087	
Clarkson University	66.469	375327911	_	165,736	
Clarkson University	66.469	PO CLKSN-66823	_	5,687	245,623
NYS Department of Environmental Conservation	66.600	AM06907	_	17,999	17,999
Syracuse University	66.606	1705801139S17	_	110,000	
Onondaga Environmental Institute	66.606	1705952124101120	_	3,319	
Syracuse University Syracuse University	66.606 66.606	17058S2124101139 17058S2124201139	_	11,794 86,747	
Syracuse University	66.606	1705852124201139	_	(1,075)	
Clarkson University	66.606	375328271 PO CLKSN-63766	_	93,448	
Syracuse University	66.606	1705801139S29	_	21,301	
Syracuse University	66.606	1705801139S31	_	54,483	380,017
Onondaga County	66.716	60709		598	598
Total Environmental Protection Agency			2,117,785	953,063	3,070,848
Department of Energy: ARRA – Department of Energy	81.049		53,910		53,910
Argonne National Laboratory	81.000	<del>-</del>	52,337	_	33,910
Bonneville Power Administration	81.000	_	291,430	_	
Department of Energy	81.000	_	12,691,294	_	
Fermi National Accelerator Laboratory	81.000	_	32,765	_	
Los Alamos National Laboratory	81.000	_	90,698	_	
National Nuclear Security Administration	81.000	_	255,452	_	
Rural Development West Valley Nuclear Services Company Incorporated	81.000 81.000	PO# 000438	184,804	120,152	
Regents of the University of California	81.000	6913454	_	55,958	
Brookhaven Science Associates LLC	81.000	151004	_	23,695	
University of South Carolina	81.000	101781 PO# 22142	_	6,823	13,805,408
Brookhaven Science Associates LLC	81.036	149979	_	71,961	71,961
Battelle Memorial Institute	81.049	PO68770	_	28,001	
National Renewable Energy Laboratory	81.049	AEK98833801	_	46,136	
National Renewable Energy Laboratory	81.049	AEK88827001	_	82,480	
Hi Z Technology Incorporated Hi Z Technology Incorporated	81.049 81.049	8004 DEFG02ER85066	_	21,684 25,684	
Aegis Technology	81.049	Agreement 09061228		91,055	
Faradox Energy Storage Incorporated	81.049	Agreement 10083057	_	16,146	
Michigan Technological University	81.049	Sub 050516Z20 P0072320	_	13,830	
Rensselaer Polytechnic Institute	81.049	A12141	_	46,500	
Pacific Northwest National Laboratory	81.049	10884	_	20,080	
Lawrence Berkeley National Laboratory	81.049	6807111	_	286,026	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	119573 124039	_	18,098 686	
Brookhaven Science Associates LLC	81.049	135462		42,351	
Brookhaven Science Associates LLC	81.049	140343	_	14,276	
Brookhaven Science Associates LLC	81.049	144959	_	6,579	
Brookhaven Science Associates LLC	81.049	144229	_	12,466	
Lawrence Livermore National Laboratory	81.049	B582735	_	48,504	
Brookhaven Science Associates LLC	81.049	149518	_	32,430	
Battelle Energy Alliance LLC Lawrence Berkeley National Laboratory	81.049	00088495	_	95,574	
Brookhaven Science Associates LLC	81.049 81.049	6890278 152950	_	56,715 19,892	
Plasma Technology Inc	81.049	132730 —	=	19,002	
Brookhaven Science Associates LLC	81.049	158463	_	31,760	
University of Houston	81.049	DESC0001284	_	66,706	
TreadStone Technologies Incorporated	81.049	DOEEERE01SBU01	_	44,481	
Brookhaven Science Associates LLC	81.049	162689	_	18,655	
Brookhaven Science Associates LLC	81.049	160434	_	16,115	
Lawrence Berkeley National Laboratory UT Battelle LLC	81.049 81.049	6909679 4000089468	_	6,122 14,212	
Brookhaven Science Associates LLC	81.049 81.049	4000089468 163564	_	14,212 10,985	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049	157893	_	13,452	
Battelle Memorial Institute	81.049	113152	_	19,919	
Lawrence Livermore National Laboratory	81.049	B589924	_	11,060	
Brookhaven Science Associates LLC	81.049	162350	_	13,842	
Brookhaven Science Associates LLC	81.049	168835	_	2,733	
University of Rochester	81.049	414091G	_	284,901	1,599,138
South Dakota State University	81.079	3TD155	_	58,457 65,040	58,457
Giner Electrochemical Systems CleanTech Partners Incorporated	81.087 81.087	DEFG3606GO16108	_	65,040 5,877	
Consortium for Plant Biotechnology Research Incorp	81.087	GO12026288	_	11,000	
				,	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

	i ear ended	Julie 30, 2010			
Endoved granton/Endoved subdivision on pass through granton	CFDA number	Pass-through number	Direct expenditures	Pass- through	Total expenditures by CFDA and Federal grantor
Federal grantor/federal subdivision or pass-through grantor	<u> </u>	Fass-tilrough humber	expenditures	expenditures	rederal grantor
Department of Energy, continued	01.007	G012026217	e	0.200	01 117
Consortium for Plant Biotechnology Research Incorp Lawrence Berkeley National Laboratory	81.087 81.117	GO12026317 6807148	\$ —	9,200 369,447	91,117 369,447
Rensselaer Polytechnic Institute	81.121	A11896 P0064186	_	320,194	320,194
Board of Trustees of the Leland Stanford Junior University	81.124	2175022040367A	_	128,639	128,639
Total Department of Energy			13,652,690	2,845,581	16,498,271
Department of Education:				,,-	
Department of Education	84.000	_	5,675,546	_	5,675,546
Syracuse University	84.027	2245302302SO10	_	3,999	3,999
Michigan Technological University	84.116	040420Z - PO 062039	_	37	
Michigan Technological University	84.116	040420Z – PO 062039	_	2,782	
Arizona State University	84.116	Subaward 08-923	_	1,048	
Florida International University Michigan Technological University	84.116 84.116	29100051101 090367Z1	_	(3,528) 1,232	1,571
Duke University	84.133	141765-Buffalo	_	25,517	1,371
Duke University	84.133	150254	_	121,609	
Carnegie Mellon University	84.133	Subrecipient No 1100028-221807	_	336,997	
Aspen Systems Incorporated	84.133	PO# 3636	_	12,525	496,648
Broome Tioga BOCES	84.184	USDOE Q184L090208	_	93,791	
Broome Tioga BOCES	84.184	USDOE Q184L090208	_	5,273	99,064
Schenectady City School District Board of Trustees of the Leland Stanford Junior Un	84.293 84.305	1968833038188A	_	7,077 179,138	7,077
Rutgers University	84.305	Subaward No. 3585	_	126,679	
Arizona State University	84.305	10340	_	40,658	346,475
Every Person Influences Children Incorporated	84.310	U310A060031	_	59,659	59,659
University of Missouri Columbia	84.324	C00014897-3	_	46,113	46,113
National Writing Project Corporation	84.928	_		101,624	101,624
Total Department of Education			5,675,546	1,162,230	6,837,776
National Archives and Records Administration: Natl Historical Publications & Records Commission	89.000	_	58,356	_	58,356
Total National Archives and Records Administration			58,356		58,356
Department of Health and Human Services:					
ARRA – Eunice Kennedy Shriver National Institute of Child	93.701	_	995,806	_	
ARRA – National Cancer Institute	93.701	_	902,511	_	
ARRA – National Center for Research Resources	93.701	_	566,590	_	
ARRA – National Ctr on Minority Health & Health Disparities	93.701	_	764,684	_	
ARRA – National Eye Institute ARRA – National Heart Lung and Blood Institute	93.701 93.701	<u> </u>	440,085 1,232,657		
ARRA – National Inst of Arthritis Musculoskeletal & Skin	93.701	<u> </u>	1,092,109	_	
ARRA – National Inst of Biomedical Imaging and Bioenginee	93.701	_	195,104	_	
ARRA – National Inst of Diabetes Digestive Kidney Disease	93.701	_	861,055	_	
ARRA – National Inst of Environmental Health Sciences	93.701	_	399,415	_	
ARRA – National Inst of Neurological Disorders & Stroke	93.701	_	1,189,378	_	
ARRA – National Inst on Deafness & Other Comm Disorders ARRA – National Institute for Alcohol Abuse & Alcoholism	93.701 93.701	<del>-</del>	985,895 1,215,553	_	
ARRA – National Institute of Allergy & Infectious Disease	93.701	<u> </u>	5,502,539	_	
ARRA – National Institute of Dental & Craniofacial Res	93.701	_	847,079	_	
ARRA - National Institute of General Medical Sciences	93.701	_	1,864,771	_	
ARRA – National Institute of Mental Health	93.701	_	187,047	_	
ARRA – National Institute on Drug Abuse ARRA – National Center for Complementary & Alternative Medicine	93.701	_	1,263,999	_	20 520 880
ARRA – National Center for Complementary & Alternative Medicine Administration for Children and Families	93.701 93.000	<del>-</del>	24,603 954,515	_	20,530,880
Agency for Healthcare Research and Quality	93.000	<u> </u>	394,046	_	
Agency for Toxic Substances and Disease Registry	93.000	_	194,712	_	
Centers for Disease Control and Prevention	93.000	_	851,644	_	
Eunice Kennedy Shriver National Institute of Child	93.000	_	5,970,550	_	
Fogarty International Center	93.000	_	318,316	_	
Health Resources and Services Admin National Cancer Institute	93.000 93.000	<del>-</del>	2,017,926 11,820,614	_	
National Center for Injury Prevention and Control	93.000	<u> </u>	358,274	_	
National Center for Research Resources	93.000	_	2,093,820	_	
National Center on Minority Health & Health Disparities	93.000	_	1,495,469	_	
National Eye Institute	93.000	_	9,663,624	_	
National Heart Lung and Blood Institute National Human Genome Research Institute	93.000 93.000	_	11,585,147 900,938	_	
National Inst of Arthritis Musculoskeletal & Skin	93.000	_	3,736,271		
National Inst of Biomedical Imaging and Bioenginee	93.000	_	2,509,724	_	
National Inst of Diabetes Digestive Kidney Disease	93.000	_	8,933,460	_	
National Inst of Environmental Health Sciences	93.000	_	3,890,840	_	
National Inst of Neurological Disorders & Stroke National Inst on Deafness & Other Comm Disorders	93.000	_	11,670,448	_	
National Inst on Dearness & Other Comm Disorders National Institute for Alcohol Abuse & Alcoholism	93.000 93.000	<del>-</del>	3,469,605 18,312,186	_	
National Institute for Alcohol Abuse & Alcoholism National Institute for Nursing Research	93.000	<u> </u>	728,939	_	
National Institute Occupational Safety & Health	93.000	_	585,693	_	
National Institute of Allergy & Infectious Disease	93.000	_	13,562,543	_	
National Institute of Dental & Craniofacial Res National Institute of General Medical Sciences	93.000 93.000	<u> </u>	6,715,377 18,639,991	_	
National Institute of General Medical Sciences National Institute of Health	93.000	<u> </u>	967,213	_	
National Institute of Mental Health	93.000	_	9,806,672	_	
National Institute on Aging	93.000	_	1,911,438	_	
National Institute on Drug Abuse National Library of Medicine	93.000 93.000	<del>-</del>	10,137,650 351,604	_	
radonal Liotary of Medicine	93.000	<del>_</del>	331,004	_	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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
Department of Health and Human Services, continued					
National Center for Complementary & Alternative Medicine	93.000	_	\$ 1,267,007	_	
Natl Center on Minority Health & Health Disparities	93.000	_	8,647	_	
Office of Public Health and Science Substance Abuse & Mental Health Services Admin	93.000 93.000	<del>-</del>	61,081 110,301	_	
Womens Health Initiative	93.000	_	324,026		
ARRA – Feinstein Institute for Medical Research	93.000	HHSN271200900019C/PO GRT286028	524,020	137,409	166,457,720
ARRA - Harvard Pilgrim Health Care Incorporated	93.701	AR001000	_	65,368	, ,
ARRA – Health Research Inc	93.701	35000901	_	5,154	
ARRA – Stanford University	93.701	PY-2580-25176-A	_	31,311	
ARRA – Oregon Health & Science University ARRA – Health Research Inc	93.701 93.701	ABMCS0010AST 75-5004-01	_	76,677 10,391	
ARRA – Regents of the University of Minnesota	93.701	N001051401	_	6,885	
ARRA – University of California at San Francisco	93.701	5733sc	_	74,371	
ARRA – McLean Hospital Corporation	93.701	1RC2NS070276-01	_	46,279	
ARRA – Health Research Inc	93.701	75-5006-01	_	9,888	
ARRA – Health Research Inc	93.701	75-5007-01	_	7,304	
ARRA – Board of Regents of the University of Oklahoma Hea	93.701	RS20090553-02	_	85,748	
ARRA – Georgia State University ARRA – Institute for Matching Person and Technology	93.701 93.701	SP00010152-01 2272010	_	2,641 14,995	
ARRA – Institute for Matching Ferson and Technology ARRA – University of Missouri at Kansas City	93.701	Sub #:23011; UMKC #:00026505	_	56,994	
ARRA – John Wayne Cancer Institute	93.701	CA029605	_	41	
ARRA – Colorado State University	93.701	G76221	_	176,132	
ARRA – Palmer Chiropractic University Foundation	93.701	3U19AT00413703S1	_	22,383	
ARRA - Social and Scientific Systems Incorporated	93.701	BRSIMPCTQ0600114T004	_	3,315	
ARRA – Social and Scientific Systems Incorporated	93.701	BRSIMPCTQ0600114T005ARRA/P1089	_	683	
ARRA – Social and Scientific Systems Incorporated	93.701	BRSIMPCTQ0600114T003	_	2,329	
ARRA – Social and Scientific Systems Incorporated ARRA – Wayne State University	93.701 93.701	BRSIMPCTQ0600114T006 WSU09088 / 3U01ODH03726110S1	_	24,634 33,512	
ARRA – Wayne State University ARRA – University of Michigan	93.701	3001340169		106,458	
ARRA – Oklahoma Medical Research Foundation	93.701	1RC2HL10149901 PB090522009	_	22,974	
ARRA – Cary Institute of Ecosystem Studies	93.701	3094200201194	_	24,143	910,610
ARRA – Health Research Inc	93.708	1R21AI07842901A1 / 75-5001-01	_	9,046	9,046
Children's National Medical Center	93.000	79280408	_	100,309	
Mount Sinai Medical Center	93.000		_	40,034	
Health Research Inc	93.000	2R01CA0851426A2	_	14,227	
Health Research Inc Health Research Inc	93.000 93.000	CA108888-01A1	_	2,719 403	
Health Research Inc	93.000	P01 CA103985 1R01CA117108-02	_	17,518	
Health Research Inc	93.000	55-7603-05	_	3,371	
Columbia University	93.000	_	_	12,516	
Q Chem, Inc	93.000	2R44GM073408-02	_	11,879	
Westat Corporation	93.000	Subcontract # - 8489-S-02	_	35,690	
University of Wisconsin at Madison	93.000	P059931	_	11,766	
University of California at San Francisco	93.000	444653-30690-01	_	34,411	
Axio Research Corporation Wake Forest University Health Sciences	93.000 93.000	NHL243-02 N01WH44221	_	50,245 9,072	
Therex LLC	93.000			24,382	
Wake Forest University Health Sciences	93.000	N01-WH-4-4221	_	6,132	
University of South Florida	93.000	PO 0000145782	_	39,515	
Frontline Foundation	93.000	ABestUB20092010	_	107,164	
Northwestern University	93.000	610 5421910 60025181	_	19,647	
University of California at Los Angeles	93.000	2000-S-KS183	_	28,181	500.002
Washington University Senior Services of Albany	93.000 93.048	2911966A WU-10-95 90AM2781	_	28,912 (424)	598,093
Orange County Department of Mental Health	93.104	90AM2781	_	39,683	(424)
Orange County Department of Mental Health	93.104	_	_	124,133	
Chautauqua County Department of Mental Hygiene	93.104	_	_	183,374	347,190
Health Research Inc	93.110	332602	_	20,108	20,108
Yale University	93.113	A07626M10A10363	_	3,433	
University of Illinois Urbana Champaign	93.113	2007-00634-01	_	56,769	
Regents of the University of California	93.113	Sub0700256 GCROE0137A	_	30,392 247,913	
Oregon Health & Science University Oregon Health & Science University	93.113 93.113	GCROE0137A GCROE0160A	_	11,367	
BioMedware Incorporated	93.113	R21ES015501SUNY		(1)	349,873
Wayne State University	93.114	P043898	_	38,124	,
University of Minnesota	93.114	S6526115102	_	146,662	184,786
Swedish Health Services	93.115	0576 06a	_	6,818	6,818
University of Louisville	93.121	OGMB060534	_	88,794	
University of Bristol	93.121	5R01DE01669004	_	147,583	
University of Missouri at Kansas City University of North Carolina at Chapel Hill	93.121 93.121	10039 00015290 5-51216	_	34,883 71,378	
University of Pittsburgh	93.121	Subaward 0011393 114897-1		74,430	
First Wave Technologies Incorporated	93.121	—	_	59,997	
University of Louisville	93.121	OGMB060534S1	_	55,015	
University of North Carolina at Chapel Hill	93.121	5-51216	_	417,361	
Enzo Therapeutics	93.121	_	_	9,532	958,973
Columbia University	93.127	5 (Acct # 5-36136)	_	34,469	34,469
Upstate New York Transplant Services Inc	93.134	— P2007757520	_	44,701	
New York Center for Liver Transplantation	93.134	R39OT07539	_	21,617	
NY Alliance for Donation NY Alliance for Donation	93.134 93.134	D71HS09611 D71HS09611	_	28,930 21,429	
NY Alliance for Donation NY Alliance for Donation	93.134	D/111309011	_	54,107	
NY Alliance for Donation	93.134	D71HS09611	_	58,492	
Upstate New York Transplant Services Inc	93.134	R39OT150610101	_	63,103	292,379
Mount Sinai Medical Center	93.135	SC8587373	_	17,423	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through number	Direct expenditures	Pass- through expenditures	Total expenditures by CFDA and Federal granton
Department of Health and Human Services, continued	<u> </u>	r uss-tiir ough number	capenarares	expenditures	T cucrai grantoi
Mount Sinai School of Medicine	93.135	U01DD00019503 SC8832809	s —	6,094	
Mount Sinai Medical Center	93.135	SC6102563		12,142	
Mount Sinai School of Medicine	93.135	U01DD00019504 SM6138415	_	13,261	48,920
Health Research Inc	93.136	15046401	_	34,883	
University of Maryland	93.136	Z022901	_	62,499	
University of California at Davis	93.136	Agreement Number Sub0700002	_	27,287	120.250
Research Foundation of City University of New York Dartmouth College	93.136 93.143	41717A 676	_	14,690 8,393	139,359 8,393
Columbia University	93.145	10 (5-37118)	_	8,423	0,373
Columbia University	93.145	10 (Acct # 5-37119)	=	74,129	82,552
Westat Corporation	93.153	N01HD33345	_	7,096	02,002
Westat Corporation	93.153	8530S030	_	1,105,142	
Westat Corporation	93.153	8530S030	_	120,716	
Westat Corporation	93.153	8530S029	_	31,028	1,263,982
Stanford University	93.172	15889690-33465-D	_	77,666	
Stanford University	93.172	15889690-33465-D	_	92,292	169,958
Cornell University	93.173	Subaward 59774-9213	_	6,314	
Jackson Laboratory	93.173	P.O. 635600	_	36,997	
University of Iowa	93.173	100612369	_	9,500	
Purdue University	93.173	4102-22866	_	125,445	
InvoTek Incorporated	93.173	10202728	_	15,462	
University of California at San Diego University of Maryland Baltimore	93.173 93.173	10293738 SR00000302	_	51,234	222 245
University of Maryland Baltimore Health Research Inc	93.173	55-0919-03	_	77,293	322,245
Palmer Chiropractic University Foundation	93.213	55-0919-03 1U19AT00413701	_	9,868 58,932	68,800
University of Florida	93.226	UF JAX10925	_	7,670	7,670
University of California at San Francisco	93.242	5511sc		544	7,070
Yale University	93.242	A07383M10A10441	_	28,359	
Regents of the University of California, San Francisco	93.242	5513sc	_	600	
University of Chicago	93.242	30181	_	17,806	
University of Rochester	93.242	414527-G	_	13,147	
University of Rochester	93.242	414977-G	_	36,787	
Trustees of Boston University	93.242	76665	_	46,751	
Trustees of Columbia University	93.242	527696	_	64,649	
McLean Hospital Corporation	93.242	5RO1MH07152304	_	63,127	
University of Southern California	93.242	H40038	_	293,314	
McLean Hospital Corporation	93.242	5RO1MH07152305	_	23,737	
Mount Sinai School of Medicine	93.242	0255-2542-4609	_	47,488	
Mount Sinai School of Medicine	93.242	0255-2543-4609	_	7,260	
University of California at San Diego	93.242	PO10279541002	_	11,435	
University of California at San Diego	93.242	10293040	_	3,247	
University of Southern California	93.242	H39738	_	165,889	
University of California at San Diego	93.242	10300308	_	11,767	
Harvard School of Public Health University of California at San Diego	93.242 93.242	1143370002 10293040001	_	28,549 36,225	
University of California at San Diego University of California at San Diego	93.242	PO10279541003	_	31,709	
Harvard School of Public Health	93.242	23590114337	_	7,084	
University of Rochester	93.242	PO 413461-G/UR 5-29870	_	31,863	971,337
University of Cincinnati	93.262	005180	_	55,334	55,334
Onondaga County	93.268	39407	_	14,796	14,796
University of Rochester	93.273	UR Account 5-29022	_	63,727	
Emory University	93.273	S371735(formerly 5-40860-G1)	_	173,985	
University of Mississippi	93.273	66951-01	_	9,857	
University of Pittsburgh	93.273	Sub# 0005431; Proj# 114719-1	_	112,297	359,866
University of Colorado	93.279	0000058199	_	8,832	
Skidmore College	93.279	32135UA	_	23,529	
University of Maryland	93.279	Z016101	_	347,400	
Dartmouth College	93.279	562	_	19,371	
Regents of the University of California, San Francisco	93.279	5437sc	_	162,132	
Pacific Institute for Research and Evaluation	93.279	303018 M143038C001	_	3,477	
University of Miami	93.279	M143038C001	_	100,228	
University of Miami	93.279	66608K	_	199,958	
University of California at San Diego Northern California Institute for Research and Education	93.279 93.279	10252954003 BAT1327b	_	1,250	1.046.502
University of Medicine & Dentistry of New Jersey	93.283	551789	_	180,326 6,976	1,046,503
Health Research Inc	93.283	14056601	_	5,984	
Health Research Inc	93.283	15043901	_	68,013	
Health Research Inc	93.283	14056602	_	14,232	
Health Research Inc	93.283	15023150	_	36,909	
Health Research Inc	93.283	15043902	_	103,452	
University of Medicine & Dentistry of New Jersey	93.283	551789	_	5,321	
Health Research Inc	93.283	003152-03	_	6,953	
Health Research Inc	93.283	3152-04	_	40,719	
American Society for Clinical Pathology	93.283	U47CCU524902	_	8,323	296,882
University of Tennessee	93.286	UTSI08002	_	291,288	291,288
University of Rochester	93.389	414577G	_	914	
University of Rochester	93.389	415035-G	_	38,367	39,281
Massachusetts Institute of Technology	93.393	5710002095	_	149,164	
Health Research Inc	93.393	R01CA119358-01	_	144,989	
Health Research Inc	93.393	55-0917-02	_	18,998	
University of Pennsylvania	93.393	547791	_	42,154	
Health Research Inc	93.393	55-7704-02	_	31,572	
University of Utah	93.393	10001746 PO 0000137070	_	160,350	
Health Research Inc Health Research Inc	93.393 93.393	55-0947-02 55-0968-01	_	9,719 28,650	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through number	Direct expenditures	Pass- through expenditures	Total expenditures by CFDA an
• • • •	number	Pass-through number	expenditures	expenditures	Federal grant
epartment of Health and Human Services, continued Henry M Jackson Foundation for Advancement of Military Medicine Inc	93.393	Subaward No. 661990	\$ _	8,400	
Health Research Inc	93.393	55-0980-01	• <u> </u>	4,403	
Health Research Inc	93.393	55-0975-01	_	57,600	
Health Research Inc	93.393	1R21CA14118701A1	_	6,361	
American College of Surgeons Oncology Group	93.393	SITE 094	_	7,898	
University of Miami	93.393	66615E POM155492	_	10,557	680,815
Health Research Inc	93.394	55-0894-04	_	4,014	
Vitatex Inc	93.394	1R44CA14004701	_	16,003	
Advanced BioMedical Machines Incorporated	93.394	_	_	17,407	
Memorial Sloan Kettering Cancer Center	93.394	BD513015	_	27,052	
Memorial Sloan Kettering Cancer Center	93.394	BD513259	_	23,991	88,467
Cornell University	93.395	576119120	_	10,251	
Virginia Polytechnic Institute and State University	93.395	19191-431438	_	35,970	
University of Michigan University of Rochester	93.395 93.395	F015447 414224-G 5-29070	_	26,922 19,166	
Health Research Inc	93.395	55094101	_	88,071	
Health Research Inc	93.395	55-0815-06	_	8,269	
Health Research Inc	93.395	55700716	_	56,039	
Health Research Inc	93.395	55-0839-06		9,489	
Health Research Inc	93.395	55052325		147,036	
Health Research Inc	93.395	2R01CA067267-15A2 55-0818-15	_	39,251	
Health Research Inc	93.395	55090502	_	10,995	
Health Research Inc	93.395	57-0912-07	_	31,305	
Health Research Inc	93.395	55-0971-01	_	11,729	
NSABP Foundation Incorporated	93.395	PFED22ASTO01	_	31,701	
Gynecologic Oncology Group	93.395	02522530 218IRF CTSU 2746970	_	148,224	
NSABP Foundation Incorporated	93.395	TFED36 37 38 39-345	_	7,734	
National Childhood Cancer Foundation	93.395	14052 985431158	_	370	
Weill Medical College of Cornell University	93.395	CN43302WMC08WA7	_	370	
Gynecologic Oncology Group	93.395	2746956	_	72,453	
Gynecologic Oncology Group	93.395	27469056	_	162	
American College of Surgeons Oncology Group	93.395	309	_	20,081	
Jniversity of Chicago	93.395	_	_	11,165	
Duke University	93.395	GCID463	_	40	
Jniversity of Chicago	93.395	5310318610 U10CA3194628	_	70,382	
National Childhood Cancer Foundation	93.395	17853	_	(8,956)	
National Childhood Cancer Foundation	93.395	18477	_	250	
National Childhood Cancer Foundation	93.395	18477	_	28,693	
National Childhood Cancer Foundation	93.395	18747	_	25,873	
National Childhood Cancer Foundation	93.395	18749	_	8,998	0.10.1
National Childhood Cancer Foundation	93.395	19578	_	133	912,16
Albert Einstein College of Medicine	93.396	95262969	_	1,005	
Albert Einstein College of Medicine	93.396	95263574	_	121,962	
Health Research Inc Health Research Inc	93.396 93.396	1R01CA12566501	_	(7,363) 4,540	
Health Research Inc	93.396	55094801 57-0983-05	_	7,158	
Health Research Inc	93.396		_		
Jniversity of Georgia	93.396	55096301 RR549213 3840788	_	17,490 106,482	251,27
Health Research Inc	93.397		_		231,27
Health Research Inc	93.397	55569032 P30CA016056-32	_	(555) 293,504	
Cornell University	93.397	58407-9121	_	30,263	323,21
Health Research Inc	93.399	55760305	_	27,859	323,21
Southwest Oncology Group	93.399	CA37429	_	109,818	
Jniversity of Chicago	93.399	C/15/42)	_	307	
Southwest Oncology Group	93.399	 CA37429	_	661	
Natl Surgical Adj for Breast Bowel Cancer	93.399	PFED23USY01	_	(2,887)	
Natl Surgical Adj for Breast Bowel Cancer	93.399	5PFED24US401	_	16,765	
Natl Surgical Adj for Breast Bowel Cancer	93.399	_	_	932	153,45
NYS Office of Children and Family Services	93.558	C002123	_	313,873	-55,45
NYS Office of Children and Family Services	93.558	C002264	_	648,490	962,36
Veill Medical College of Cornell University	93.583	223 5U01NS5032403	_	2,238	2,23
NYS Office of Children and Family Services	93.590	C002228	_	115,524	115,52
NYS Developmental Disabilities Planning Council	93.630	C021598	_	8,263	8,26
New England Research Institute	93.837	_	_	11,277	-,=-
University of Washington	93.837	361002	_	(36,673)	
K Autoimmunity, Incorporated	93.837	Prime 1R41-HL093956-01	_	31,524	
Rhode Island Hospital	93.837	U01HL077221	_	3,738	
Jniversity of California Berkeley	93.837	SA550321628	_	44,340	
Columbia University	93.837	HL67101	_	128,881	
Columbia University	93.837	565919	_	113,848	
Columbia University	93.837	3566249	_	19,771	
Wake Forest University	93.837	N01WH44221	_	974	
Wake Forest University	93.837	N01WH44221	_	866	
Columbia University	93.837	537766	_	214,359	
Columbia University	93.837	573896	_	65,138	
Columbia University	93.837	538301	_	384,244	
Columbia University	93.837	573896	_	4,446	
Columbia University	93.837	538301	_	23,859	
Albert Einstein College of Medicine	93.837	_	_	6,059	
Albert Einstein College of Medicine	93.837	9-526-3218	_	28,997	
Albert Einstein College of Medicine	93.837		_	12,441	
Johns Hopkins University	93.837	1R01HL6892701	_	632	
Johns Hopkins University				2 157	
New England Research Institute	93.837	TOPCAT1006	_	3,157	
Johns Chrystal New England Research Institute University of Michigan Albert Einstein College of Medicine	93.837 93.837 93.837	TOPCAT1006 3001128195 95263145	_ _ _	3,157 379,241 55,197	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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
Department of Health and Human Services, continued					
Transonic System Incorporated	93.837	2R44HL08202202	\$ —	26,518	
Transonic System Incorporated Albert Einstein College of Medicine	93.837 93.837	2R44HL06199405 95263899	_	9,971 12,456	1,545,261
Northwestern University	93.838	0600 370 Q218 1327	_	128,701	1,343,201
Regents of the University of California	93.838	5912sc	_	1,784	
Columbia Presbyterian Medical Center	93.838	ACCORD	_	67,498	
University of Pittsburgh	93.838	0001933 114362-6	_	9,500	
Henry Ford Health System	93.838	R01HL09257602	_	87,145	240.665
University of Michigan Fred Hutchinson Cancer Research Center	93.838 93.839	3001128187 0000678537	_	46,037 6,370	340,665
Fred Hutchinson Cancer Research Center	93.839	0000683987	_	50,510	
Saint Judes Childrens Research Hospital	93.839	Patient Care costs	_	4,657	
Saint Judes Childrens Research Hospital	93.839	111270040 7302996	_	5,482	
New England Research Institute	93.839		_	24,904	
Saint Judes Childrens Research Hospital Biomedica Management Corporation	93.839 93.839	111270050-7348403 2R44HL08629302A1	_	42,029 26,113	160,065
University of Rochester	93.846	PO# 414067 – 001-G	_	19,035	100,003
University of Washington	93.846	Subaward 514465	_	81,833	
Neomatrix	93.846	_	_	8,397	
New York University School of Medicine	93.846	06-0181	_	5,510	
New York University School of Medicine	93.846	06-0181	_	25,974	
Medical University of South Carolina	93.846	MUSC08128	_	77,147	217,896
Oregon Research Institute Medical College of Georgia	93.847 93.847	1 R01 DK080760 2049715	_	46,254 1,056	
George Washington University	93.847	09D08	_	287,236	
George Washington University	93.847	STOPP2D 2U01DK06123008	_	124	
George Washington University	93.847	_	_	63,055	397,725
Duke University	93.849	06SCNIH1046	_	64,429	
Rhode Island Hospital	93.849	. <del></del>	_	13,890	78,319
Brigham and Womens Hospital Skybridge Pharmaceuticals Incorporated	93.853	105111 SDID Sell 1042NS (470 C 01	_	3,425	
University of Medicine & Dentistry of New Jersey	93.853 93.853	SBIR Sub 1R43NS64706-01 99-705	_	51,887 60,189	
Cincinnati Childrens Hospital Research Foundation	93.853	CHMC 504 – 100089	_	1,760	
Columbia University	93.853	7U01NS04397507	_	22,404	
University of Miami	93.853	M121189	_	17,470	
Yale University	93.853	A07223 (M09A10103)	_	34,568	
University of Southern California	93.853	H41008	_	9,538	
Washington University Yale University	93.853 93.853	WU-10-251 A07593 (M10A10547)	_	8,863 11,665	
Medical University of South Carolina	93.853	MUSC08110	_	37,923	
Medical University of South Carolina	93.853	MUSCO09-057	_	79,613	
Population Diagnostics	93.853	_	_	11,357	
Photon Migration Technologies Corporation	93.853	1R41NS056844-01A1	_	80,000	
Photon Migration Technologies Corporation	93.853	2R44NS049734-02	_	17,853	
Bio-Signal Group Corporation Weill Medical College of Cornell University	93.853 93.853	9R42NS064474-02A1 135 5U01NS5032404	_	19,235 1,482	
Mount Sinai School of Medicine	93.853	1U01NS045719	_	5,551	
Massachusetts General Hospital	93.853	5U01NS049640	_	62,560	
Massachusetts General Hospital	93.853	U01 NS04964005	_	680,282	
Massachusetts General Hospital	93.853	3U01NS04964004S1 208255	_	33,887	
Massachusetts General Hospital	93.853	3U01NS04964004S1 208255	_	95	1.060.546
University of Cincinnati University of Pittsburgh	93.853 93.855	5U01NS05222004 0000898		11,939 41,622	1,263,546
Monash University	93.855	R01AI079330-01	_	189.789	
Duke University	93.855	147692	_	80,212	
Social and Scientific Systems Incorporated	93.855	BRS-ACURE-Q-06-00140-T004	_	123,212	
University of Massachusetts Worcester	93.855	6110671/RFS900122	_	67,453	
Los Angeles Biomedical Research Institute at Harbo	93.855	2031060	_	19,816	
Los Angeles Biomedical Research Institute at Harbo Brookhaven Science Associates LLC	93.855 93.855	111000-06-01 78364	_	2,915 48,475	
Saint Louis University	93.855	N01AI45250	_	972	
Social and Scientific Systems Incorporated	93.855	BRSIMPCTQ0600114T002	_	102,561	
Social and Scientific Systems Incorporated	93.855	BRSIMPCTQ0600114T001001	_	152,205	
Columbia University	93.855	537761	_	494,425	
Regents of the University of California	93.855	07000751SUNYSB	_	30,202	
Columbia University Parexel International Corporation	93.855 93.855	537762 DAS181201	_	82,719 8,499	
University of Massachusetts Worcester	93.855	5P01AI03453316 6110670RFS90012	_	72,733	
Brigham and Womens Hospital	93.855	104684	_	247,623	
University of Massachusetts Worcester	93.855	5P01AI03453317 6119796RFS20110	_	24,008	1,789,441
Georgia State University	93.856	FLAF3-01	_	16,375	
Social and Scientific Systems Incorporated	93.856	BRS ACURE Q 06 00140 T001	_	376,214	
Myriad Genetics Incorporated Myriad Genetics Incorporated	93.856 93.856	HHSN266200400057C HHSN266200400057C	_	3,220 9,891	
Colorado State University	93.856	G78131		119,118	
Colorado State University	93.856	G78131	_	5,742	
Saint Louis University	93.856	_	_	614	531,174
Brigham and Womens Hospital	93.859	125153	_	3	
Regents of the University of California	93.859	6914226	_	29,513	
University of Arkansas	93.859	ARIA 31078 PE01008313	_	94,142	
Ohio State University Research Foundation Rutgers University	93.859 93.859	RF01098313 00003498	_	32,879 30,452	
New York Structural Biology Center	93.859	U54GM075026	_	2,883	
University of Illinois Urbana Champaign	93.859	20080169801	_	171,502	
Rutgers University	93.859	00003823	_	497,140	
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Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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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 granton
Department of Health and Human Services, continued	number	1 ass-tin ough number	expenditures	expenditures	reuciai grantoi
New York Structural Biology Center	93.859	_	s —	53,999	
Massachusetts Institute of Technology	93.859	5710002606	_	58,374	
University of Delaware	93.859	20511	_	21,920	
Hauptman Woodward Medical Research Institute Inc	93.859	6200	_	61,929	
Sunnybrook & Womens College Health Sciences Centre	93.859	724180675	_	33,491	
Stony Brook Technology and Applied Research Inc	93.859 93.859	 6814817	_	45,195 115,777	
Regents of the University of California University of California at Davis	93.859	SUB06002896SBAMD1	_	66,069	
Mount Sinai School of Medicine	93.859	025477124609	_	33,722	
Mount Sinai School of Medicine	93.859	025477524609	_	49,004	
University of Chicago	93.859	38083	_	105,613	
Mount Sinai School of Medicine	93.859	025477724609	_	44,705	
Nanoprobes Incorporated	93.859	1R43EB00862101A2	_	15,432	
University of Washington	93.859	662223	_	2,177	
Mount Sinai School of Medicine	93.859	025477134609	_	51,076	
Mount Sinai School of Medicine Mount Sinai School of Medicine	93.859 93.859	025477534609 025477734609	_	34,511 57,992	
University of Pittsburgh	93.859	0012097	_	44,194	
University of Texas Health Science Center	93.859	0012097 0006754A		83,251	
University of Pittsburgh	93.859	9000613	_	18,150	1,855,095
University of Texas at Austin	93.864	UTA09-001175	_	54,446	54,446
InvoTek Incorporated	93.865		_	7,203	,
Harvard School of Public Health	93.865	5U01HD05210204	_	39,572	
Oregon Health & Science University	93.865	GVOLL0275A	_	176,706	
University of Alabama Birmingham	93.865	5U01HD040053308	_	58,980	
Harvard School of Public Health	93.865	5U01HD05210205	_	51,082	
University of Alabama Birmingham	93.865		_	1,035	
Oregon Health & Science University	93.865	GCOLL0275A	_	23,560	
Harvard University	93.865	— NICDH200510	_	95,559	
Duke University	93.865 93.865	NICDH200518 SMARTT Grant No: HD052102-05	_	3,704	
Harvard University Duke University	93.865	A326001	_	514,039 908	972,348
University of Michigan	93.866	3000728195	_	40,410	972,340
Albany Medical College	93.866	SC0906002		44,118	
University of California at San Francisco	93.866	5992SC	_	2,205	
Regents of the University of California, San Francisco	93.866	5993sc	_	932	
University of Rochester	93.866	412799G	_	8,169	
Trustees of Princeton University	93.866	00000973	_	3,794	
Hebrew Rehabilitation Center for the Aged	93.866	5R01AG02548903	_	46,160	
Rand Corporation	93.866	9920050004	_	1,311	
Duke University	93.866	HHSN260200500010C	_	12,088	
University of Rochester	93.866	415142G	_	62,790	
Judge Baker Childrens Center	93.866	N/A	_	90,794	
Trustees of Princeton University	93.866	00001792	_	65,208	200 527
Columbia University University of Texas Health Science Center	93.866 93.867	1(Acct #5-35061)	_	10,558 4,961	388,537
University of Texas Health Science Center	93.867	000435914	_	(1,494)	
Board of Regents of the University of Oklahoma	93.867	RS20091440-01		18,324	
Emmes Corporation	93.867	SITE 045 HHSN260200500007C	_	20,506	
University of Texas	93.867	00004359	_	20,374	
Board of Regents of the University of Oklahoma	93.867	RS006234802	_	63,922	
Indiana University	93.867	IUB4635527SUNY	_	29,323	155,916
Brigham and Womens Hospital	93.879	155032	_	973	
Brigham and Womens Hospital	93.879	_	_	3,643	4,616
Hunters Hope Foundation	93.888	_	_	170,768	170,768
Health Research Inc	93.917	19002503	_	75,183	
Erie County Medical Center	93.917	_	_	23,431	
Erie County Medical Center	93.917	357402	_	19,608	
Health Research Inc	93.917 93.917	357402 357403	_	52,707 77,300	
Health Research Inc Health Research Inc	93.917	357405 357404	_		275 272
Health Research Inc	93.994	14046201	_	27,143 60,219	275,372 60,219
	73.774	14040201			
Total Department of Health and Human Services			186,851,191	22,795,682	209,646,873
orporation for National and Community Service:					
Pennsylvania Campus Compact	94.005	_	_	31,911	
Foundation for Long Term Care	94.005	06LHHNY001	_	2,691	34,602
NYS Office of Children and Family Services	94.009	C002124		55,260	55,260
Total Corporation for National and Community Service ocial Security Administration:				89,862	89,862
University of Michigan	96.007	3001387740UM1016	_	71,991	
Regents of the University of Michigan	96.007	3001048279		43,155	115,146
Total Social Security Administration				115,146	115,146
	97 000	_	1 400 139		
Department of Homeland Security	97.000 97.000	— O197701	1,400,139	5.993	1.406 132
University of Maryland	97.000		1,400,139	5,993 78	1,406,132
Department of Homeland Security		Q197701 Z988507 Z930121	1,400,139	5,993 78 39,737	1,406,132
Department of Homeland Security University of Maryland University of Maryland	97.000 97.061	Z988507	1,400,139 — — — — —	78	1,406,132

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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
Department of Homeland Security, continued University of Wisconsin at Madison University of Maryland	97.061 97.061	Sub 117K401 \$ Z930301	_	24,975 18,689	144,433
Total Department of Homeland Security	97.001	2530301	1,400,139	150,426	1,550,565
Agency for International Development:			-,,		-,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,
National Academy of Sciences Hebrew University of Jerusalem	98.001 98.001	PGAP281491	_	10,941 (143)	10,798
Total Agency for International Development	96.001	438TBROOK190087 TAMOU03CA23037		10,798	10,798
Total Research and Development Cluster			301,993,711	47,865,554	349,859,265
Other programs:					
Department of Agriculture Higher Education Multicultural Scholars Program	10.220	_	78,428	_	78,428
NYS Office of Temporary & Disability Assistance	10.551	C000984		(5)	,
NYS Office of Children and Family Services NYS Office of Temporary & Disability Assistance	10.551 10.551	C002142 C002092	_	55,861 598,994	
NYS Office of Temporary & Disability Assistance	10.551	C002092 C002100	_	1,240,195	
NYS Office of Temporary & Disability Assistance	10.551	C002093	_	445,673	
NYS Office of Temporary & Disability Assistance NYS Office of Children and Family Services	10.551 10.551	C002094 C002148	_	253,778 41,066	
NYS Office of Children and Family Services	10.551	C02267	_	138,676	
NYS Office of Temporary & Disability Assistance	10.551	C002233	_	356,665	
NYS Office of Temporary & Disability Assistance NYS Office of Temporary & Disability Assistance	10.551 10.551	C002224 C002226	_	316,925 218,976	
NYS Office of Temporary & Disability Assistance	10.551	C002231	_	842,956	
NYS Office of Children and Family Services	10.551		_	304,947	
NYS Office of Temporary & Disability Assistance NYS Office of Children and Family Services	10.551 10.551	 C025768	_	2,941,174 11,530	
NYS Office of Children and Family Services	10.551	C025999	_	8,013	7,775,424
NYS Department of Health	10.557	C023644	_	180,487	(50.422
NYS Department of Health NYS Office of Temporary & Disability Assistance	10.557 10.561	C025788 C002097	_	478,945 142,515	659,432
NYS Office of Temporary & Disability Assistance	10.561	C002227		101,608	244,123
<b>Total Department of Agriculture</b>			78,428	8,678,979	8,757,407
Department of Commerce:					
Measures and Analyses of the U.S. Economy Trade Adjustment Assistance for Firms	11.025 11.313	<del>-</del>	24,601 842,754	_	24,601 842,754
Sea Grant Support	11.417	<u> </u>	31,630	_	31,630
Coastal Zone Management Estuarine Research Reserves	11.420	_	21,072	_	21,072
University of Rhode Island Measurement and Engineering Research and Standards	11.472 11.609	0129070001224B	20,729	15,125	15,125 20,729
Total Department of Commerce	11.00)		940,786	15,125	955,911
Department of Defense:			,		,
Academy of Applied Sciences	12.300	0853 0854	_	225	
Academy of Applied Sciences	12.300 12.300	0864 W911NF0410001	_	48 1,445	
Academy of Applied Sciences Academy of Applied Sciences	12.300	0950 0951	_	14,806	
Academy of Applied Sciences	12.300	0949	_	2,489	
Academy of Applied Sciences	12.300	0948	_	1,517	
Academy of Applied Sciences Academy of Applied Sciences	12.300 12.300	0912509126 09108109110	_	5,067 5,357	
Academy of Applied Sciences	12.300	W911NF0410001	_	7,883	38,837
Military Medical Research and Development	12.420	_	98,599		98,599
Academy of Applied Sciences Basic Applied, and Advanced Research in Science and Engineering	12.431 12.630	<u> </u>	108,042	26,124	26,124 108,042
Mathematical Sciences Grants Program	12.901	_	16,214		16,214
<b>Total Department of Defense</b>			222,855	64,961	287,816
Department of Housing and Urban Development:	1.1.000			7.40	7.42
Nassau County Economic Development Initiative-Special Project Community Outreach Partnership Center Program	14.000 14.251 14.511	_ _ _	241,550 33,940	742 — —	742 241,550 33,940
Total Department of Housing and Urban Development			275,490	742	276,232
Department of the Interior:					
National Cooperative Geologic Mapping Program	15.810	<del>-</del> -	2,647	_	2,647
Greenway Conservancy for the Hudson River Valley Hudson Valley Greenway Communities Council	15.904 15.904	Q2009U06	_	1,000 4,818	
Town of New Paltz Historic Preservation Commission	15.904		_	16,980	
Greenway Conservancy for the Hudson River Valley	15.904	_		5,000	27,798
Total Department of the Interior			2,647	27,798	30,445
Department of Justice:	16.012		20 444		20.444
Violence Against Women Act Court Training and Improvement Grants Grants to Reduce Domestic Violence	16.013 16.525	——————————————————————————————————————	30,444 145,347	_	30,444 145,347
National Institute of Justice Research	16.560	_	903,258	_	
Syracuse University	16.560	2375002354SO1	_	17,828	921,086
New York State Coalition Against Sexual Assault Council of State Governments	16.575 16.602	09PA161509	_	275 17,717	275 17,717
Center for Problem Oriented Policing	16.710	_		30,340	30,340
Total Department of Justice			1,079,049	66,160	1,145,209

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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
Department of Labor:					
Workforce Development Corporation	17.258	180	\$ —	107,907	
Workforce Development Corporation	17.258	180	_	126,448	
Workforce Investment Board	17.258	Q37 ETWT001	_	64,564	
CNY Works Incorporated	17.258	S217	_	153,330	
CNY Works Incorporated CNY Works Incorporated	17.258 17.258	S231 S242	_	32,900 19,723	504,872
GLOW Workforce Investment Board	17.259	3242	_	833	304,872
GLOW Workforce Investment Board	17.259	_	_	12,493	13,326
RochesterWorks Inc	17.261	087572	_	115,368	
WIA Pilots	17.261	_	5,132	_	120,500
Community Based Job Training Grants	17.269	_	697,676	_	697,676
Occupational Safety and Health_Susan Harwood Training Grants	17.502	_	46,645		46,645
Total Department of Labor			749,453	633,566	1,383,019
Department of State: Department of State	19.000	_	188,421	_	188,421
Total Department of State			188,421		188,421
Department of Transportation: Highway Research and Development Program	20.200		1,500		
STV Incorporated	20.200	3211867	1,500	(3,657)	(2,157)
NYS Governors Traffic Safety Committee	20.600	C001730	_	191,659	(=,)
NYS Governors Traffic Safety Committee	20.600	C001734	_	60,626	
NYS Governors Traffic Safety Committee	20.600	C001729	_	100,030	
NYS Governors Traffic Safety Committee	20.600	C001864	_	510,245	
NYS Governors Traffic Safety Committee	20.600	C001865	_	162,738 177.224	
NYS Governors Traffic Safety Committee NYS Governors Traffic Safety Committee	20.600 20.600	C001866 C001867	_	132,898	
Health Research Inc	20.600	15334021	_	173,750	
NYS Governors Traffic Safety Committee	20.600	_	_	62,480	
NYS Governors Traffic Safety Committee	20.600	C001873	_	111,693	1,683,343
NYS Governors Traffic Safety Committee	20.602	C001756	_	15,262	
NYS Governors Traffic Safety Committee	20.602	CPS2010RFSUNY00342052	_	9,771	25,033
Research Foundation of City University of New York Research Foundation of City University of New York	20.701	491110321 491110322	_	5,937	22.650
State Maritime Schools	20.701 20.806	491110322	(9,014)	16,713	22,650 (9,014)
Total Department of Transportation	20.000		(7,514)	1,727,369	1,719,855
			(7,514)	1,727,309	1,717,033
Department of Treasury: Corporation for Public Broadcasting	21.000	_	_	8,923	8,923
Total Department of Treasury				8,923	8,923
Appalachian Regional Commission:					
Appalachian Regional Development Appalachian Area Development	23.001 23.002	<u> </u>	15,751 125,730	_	15,751 125,730
Total Appalachian Regional Commission			141,481		141,481
Office of Personnel Management:					
Intergovernmental Personnel Act (IPA) Mobility Program	27.011	_	18,621		18,621
Total Office of Personnel Management			18,621		18,621
National Aeronautics and Space Administration:					
National Aeronautics and Space Administration	43.000	_	28,500	_	28,500
Aerospace Education Services Program	43.001	<del>-</del>	82,523	_	
Cornell University	43.001	48240-8986	_	15,000	
Cornell University	43.001	482408497	_	14,174	110 127
Institute for Application of Geospatial Technology	43.001	_		6,440	118,137
Total National Aeronautics and Space Administration			111,023	35,614	146,637
National Foundation on the Arts and Humanities:  Promotion of the Arts-Grants to Organizations and Individuals	45.024		110,068		
Arts Midwest	45.024	57899	110,008	5,000	
Arts Midwest Arts Midwest	45.024	60287	_	14,380	129,448
New York Council for the Humanities	45.129	5687	_	2,500	122,440
New York Council for the Humanities	45.129	6023	_	467	
New York Council for the Humanities	45.129	5632	_	1,750	4,717
Promotion of the Humanities-Division of Preservation and Access	45.149	_	248,583	_	248,583
Promotion of the Humanities-Fellowships and Stipends Promotion of the Humanities-Professional Development	45.160 45.163	_	42,000	_	42,000
Promotion of the Humanities-Professional Development Promotion of the Humanities-Office of Digital Humanities	45.169	<u> </u>	79,681 40,853	_	79,681 40,853
21st Century Museum Professionals	45.307	_	76,115	_	76,115
National Leadership Grants	45.312	_	51,628		51,628
Total National Foundation on the Arts and Humanities			648,928	24,097	673,025
National Science Foundation:					
ARRA - Trans-NSF Recovery Act Research Support	47.082	_	454,468	_	454,468
National Science Foundation	47.000	_	60,185	_	60,185
Engineering Grants	47.041	_	102,906		105.055
Clarkson University	47.041	_	957 700	2,969	105,875
Mathematical and Physical Sciences University of Notre Dame	47.049 47.049		857,799	8,438	
Johns Hopkins University	47.049	2000408992	_	60,086	926,323
Geosciences	47.050		272,963		. 20,020
Institute for Global Environmental Strategies	47.050	071026	_	2,065	275,028

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through number	Direct expenditures	Pass- through expenditures	Total expenditures by CFDA and Federal grantor
National Science Foundation, continued					·
Computer and Information Science and Engineering	47.070		\$ 236,423		
Computing Research Association Biological Sciences	47.070 47.074	0937060	362,635	108,140	344,563 362,635
Social, Behavioral, and Economic Sciences	47.075		157,259	_	157,259
Education and Human Resources	47.076	_	6,562,794	_	,
Rensselaer Polytechnic Institute	47.076	B10536	_	11,582	
Cornell University Hofstra University	47.076 47.076	51306-8588 EHR0314910	_	103,292 74,415	6,752,083
	47.070	L11K0314910	0.007.422		
Total National Science Foundation			9,067,432	370,987	9,438,419
Small Business Administration: Small Business Administration	59.000		31,365		31,365
Small Business Development Centers	59.037	<u>-</u>	7,462,082	_	7.462.082
Veterans Business Development	59.044	_	149,258		149,258
Total Small Business Administration			7,642,705	_	7,642,705
Department of Veteran Affairs :					
Veterans Benefits Administration	64.000	_	30,359		30,359
Total Department of Veteran Affairs			30,359	_	30,359
Environmental Protection Agency:					
University of Connecticut	66.437	FRS 524972 6623	_	30,203	30,203
Assessment and Watershed Protection Program Grants	66.480	<del>-</del>	15,000	_	15,000
Greater Research Opportunities (GRO) Fellowships For Undergraduate Environmental Study	66.513		4,413		4,413
Science To Achieve Results (STAR) Fellowship Program	66.514	<u>-</u>	24,755	_	24,755
Surveys, Studies, Investigations and Special Purpose Grants	66.606	_	24,274	_	24,274
Pollution Prevention Grants Program	66.708	_	69,667	_	69,667
Brownfield Job Training Cooperative Agreements City of Lackawanna	66.815 66.818	_	6,801	22,284	6,801 22,284
Total Environmental Protection Agency	00.010		144,910	52,487	197,397
· .			144,910	52,487	197,397
Department of Energy: ARRA – NYS Energy Research and Development Authority	81.041	16481		28,675	28,675
Department of Energy	81.000		111,092	20,073	111,092
Brookhaven Science Associates LLC	81.049	91752	_	10,440	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	99625 106135	_	19,532 19,032	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049	101072	_	34,510	
Brookhaven Science Associates LLC	81.049	101004	_	18,987	
Brookhaven Science Associates LLC	81.049	103695	_	36,470	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	105489 109586	_	12,060 37,359	
Brookhaven Science Associates LLC	81.049	109853	=	41,479	
Brookhaven Science Associates LLC	81.049	110126	_	37,011	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	109433 109982	_	43,831 46,199	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049	109982	_	42,488	
Brookhaven Science Associates LLC	81.049	111033	_	38,487	
Brookhaven Science Associates LLC	81.049	112036	_	16,569	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	114733 116222	_	36,325 94,211	
Brookhaven Science Associates LLC	81.049	118427	_	36,316	
Brookhaven Science Associates LLC	81.049	120285	_	43,212	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	120259 125688	_	38,251 33,943	
Brookhaven Science Associates LLC	81.049	125897	=	33,711	
Brookhaven Science Associates LLC	81.049	127033	_	32,727	
Brookhaven Science Associates LLC	81.049	127243	_	7,294	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	126924 127804	_	40,375 18,432	
Brookhaven Science Associates LLC	81.049	133068	_	41,726	
Brookhaven Science Associates LLC	81.049	131205	_	41,541	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	134119 133655	_	34,204 38,251	
Brookhaven Science Associates LLC	81.049	133610	_	37,682	
Brookhaven Science Associates LLC	81.049	135942	_	5,479	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	136365 136609	_	8,497 5,736	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049	136685	_	12,792	
Brookhaven Science Associates LLC	81.049	138143	_	7,602	
Brookhaven Science Associates LLC	81.049	138988	_	36,921	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	138142 139642	_	46,740 15,169	
Brookhaven Science Associates LLC	81.049	141422	_	35,097	
Brookhaven Science Associates LLC	81.049	141064	_	34,381	
Brookhaven Science Associates LLC	81.049	142862	_	33,811	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	146480 146916	_	34,660 3,987	
Brookhaven Science Associates LLC	81.049	146787	_	3,987	
Brookhaven Science Associates LLC	81.049	145975	_	27,954	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	145974 148419	_	27,954 3,979	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049	146691	_	40,402	
		***		-,	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

	i ear ende	d June 30, 2010			
Federal quarter/federal cubilization on near through quarter	CFDA number	Pass-through number	Direct expenditures	Pass- through expenditures	Total expenditures by CFDA and
Federal grantor/federal subdivision or pass-through grantor	number	Pass-through number	expenditures	expenditures	Federal grantor
Department of Energy, continued	81.049	146692	s —	41,173	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049	148216	• –	57,117	
Brookhaven Science Associates LLC  Brookhaven Science Associates LLC	81.049	148219	=	47,351	
Brookhaven Science Associates LLC	81.049	148456	_	5,187	
Brookhaven Science Associates LLC	81.049	146008	_	18,625	
Brookhaven Science Associates LLC	81.049	152484	_	26,288	
Brookhaven Science Associates LLC	81.049	154727	_	29,466	
Brookhaven Science Associates LLC	81.049	154779	_	31,063	
Brookhaven Science Associates LLC	81.049	152437	_	19,246	
Brookhaven Science Associates LLC	81.049	156046	_	24,285	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	152774 156761	_	18,237 17,749	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049	157762	_	4,118	
Brookhaven Science Associates LLC	81.049	159218	_	16,377	
Brookhaven Science Associates LLC	81.049	160949	_	14,356	
Brookhaven Science Associates LLC	81.049	163652	_	16,168	
Brookhaven Science Associates LLC	81.049	161369	_	8,400	
Brookhaven Science Associates LLC	81.049	163378	_	8,664	
Brookhaven Science Associates LLC	81.049	164781	_	5,603	
Brookhaven Science Associates LLC	81.049	165854	_	7,463	
Brookhaven Science Associates LLC	81.049	166837	_	5,002	
Brookhaven Science Associates LLC	81.049	166835	_	5,002	
Brookhaven Science Associates LLC	81.049	169250	_	2,466	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049 81.049	168050 170059	_	1,172 5,002	
Brookhaven Science Associates LLC Brookhaven Science Associates LLC	81.049	170039	_	541	1.883.924
Solar Energy Consortium	81.087	SUNY332		128,049	128.049
Energy Efficiency and Renewable Energy Information Dissemination	81.117	_	166,835	- 120,0.7	166,835
Total Department of Energy			277,927	2,040,648	2,318,575
Department of Education:					
ARRA – NYS Education Department	84.000	5607100016	_	23,234	23,234
ARRA – NYS Office of Children and Family Services	84.390	0906562	_	10,907	
ARRA – NYS Office of Children and Family Services	84.390	PO 0908783	_	4,920	
ARRA – NYS Office of Children and Family Services	84.390	C026053	_	19,819	35,646
ARRA – NYS Education Department	84.394	_	_	21,369	21,369
Rochester City School District Rochester City School District	84.000 84.000	2010006135	_	7,206 7,858	
Northwestern Michigan Migrant Education Inc	84.000	2010000133		740	
NYS Higher Education Services Corporation	84.000	C112065	_	39,169	
NYS Higher Education Services Corporation	84.000	C112083	_	193,104	248,077
Eastern Suffolk BOCES	84.002	_	_	346,425	
Yonkers Public School District	84.002	25008	_	11,286	
NYS Education Department	84.002	C007538	_	12,289	
NYS Education Department	84.002	C010002	_	316,609	686,609
DeKalb County Schools	84.010	_	_	483	
Syracuse City School District NYS Education Department	84.010 84.011	C401000 0035090022	_	6,183 293,655	6,666
NYS Education Department NYS Education Department	84.011	C283316	_	39,092	
NYS Education Department	84.011	C401000 0035100022	_	496,798	
NYS Education Department	84.011	C283316	_	136,635	
NYS Education Department	84.011	0035090037 C400998	_	304,653	
NYS Education Department	84.011	_	_	59,458	
NYS Education Department	84.011	0035100037 C400998	_	565,432	
NYS Education Department	84.011	0035090002 C400996	_	99,586	
NYS Education Department	84.011	0035100002 C400996	_	439,692	
NYS Education Department	84.011	C400993 0035090005	_	249,729	
NYS Education Department Chandler (AZ) Unified School District #80	84.011 84.011	C400993 0035100005	_	931,486 31	
University of Vermont	84.011	_	_	98	
Southwest Arkansas Migrant Education Cooperative	84.011	_		22	
California Department of Education	84.011	CN066129	_	2,446	
Deming New Mexico Public School District	84.011	000040305	_	53	
Kentucky Department of Education	84.011	PO254008000158061	_	58,267	
NYS Education Department	84.011	C401003 0035090021	_	168,763	
NYS Education Department	84.011	C990152	_	2,097,835	
Texas Education Agency	84.011	2106 PO25789	_	11,599	
Florida Department of Education	84.011	9862179A9PE01	_	166,274	
Colorado Department of Education	84.011	PODAA0900000115	_	113	
Gloucester County Special Services School District Mississippi Department of Education	84.011 84.011	 0932018231B0A7EA901	_	7,000 27,781	
EDCO Collaborative	84.011	0932018231B0A7EA901	_	32,383	
California Department of Education	84.011	CN090040	_	87,703	
Chandler (AZ) Unified School District #80	84.011	_	_	1,378	
Deming New Mexico Public School District	84.011	000040305	_	4,285	
Maine Department of Education	84.011	CT05A200906167181 VC1000076007	_	200,092	
Pennsylvania Center for Schools and Community	84.011	_	_	14,228	
Southwest Arkansas Migrant Education Cooperative	84.011	_	_	1,526	
Colorado Department of Education	84.011	PO-DAA-10000000068	_	5,497	
Alabama State Department of Education	84.011	C9U0533	_	114,529	
Colquitt County School District GA	84.011	— C401002 0025100021	_	5,610	
NYS Education Department Texas State University San Marcos	84.011 84.011	C401003 0035100021	_	658,199 442	
META Associates	84.011	<del>-</del>	_	51,816	
Texas State University San Marcos	84.011	_	_	133,183	
	0011			155,105	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

	CFDA	<b>.</b>	Direct	Pass- through	Total expenditures by CFDA and
Federal grantor/federal subdivision or pass-through grantor	number	Pass-through number	expenditures	expenditures	Federal granto
Department of Education, continued Texas Education Agency	84.011	27502	s —	27,459	
Florida Department of Education	84.011	9862170A0PE01	—	325,500	
Northeast Arkansas Migrant Education Cooperative	84.011		_	2,517	
Maine Department of Education Mississippi State University	84.011 84.011	VC1000076007 05040036104204	_	110,970 67,588	
Texas State University San Marcos	84.011	——————————————————————————————————————	_	2,980	
MSAD 37	84.011	_	_	9,243	
Northwestern Michigan Migrant Education Inc	84.011	_	_	2,192	
Oregon Department of Education University of Vermont	84.011 84.011	_	_	1,367 1,300	
Mississippi Department of Education	84.011	1032018231B0A8EA901	_	8,290	
NYS Education Department	84.011	0035070013	_	(146)	
NYS Education Department	84.011	0035090013 C400999	_	108,696	
Saint Lawrence Lewis BOCES NYS Education Department	84.011 84.011	Q184L060007 0035100013 C400999	_	13,622 463,723	
Saint Lawrence Lewis BOCES	84.011	Q184L060007	_	14,188	8,626,858
University of Maine at Orono	84.015	UMS726	_	54,502	0,020,000
University of Maine at Orono	84.015	P015A06002109 UMS750	_	59,746	114,248
Undergraduate International Studies and Foreign Language Programs	84.016	_	183,928	_	183,928
Overseas Programs – Group Projects Abroad NYS Education Department	84.021 84.027	 C009486	79,786	165,409	79,786
NYS Education Department	84.027	C010339		472,980	
NYS Education Department	84.027	C008221	_	245,342	
Syracuse University	84.027	22453 02010SO6	_	2,994	
Syracuse University University of North Caroline at Charlette	84.027	2245302302S06	_	9,648	
University of North Carolina at Charlotte NYS Education Department	84.027 84.027	2009014701SUN C009494	_	18,539 208,359	
University of North Carolina at Charlotte	84.027	2010036001SUN	_	14,026	1,137,297
Higher Education-Institutional Aid	84.031		801,780	- 1,7-2-7	801,780
TRIO-Student Support Services	84.042	_	3,038,867	_	3,038,867
TRIO-Talent Search	84.044	_	1,496,234	_	1,496,234
TRIO-Upward Bound NYS Education Department	84.047 84.048	8000096950	3,816,783	116,389	3,816,783
Jefferson-Lewis BOCES	84.048		_	9,831	
NYS Education Department	84.048	8000096010	_	8,611	
NYS Education Department	84.048	8000106010	_	304,060	
NYS Education Department NYS Education Department	84.048 84.048	8000096060 8000106060	_	6,421 212,157	
NYS Education Department NYS Education Department	84.048	8000100000	_	1,386	
NYS Education Department	84.048	8000106100	_	262,407	
NYS Education Department	84.048	8000096170	_	9	
NYS Education Department	84.048	8000106170	_	256,469	
NYS Education Department NYS Education Department	84.048 84.048	8000096890 8000106890	_	3,511 181,115	
NYS Education Department	84.048	8000096870	_	15,188	
NYS Education Department	84.048	8000106870	_	254,230	1,631,784
Women's Educational Equity Act Program	84.083	_	123,995	_	123,995
Fund for the Improvement of Postsecondary Education	84.116	_	773,879	2 126	
Excelsior College Research Foundation of City University of New York	84.116 84.116	46285F	_	2,126 3,000	779,005
NYS Office of Children and Family Services	84.126	C002142	_	38,490	777,003
NYS Office of Children and Family Services	84.126	C002148	_	2,188	
NYS Office of Children and Family Services	84.126	C02267	_	14,105	405.000
NYS Office of Children and Family Services Rehabilitation Long-Term Training	84.126 84.129	_	185,195	51,094	105,877 185,195
NYS Comm On Qual Care and Adv for Persons with Dis	84.133	 C111765	165,195	23,581	23,581
Migrant Education-High School Equivalency Program	84.141	_	612,243	25,501	612,243
Georgia Department of Education	84.144	0941431610340	_	10,587	
Florida Department of Education	84.144	9861160A0P001	_	26,915	(( )7:
Georgia Department of Education Migrant Education-College Assistance Migrant Program	84.144 84.149	1041431612612	432,370	28,774	66,276 432,370
Javits Fellowships	84.170	<u> </u>	34,588	_	34,588
New York City Board of Education	84.173	PL619		7,673	,. 50
New York City Board of Education	84.173	PL611	_	11,674	
New York City Board of Education	84.173	331800880148/PL 619	_	10,577	40.055
New York City Board of Education Safe and Drug-Free Schools and Communities-National Programs	84.173 84.184	331800880148/PL 611	199,598	10,933	40,857
Schenectady City School District	84.184	_	177,376	79,778	
Boys and Girls Clubs of Schenectady	84.184	_	_	15,042	
Albany City School District	84.184	_	_	102,701	
Champlain Valley Educational Services	84.184		_	180	
Champlain Valley Educational Services Champlain Valley Educational Services	84.184 84.184	0901632 1000813	_	4,967 62,517	464,783
Bilingual Education-Professional Development	84.184 84.195	1000613	624,731	02,317	624,731
East Bloomfield Central School	84.196	_	-	21,856	21,856
Graduate Assistance in Areas of National Need	84.200	_	320,815	_	320,815
Geneseo Migrant Center BOCES	84.213	0902712	_	2,226	# · 00-
Geneseo Migrant Center BOCES	84.213 84.215	_	_	68,866 4,897	71,092
Schangetady City School District		U215X070316	_	4,897 250,900	
Schenectady City School District Broome Tioga BOCES	84.215				
Schenectady City School District Broome Tioga BOCES Holland Central School District	84.215 84.215	-	_	22,315	
Broome Tioga BOCES Holland Central School District Albion Central School	84.215 84.215	— —	_ _	22,315 59,422	
Broome Tioga BOCES Holland Central School District	84.215	_	  	22,315	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

					Total	
Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through number	Direct expenditures	Pass- through expenditures	expenditures by CFDA and Federal grantor	
Department of Education, continued						
Syracuse City School District	84.215	PO K044912 K020176 K028225	\$	10,568	500,559	
TRIO-McNair Post-Baccalaureate Achievement NYS Education Department	84.217 84.243	8080090001 C401152	1,197,160	35,533	1,197,160	
NYS Education Department	84.243	8080100001 C401152	_	182,355	217,888	
Rehabilitation Training-Continuing Education	84.264	_	728,676		728,676	
National Governors Association	84.282	110-250-2941	_	17,260	17,260	
George Washington University	84.283	09806	_	5,634		
Edvantia Incorporated George Washington University	84.283 84.283	S4500005009 09S31 26878/4/CCLS20353F	_	2,677 158,326	166,637	
Brentwood Union Free School District	84.287	09531 20878/4/CCLS20333F	_	22,110	100,057	
Lackawanna City School District	84.287	_	_	50,177		
Georgia Department of Education	84.287	1041422212345	_	30,384	102,671	
Council of American Overseas Research Centers	84.293	ECACAORCSUNYLP200822	_	10,545		
Council of American Overseas Research Centers Education Research	84.293	ECACAORCSUNYLP200922		485,733	496,278	
Research in Special Education	84.305 84.324	_	70,295 216	_	70,295	
University of South Florida	84.324	1201100000A	210	103		
University of Oregon	84.324	223001B	_	38,638	38,957	
Special Education - Personnel Development to Improve Services and				,	,	
Results for Children with Disabilities	84.325	_	801,347	_	801,347	
Gaining Early Awareness and Readiness for Undergraduate Programs	84.334	_	996,406	_		
Albany City School District	84.334		_	30,565		
NYS Higher Education Services Corporation	84.334	C111872	_	16,278	1 200 770	
NYS Higher Education Services Corporation Child Care Access Means Parents in School	84.334 84.335	C111872	62,295	157,521	1,200,770 62,295	
NYS Education Department	84.336	0247090021	02,293	122,900	122,900	
Transition to Teaching	84.350	=	190,078	122,700	190,078	
Buffalo Board of Education	84.351	_		106,827	106,827	
NYS Education Department	84.353	8060082005	_	(5)	(5)	
College of Saint Rose	84.363	_	_	2,620	2,620	
Alabama State Department of Education	84.365	C800283	_	1,225	2 504	
Twin Towers Middle School	84.365	_	_	1,276	2,501	
Syracuse City School District Dunkirk City School District	84.366 84.366	_	_	109,013 (1,005)		
Buffalo Public Schools	84.366			283,999	392,007	
NYS Education Department	84.367	C401250	_	49,210	372,007	
NYS Education Department	84.367	0247090030	_	161,528		
NYS Education Department	84.367	C401246 - 0247100030	_	187,999		
NYS Education Department	84.367	C400942 0247090020	_	25,791		
NYS Education Department	84.367	C400944 0247090022	_	19,084		
NYS Education Department	84.367 84.367	C401241 0247100022	_	90,483 153,766		
NYS Education Department NYS Education Department	84.367 84.367	0247090023 C400945 0247090024	_	8,953		
NYS Education Department	84.367	0247090024	_	15,890		
NYS Education Department	84.367	C401243 0247100026	_	62,012		
NYS Education Department	84.367	C400946 0247090025	_	21,434		
NYS Education Department	84.367	C400947 0247090027	_	95,548		
NYS Education Department	84.367	0247100104 C401232	_	112,215		
NYS Education Department	84.367 84.367	C401244 0247100027 0247090028 C400948	_	336,881 18,731		
NYS Education Department NYS Education Department	84.367	0247100028 C400948 0247100028 C401245	_	84,911		
NYS Education Department	84.367	0247090029 C400949	_	34,485		
Bank Street College of Education	84.367	_	_	15,055	1,493,976	
National Writing Project Corporation	84.928	04NY10	_	40,227		
National Writing Project Corporation	84.928	08NY14	_	42,760		
National Writing Project Corporation	84.928	01NY09	_	11,714		
National Writing Project Corporation	84.928	01NY09		48,926	143,627	
Total Department of Education			16,771,265	17,140,489	33,911,754	
Department of Health and Human Services:						
ARRA – Department of Health and Human Services	93.000	_	21,383	_	21,383	
ARRA – Trans-NIH Recovery Act Research Support	93.701	_	137,646	_	137,646	
ARRA – Immunization	93.712	_	30,684	_	30,684	
Department of Health and Human Services	93.000	_	82,605	_		
Horizon Care Center	93.000	C022659	_	218,342		
New York University Medical Center American International Health Alliance	93.000 93.000	N01-LM-6-3501 HF4SAF08PPTRUFST00	_	4,000		
NYS Department of Health	93.000	HF45AF08FF1KUF5100	_	50,929 1,891,178		
NYS Education Department	93.000	<u>—</u>	_	56,414	2,303,468	
NYS Office for the Aging	93.042	_	_	10,607	10,607	
Oswego County Office of Aging	93.044	_	_	3,329	3,329	
Albany County Dept for the Aging & Handicapped	93.048	0967720001	_	33,312		
NYS Office for the Aging	93.048	A900182	_	14,868		
Albany County Dept for the Aging & Handicapped	93.048	0967720003	_	17,693		
Oneida County Office for the Aging Continuing Care	93.048		_	113,138		
NYS Office for the Aging	93.048	090320 1067720006	_	14,867	200 505	
Albany County Dept for the Aging & Handicapped Health Research Inc	93.048 93.069	1067720006 15007209	_	15,707 86,858	209,585	
Health Research Inc	93.069	15007209	_	98,881	185,739	
Families Together in NYS Incorporated	93.104	13044401	_	166,624	166,624	
Model State-Supported Area Health Education Centers	93.107	_	506,383		506,383	
Grants for Preventive Medicine	93.117	_	279,500	_	279,500	
Oral Diseases and Disorders Research	93.121	_	91,975	_	91,975	
Nurse Anesthetist Traineeships	93.124		12,413		12,413	
NYS Department of Health	93.136	C018578	_	85,917	85,917	
и і з пераптент от неанп	93.130	C018578	_	85,917	85,91	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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
Department of Health and Human Services, continued					
University of Medicine & Dentistry of New Jersey	93.142	PO: 425054 Buffalo HWWT	\$ —	9,865	
University of Medicine & Dentistry of New Jersey	93.142	PO: 425053 Buffalo HDPT	_	12,176	
University of Medicine & Dentistry of New Jersey University of Medicine & Dentistry of New Jersey	93.142 93.142	2080 HWWT-BUffalo 2082 HDPT-Buffalo	_	63,202 35,579	120,822
Arizona State University	93.142	09-065	_	12,287	120,822
Columbia University	93.145	5H4AHA0007107	_	226,977	226,977
Coordinated Services and Access to Research for Women	93.153		850,363	220,777	850,363
Geriatric Training for Physicians	93.156	_	678,140	_	678,140
Research Related to Deafness and Communication Disorders	93.173	_	11,518	_	11,518
National Research Service Award in Primary Care Medicine	93.186	_	248,100	_	248,100
NYS Department of Health	93.217	C019952	_	45,412	45,412
Mental Health Research Grants	93.242	_	29,182	_	29,182
Substance Abuse and Mental Health Services -					
Projects of Regional and National Significance	93.243	_	740,168		760.204
County of Albany	93.243	_	925 191	28,216	768,384
Advanced Education Nursing Grant Program Columbia University	93.247 93.249	531612	835,181	124,467	835,181 124,467
Poison Control Stabilization and Enhancement Grants	93.253	331012	258,910	124,407	258,910
Occupational Safety and Health Program	93.262	<u> </u>	9,844,314	_	9,844,314
Nurse Faculty Loan Program (NFLP)	93.264		9,900		9,900
Onondaga County	93.268	80504R4	),)00 —	(86)	7,700
Onondaga County	93.268	49109	_	97,706	97,620
Alcohol National Research Service Awards for Research Training	93.272		307,306		307,306
Alcohol Research Programs	93.273	_	33,650	_	33,650
Drug-Free Communities Support Program Grants	93.276	_	107,111	_	107,111
Drug Abuse National Research Service Awards for Research Training	93.278	_	29,393	_	29,393
Drug Abuse and Addiction Research Programs	93.279	_	35,927	_	35,927
Mental Health National Research Service Awards for Research Training	93.282	_	114,334	_	
American Psychiatric Inst for Research & Education	93.282	_	_	845	115,179
Centers for Disease Control and Prevention-Investigations					
and Technical Assistance	93.283	_	738,657	_	
Western New York Public Health Alliance Inc	93.283	_	_	11,888	
Health Research Inc	93.283	357301	_	(1,123)	
Brooklyn Perinatal Network Incorporated	93.283	_		6,337	755,759
Minority Health and Health Disparities Research	93.307	_	255,519	_	255,519
Advanced Education Nursing Traineeships	93.358	_	463,791	_	463,791
Nurse Education	93.359	_	528,601	_	528,601
Minority Biomedical Research Support	93.375	_	46,933 899,418	_	46,933
National Center for Research Resources Cancer Research Manpower	93.389 93.398	_	436,170	_	899,418 436,170
NYS Office of Children and Family Services	93.558	 C002137	430,170	83,193	430,170
NYS Office of Children and Family Services	93.558	C002137 C002142		178,143	
NYS Office of Children and Family Services	93.558	C002142 C002143		194,425	
NYS Office of Children and Family Services	93.558	C002138	_	106,997	
NYS Office of Children and Family Services	93.558	C002140	_	374,994	
NYS Office of Children and Family Services	93.558	C002133	_	126,464	
NYS Office of Children and Family Services	93.558	C002118	_	40,607	
NYS Office of Children and Family Services	93.558	C002120	_	562,109	
NYS Office of Children and Family Services	93.558	C002148	_	53,759	
NYS Office of Children and Family Services	93.558	C002144	_	687,300	
NYS Office of Children and Family Services	93.558	C02267	_	182,309	
NYS Office of Children and Family Services	93.558	C002272	_	132,690	
NYS Office of Children and Family Services	93.558	C002258	_	54,788	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.558	C002273	_	79,000	
NYS Office of Children and Family Services	93.558 93.558	C002274 C002269	_	83,638 35,122	
NYS Office of Children and Family Services	93.558	C002269 C002268	_	284,732	
NYS Office of Temporary & Disability Assistance	93.558	C002268 C020718	_	58,850	
SUNY at Stony Brook	93.558	C001439		297,512	
SUNY at Stony Brook	93.558	C001503	_	88,659	
SUNY at Stony Brook	93.558	C001514	_	617,314	
SUNY at Stony Brook	93.558	C001519	_	86,733	
SUNY at Stony Brook	93.558	C001515	_	110,249	
SUNY at Stony Brook	93.558	T001516	_	34,835	
SUNY at Stony Brook	93.558	C001517	_	86,833	
SUNY at Stony Brook	93.558	C001570	_	76,786	
SUNY at Stony Brook	93.558	C001572	_	70,492	
SUNY at Stony Brook	93.558	C001581	_	6,788	
SUNY at Stony Brook	93.558	C001569	_	53,459	
SUNY at Stony Brook	93.558	C001573	_	78,125	
CAMBA	93.558	_	_	16,361	
CAMBA	93.558	_	_	2,726	
NYS Office of Children and Family Services	93.558		_	7,007,114	
NYS Office of Children and Family Services	93.558	2006WAAX0026	_	76,486	
NYS Office of Children and Family Services	93.558	C025768	_	14,036	
	93.558	C025999 C020767	_	8,081	
NYS Office of Children and Family Services				23,125	
Workforce Investment Board	93.558			17 512	
Workforce Investment Board Workforce Investment Board	93.558 93.558	C020767	_	17,513	
Workforce Investment Board Workforce Investment Board NYS Office of Temporary & Disability Assistance	93.558 93.558 93.558	C020767 C001405	_ _	1,983,038	
Workforce Investment Board Workforce Investment Board NYS Office of Temporary & Disability Assistance NYS Office of Temporary & Disability Assistance	93.558 93.558 93.558 93.558	C020767 C001405 C001790		1,983,038 2,922,234	
Workforce Investment Board Workforce Investment Board NYS Office of Temporary & Disability Assistance NYS Office of Temporary & Disability Assistance NYS Office of Temporary & Disability Assistance	93.558 93.558 93.558 93.558 93.558	C020767 C001405	_	1,983,038 2,922,234 5,814,532	23 638 852
Workforce Investment Board Workforce Investment Board NYS Office of Temporary & Disability Assistance	93.558 93.558 93.558 93.558 93.558 93.558	C020767 C001405 C001790 C001790		1,983,038 2,922,234 5,814,532 826,702	23,638,853
Workforce Investment Board Workforce Investment Board NYS Office of Temporary & Disability Assistance NYS Office of Children and Family Services	93.558 93.558 93.558 93.558 93.558 93.558 93.563	C020767 C001405 C001790 C001790 ————————————————————————————————————	_	1,983,038 2,922,234 5,814,532 826,702 25,635	23,638,853
Workforce Investment Board Workforce Investment Board NYS Office of Temporary & Disability Assistance	93.558 93.558 93.558 93.558 93.558 93.558	C020767 C001405 C001790 C001790	_ _ _	1,983,038 2,922,234 5,814,532 826,702	23,638,853

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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
Department of Health and Human Services, continued		<u> </u>			
NYS Office of Children and Family Services	93.563	C002148	\$ —	62,682	
NYS Office of Temporary & Disability Assistance	93.563	C002099	_	490,929	
NYS Office of Temporary & Disability Assistance	93.563	C002098	_	621,315	
NYS Office of Children and Family Services NYS Office of Temporary & Disability Assistance	93.563 93.563	C02267 C002225	_	42,644 554,172	
NYS Office of Temporary & Disability Assistance	93.563	C002229		117,221	
NYS Office of Temporary & Disability Assistance	93.563	C002265	_	444,143	
NYS Office of Temporary & Disability Assistance	93.563	C002235	_	395,625	
NYS Office of Children and Family Services	93.563		_	99,542	
NYS Office of Temporary & Disability Assistance	93.563	C009878	_	546,591	
NYS Office of Temporary & Disability Assistance NYS Office of Temporary & Disability Assistance	93.563 93.563	C020746 C021004	_	98,845 19,860	
NYS Office of Temporary & Disability Assistance	93.563	C020997		136,486	
NYS Office of Children and Family Services	93.563	C025768	_	3,374	
NYS Office of Children and Family Services	93.563	C025999	_	2,281	4,416,789
NYS Office of Children and Family Services	93.568	C002142	_	7,270	
NYS Office of Children and Family Services	93.568	C002148	_	18,562	
NYS Office of Children and Family Services	93.568	C02267	_	11,930	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.568 93.568	 C025768	_	32,024 736	
NYS Office of Children and Family Services	93.568	C025768 C025999	_	570	71,092
NYS Office of Children and Family Services	93.575	C024624		13,078	71,072
NYS Office of Children and Family Services	93.575	C001818	_	1	
NYS Office of Children and Family Services	93.575	C001906	_	740,337	
NYS Office of Children and Family Services	93.575	_	_	3,254,917	4,008,333
NYS Office of Children and Family Services	93.576	C002142	_	3,750	
NYS Office of Children and Family Services	93.576	C002148	_	10,765	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.576 93.576	C02267	_	1,582 7,529	23,626
NYS Office of Children and Family Services	93.596	 C002142		100,397	23,020
NYS Office of Children and Family Services	93.596	C002142 C002143	_	19,533	
NYS Office of Children and Family Services	93.596	C002134	_	308,413	
NYS Office of Children and Family Services	93.596	C002138	_	10,749	
NYS Office of Children and Family Services	93.596	C002133	_	12,703	
NYS Office of Children and Family Services	93.596	C002118	_	4,080	
NYS Office of Children and Family Services	93.596	C002120	_	52,296	
NYS Office of Children and Family Services	93.596 93.596	C002141 C002148	_	363,002	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.596	C002148 C002145	_	11,046 5,017,242	
NYS Office of Children and Family Services	93.596	C02267	_	41,260	
NYS Office of Children and Family Services	93.596	C002272	_	11,992	
NYS Office of Children and Family Services	93.596	C002273	_	7,147	
NYS Office of Children and Family Services	93.596	C002274	_	7,566	
NYS Office of Children and Family Services	93.596	C002269	_	3,172	
SUNY at Stony Brook	93.596	C001503	_	8,921	
SUNY at Stony Brook SUNY at Stony Brook	93.596 93.596	C001514 C001519	_	62,062 8,724	
SUNY at Stony Brook	93.596	C001515		11,086	
SUNY at Stony Brook	93.596	T001516	_	3,503	
SUNY at Stony Brook	93.596	C001517	_	8,731	
SUNY at Stony Brook	93.596	C001570	_	6,939	
SUNY at Stony Brook	93.596	C001572	_	6,370	
SUNY at Stony Brook	93.596	C001581	_	613	
SUNY at Stony Brook SUNY at Stony Brook	93.596 93.596	C001569 C001573	_	4,831 7,056	
NYS Office of Children and Family Services	93.596	C001373	_	4,631,032	
NYS Office of Children and Family Services	93.596	2006WAAX0026	_	6,907	
NYS Office of Children and Family Services	93.596	C025768	_	831	
NYS Office of Children and Family Services	93.596	C025999	_	416	
NYS Office of Children and Family Services	93.596	C001591	_	14	
NYS Office of Children and Family Services	93.596	C001752	400 500	(520)	10,738,114
Head Start	93.600	— C021842	409,590	26 104	409,590
NYS Developmental Disabilities Planning Council NYS Developmental Disabilities Planning Council	93.630 93.630	C021843 C021843	_	26,194 112,024	
NYS Developmental Disabilities Planning Council	93.630	C022037	_	132,721	270,939
Erie County Department of Social Services	93.648	ED2206	_	48,332	
Erie County Department of Social Services	93.648	ED2207	_	149,336	
Erie County Department of Social Services	93.648	ED2495	_	262,927	
Erie County Department of Social Services	93.648	ED2493		417,056	
Child Welfare Research Training or Demonstration	93.648	— G002127	3,829,007	40.002	4,706,658
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.658 93.658	C002137 C002142	_	49,983 27,548	
NYS Office of Children and Family Services	93.658	C002142 C002143	_	52,882	
NYS Office of Children and Family Services	93.658	C002143 C002138	_	38,355	
NYS Office of Children and Family Services	93.658	C002140	_	98,902	
NYS Office of Children and Family Services	93.658	C002133	_	39,622	
NYS Office of Children and Family Services	93.658	C002118	_	16,730	
NYS Office of Children and Family Services	93.658	C002120	_	73,926	
NYS Office of Children and Family Services	93.658	C002148	_	11,956	
NYS Office of Children and Family Services	93.658	C02267	_	41,458	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.658 93.658	C002272 C002258	_ _	11,242 12,473	
NYS Office of Children and Family Services	93.658	C002238 C002273		6,605	
NYS Office of Children and Family Services	93.658	C002274	_	11,124	
NYS Office of Children and Family Services	93.658	C002269	_	13,539	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

	i ear ended Jur	ie 50, 2010		Pass-	Total expenditures
Federal grantor/federal subdivision or pass-through grantor	CFDA number	Pass-through number	Direct expenditures	through expenditures	by CFDA and Federal granto
Department of Health and Human Services, continued					
NYS Office of Children and Family Services	93.658	C002268	\$ —	69,555	
SUNY at Stony Brook SUNY at Stony Brook	93.658	C001503	_	34,125 323,245	
SUNY at Stony Brook SUNY at Stony Brook	93.658 93.658	C001514 C001519	_	323,245 29,755	
SUNY at Stony Brook	93.658	C001515	_	32,202	
SUNY at Stony Brook	93.658	T001516	_	13,849	
SUNY at Stony Brook	93.658	C001517	_	8,950	
SUNY at Stony Brook SUNY at Stony Brook	93.658 93.658	C001570 C001572	_	7,496 13,018	
SUNY at Stony Brook	93.658	C001572	_	263	
SUNY at Stony Brook	93.658	C001569	_	5,395	
SUNY at Stony Brook	93.658	C001573	_	3,195	
NYS Office of Children and Family Services	93.658		_	1,606,443	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.658 93.658	2006WAAX0026 C025768	_	12,600 4,151	
NYS Office of Children and Family Services	93.658	C025708	_	2,168	
NYS Office of Children and Family Services	93.658	C-1520	_	(24)	
NYS Office of Children and Family Services	93.658	C001632	_	(135)	2,672,596
NYS Office of Children and Family Services	93.659	C002137	_	76,484	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.659 93.659	C002143 C002138	_	73,368 26,524	
NYS Office of Children and Family Services	93.659	C002138 C002140	_	146,177	
NYS Office of Children and Family Services	93.659	C002133	_	39,889	
NYS Office of Children and Family Services	93.659	C002118	_	6,808	
NYS Office of Children and Family Services	93.659	C002120	_	297,619	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.659 93.659	C002272 C002258	_	75,458 81,055	
NYS Office of Children and Family Services  NYS Office of Children and Family Services	93.659	C002273	_	42,782	
NYS Office of Children and Family Services	93.659	C002274	_	41,410	
NYS Office of Children and Family Services	93.659	C002269	_	5,814	
NYS Office of Children and Family Services	93.659	C002268	_	94,417	
SUNY at Stony Brook	93.659	C001503 C001519	_	18,451	
SUNY at Stony Brook SUNY at Stony Brook	93.659 93.659	C001519 C001515	_	23,504 38,315	
SUNY at Stony Brook	93.659	T001516	_	6,595	
SUNY at Stony Brook	93.659	C001517	_	54,789	
SUNY at Stony Brook	93.659	C001570	_	39,729	
SUNY at Stony Brook	93.659 93.659	C001572	_	29,932	
SUNY at Stony Brook SUNY at Stony Brook	93.659	C001581 C001569		4,375 31,671	
SUNY at Stony Brook	93.659	C001573	_	42,641	
NYS Office of Children and Family Services	93.659	_	_	4,135,758	
NYS Office of Children and Family Services	93.659	2006WAAX0026	_	34,572	5,468,137
NYS Office of Temporary & Disability Assistance	93.667 93.667	C000678 C000849	_	20 (944)	
NYS Office of Temporary & Disability Assistance NYS Office of Temporary & Disability Assistance	93.667	C000849 C000976	_	(106)	
NYS Office of Children and Family Services	93.667	C001012	_	(45)	
NYS Office of Children and Family Services	93.667	C000981	_	22,349	
NYS Office of Children and Family Services	93.667	C001005	_	1,616	
NYS Office of Children and Family Services	93.667	C001008	_	11	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.667 93.667	C002135 C002167	_	82,412 865,868	
NYS Office of Children and Family Services	93.667	C002187	_	230,837	
NYS Office of Children and Family Services	93.667	C002143	_	136,207	
NYS Office of Children and Family Services	93.667	C002138	_	75,138	
NYS Office of Children and Family Services	93.667	C002140	_	268,538	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.667 93.667	C002136 C002133	_	157,213 78,116	
NYS Office of Children and Family Services	93.667	C002133	_	7,337	
NYS Office of Children and Family Services	93.667	C002120	_	383,044	
NYS Office of Children and Family Services	93.667	C002272	_	109,286	
NYS Office of Children and Family Services	93.667	C002276	_	153,921	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.667	C002275	_	199,334	
NYS Office of Children and Family Services NYS Office of Children and Family Services	93.667 93.667	C002273 C002274	_	65,228 60,755	
NYS Office of Children and Family Services	93.667	C002269	_	7,757	
NYS Office of Children and Family Services	93.667	C002268	_	143,254	
NYS Office of Children and Family Services	93.667	C002280	_	581,313	
NYS Office of Children and Family Services	93.667	C002140	_	62,935	
SUNY at Stony Brook SUNY at Stony Brook	93.667 93.667	C001503 C001519	_	60,235 46,015	
SUNY at Stony Brook	93.667	C001515	_	85,993	
SUNY at Stony Brook	93.667	C001517	_	58,980	
SUNY at Stony Brook	93.667	C001570	_	61,256	
SUNY at Stony Brook	93.667	C001572	_	43,932	
SUNY at Stony Brook	93.667	C001581	_	6,213	
SUNY at Stony Brook SUNY at Stony Brook	93.667 93.667	C001569 C001573	_	42,283 71,170	
NYS Office of Children and Family Services	93.667		_	3,770,726	
NYS Office of Children and Family Services	93.667	2006WAAX0026	_	50,725	
	93.667	_	_	191,537	
Herkimer County Department of Social Services					
Herkimer County Department of Social Services Erie County Department of Social Services	93.667	ED2202	_	66,878	
Herkimer County Department of Social Services		ED2202 ED2201	_ _	66,878 35,183 3,821	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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
Department of Health and Human Services, continued					<b>g</b>
Otsego County Department of Social Services	93.667	_	s —	27,644	
Rockland County Department of Social Services	93.667	_	_	20,738	
Erie County Department of Social Services	93.667	ED2498	_	333,317	
Erie County Department of Social Services	93.667	ED2499	_	208,186	
Ontario County Department of Social Services	93.667	_	_	26,073	8,927,427
NYS Department of Health	93.767	_	_	549,760	549,760
NYS Office of Children and Family Services	93.778	C002142	_	21,732	
NYS Office of Children and Family Services	93.778	C002148	_	2,772	
NYS Office of Children and Family Services	93.778	C02267	_	76,720	
NYS Office of Children and Family Services	93.778	<del>_</del>	_	323,099	
NYS Department of Health	93.778	<del>-</del>	_	14,940,367	
NYS Office of Children and Family Services	93.778	C025768	_	6,685	
NYS Office of Children and Family Services	93.778	C025999	_	4,624	15,375,999
NYS Department of Social Services	93.779	01687970	_	13,921	
NYS Office of Mental Retardation & Dev Dis	93.779		_	269,301	
NYS Department of Social Services	93.779	01687970	_	399,882	683,104
NYS Department of Health	93.791	<del>-</del>		443,518	443,518
Health Careers Opportunity Program	93.822	<del>-</del>	32,546	_	32,546
Basic/Core Area Health Education Centers	93.824	<del>-</del>	353,789	_	353,789
Cardiovascular Diseases Research	93.837	<del>_</del>	257,568	_	257,568
Lung Diseases Research	93.838	<del>_</del>	129,186	_	129,186
Arthritis	93.846	<del>-</del>	36,490	_	36,490
Diabetes Digestive Diseases and Nutrition Research	93.847	<del>-</del>	365,099	_	365,099
	93.848 93.849	_	118,937 119,164	_	118,937 119,164
Kidney Diseases, Urology and Hematology Research Extramural Research Programs in the Neurosciences and Neurological	93.849	<del>-</del>	119,104	_	119,104
Disorders	93.853		76,100		76,100
Allergy	93.855	<del>_</del>	204,414	_	204,414
Biomedical Research and Research Training	93.859	<del>_</del>	1,317,961	_	1,317,961
Child Health and Human Development Extramural Research	93.865	<del>-</del>	350	_	350
Aging Research	93.866	<u> </u>	166,347	_	166,347
Vision Research	93.867	_	39,127	_	39,127
Medical Library Assistance	93.879	_	52,580	_	52,580
Grants for Training in Primary Care Medicine and Dentistry	93.884	_	1,327,969	_	1,327,969
Fund for Public Health in New York	93.889	12707400	1,527,505	26,316	1,527,707
Fund for Public Health in New York	93.889	11707400	_	6,167	
Fund for Public Health in New York	93.889	39707400	_	14,125	
Fund for Public Health in New York	93.889	11607400	_	20,480	
Fund for Public Health in New York	93.889	12807400	_	205	
Health Research Inc	93.889	285704	_	1,528	
Health Research Inc	93.889	285604	_	170,128	
Health Research Inc	93.889	285705	_	30,539	
Health Research Inc	93.889	285605	_	319,674	
Health Research Inc	93.889	334802	_	15,873	
Health Research Inc	93.889	334803	_	25,220	630,255
United Way of Long Island	93.914	8331	_	(27)	
United Way of Long Island	93.914	9418 8MAI6	_	5,895	
United Way of Long Island	93.914	9725	_	87,918	
United Way of Long Island	93.914	9331	_	94,827	
United Way of Long Island	93.914	9724	_	108,172	
United Way of Long Island	93.914	9041	_	443,845	
United Way of Long Island	93.914	9MAI6	_	15,043	
United Way of Long Island	93.914	099800	_	2,800	
United Way of Long Island	93.914	099550	_	6,150	
United Way of Long Island	93.914	_	_	32,040	
United Way of Long Island	93.914	_	_	38,133	
United Way of Long Island	93.914	_	_	29,920	
Public Health Solutions	93.914	00HSC364	_	3	
Public Health Solutions	93.914	06SCF364/A	_	(139)	
Public Health Solutions	93.914	07ESC364A	_	27,844	
Public Health Solutions	93.914	00HCS364	_	60,898	
Public Health Solutions	93.914	04OMC364	_	68,818	
Health Research Inc	93.914	233407	_	222,602	
Public Health Solutions	93.914	06SCF364	_	150,870	
Public Health Solutions	93.914	07ESC364A	_	239,991	
Public Health Solutions	93.914	06SCF364	_	70,058	1 77 / / **
Health Research Inc	93.914	233408	_	70,995	1,776,656
Health Research Inc	93.917	15335716	_	(181)	
Health Research Inc	93.917	15335719	_	93,695	
Health Research Inc	93.917	15335720	_	23,233	
	02.61=	TT00000 110 1			
Health Research Inc	93.917	H00224106	_	77,191	
	93.917 93.917 93.917	H00224106 302104 302105		77,191 94,970 20,838	

Schedule of Expenditures of Federal Awards Year ended June 30, 2010

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
Department of Health and Human Services, continued		Tuss through humber		<u>emperiareas</u>	
Health Research Inc	93.917	H00224106	\$ —	22,804	
Health Research Inc	93.917	353401	_	(1,443)	
Health Research Inc	93.917	357302	_	180,757	
Health Research Inc	93.917	357303 347102	_	20,035	
Health Research Inc Health Research Inc	93.917 93.917	34/102 245406	_	203,192 243,337	
Health Research Inc	93.917	243400	_	24,241	1,002,669
Grants to Provide Outpatient Early Intervention Services with Respect	75.717			27,271	1,002,007
to HIV Disease	93.918	_	1,126,354	_	1,126,354
Special Projects of National Significance	93.928	_	263,478	_	263,478
Health Research Inc	93.940	128308	_	26,111	
Health Research Inc	93.940	117010	_	(1,466)	
Health Research Inc	93.940	128309	_	206,139	
Health Research Inc	93.940	117011	_	134,626	274 522
Health Research Inc HIV Demonstration	93.940 93.941	<u> </u>	246,789	9,123	374,533 246,789
Family Services Inc	93.959		240,789	5,828	5,828
University of Rochester	93.969	415003G	_	30,082	3,626
Clinton County Office for the Aging	93.969		_	960	
University of Rochester	93.969	414372G	_	3,716	
University of Rochester	93.969	415002-G, UR 5-89956	_	48,344	
Geriatric Education Centers	93.969	_	404,319		487,421
Preventive Health Services-Sexually Transmitted Diseases Research	93.978	_	156,890	_	•
Health Research Inc	93.978	15031304	_	131,893	288,783
Health Research Inc	93.989	15029201	_	20,357	
International Research and Research Training	93.989		554,490		574,847
NYS Department of Health	93.991	C024260	_	67,335	
NYS Department of Health	93.991	C024260	_	9,684	07.720
NYS Department of Health	93.991	C020133	_	10,711	87,730
NYS Department of Health	93.994 93.994	C021664	_	11,329	
NYS Department of Health NYS Department of Health	93.994	C020211 C021664	_	624,985 46,734	
NYS Department of Health	93.994	C021004 C020211		41,797	
NYS Department of Health	93.994	C019083	_	1,609	
NYS Department of Health	93.994	C019083	_	28,197	
NYS Department of Health	93.994	C019083	_	5,611	760,262
Lourdes Hospital	93.995	_	_	24,461	24,461
<b>Total Department of Health and Human Services</b>			30,253,719	86,620,096	116,873,815
Corporation for National and Community Service:					
ARRA – NYS Office of Children and Family Services	94.006	T011658	_	614	
ARRA – NYS Office of Children and Family Services	94.006	C025818	_	84,335	84,949
Retired and Senior Volunteer Program	94.002	_	191,367	_	191,367
Pennsylvania Campus Compact	94.005	_	_	394	
Foundation for Long Term Care	94.005	_	_	5,928	
Harrisburg University of Science and Technology	94.005	09LHAPA002	_	674	
Research Foundation of City University of New York	94.005	49222B	_	2,254	40.450
Pennsylvania Campus Compact	94.005	— G025120	_	1,200	10,450
NYS Office of Children and Family Services	94.006	C025138	_	4,706	
NYS Office of Children and Family Services NYS Office of Children and Family Services	94.006 94.006	C025138	_	582 52,078	
NYS Office of Children and Family Services  NYS Office of Children and Family Services	94.006	C025606 C025606	_	71,727	129,093
North Carolina Campus Compact	94.007	C023000	_	985	985
Total Corporation for National and Community Service	,		191,367	225,477	416,844
Social Security Administration:			171,307	223,477	410,044
NYS Office of Children and Family Services	96.001	C002142	_	306,393	
NYS Office of Temporary & Disability Assistance	96.001	C002102	_	50,762	
NYS Office of Children and Family Services	96.001	C002148	_	1,798	
NYS Office of Children and Family Services	96.001	C02267	_	108,423	
NYS Office of Temporary & Disability Assistance	96.001	C002237	_	41,071	
NYS Office of Children and Family Services	96.001	_		3,389	511,836
<b>Total Social Security Administration</b>				511,836	511,836
Department of Homeland Security:					
National District Attorneys Association	97.068	_	_	3,645	3,645
Degrees at a Distance Program	97.103	_	8,143		8,143
				3,645	11,788
<b>Total Department of Homeland Security</b>			8,143	3,043	
Total Department of Homeland Security  Agency for International Development:			8,143	3,043	
Agency for International Development: USAID Foreign Assistance for Programs Overseas	98.001	_	19,564,237		
Agency for International Development: USAID Foreign Assistance for Programs Overseas Checchi & Company Consulting Incorporated	98.001	 Agreement 3-15-05		(3,862)	
Agency for International Development: USAID Foreign Assistance for Programs Overseas Checchi & Company Consulting Incorporated American Council on Education	98.001 98.001	Agreement 3-15-05		(3,862) 56,359	
Agency for International Development: USAID Foreign Assistance for Programs Overseas Checchi & Company Consulting Incorporated American Council on Education East-West Management Institute Incorporated	98.001 98.001 98.001	_ _		(3,862) 56,359 406,803	
Agency for International Development: USAID Foreign Assistance for Programs Overseas Checchi & Company Consulting Incorporated American Council on Education East-West Management Institute Incorporated Chemonics International Incorporated	98.001 98.001 98.001 98.001	 DFDI0005002190005217SUNY		(3,862) 56,359 406,803 37,744	
Agency for International Development: USAID Foreign Assistance for Programs Overseas Checchi & Company Consulting Incorporated American Council on Education East-West Management Institute Incorporated Chemonics International Incorporated Asia Foundation	98.001 98.001 98.001 98.001 98.001	 DFDI0005002190005217SUNY 31350203000		(3,862) 56,359 406,803 37,744 46,407	20.147.455
Agency for International Development: USAID Foreign Assistance for Programs Overseas Checchi & Company Consulting Incorporated American Council on Education East-West Management Institute Incorporated Chemonics International Incorporated Asia Foundation Chemonics International Incorporated	98.001 98.001 98.001 98.001	 DFDI0005002190005217SUNY	19,564,237 ————————————————————————————————————	(3,862) 56,359 406,803 37,744 46,407 39,767	20,147,455
Agency for International Development: USAID Foreign Assistance for Programs Overseas Checchi & Company Consulting Incorporated American Council on Education East-West Management Institute Incorporated Chemonics International Incorporated Asia Foundation Chemonics International Incorporated Total Agency for International Development	98.001 98.001 98.001 98.001 98.001	 DFDI0005002190005217SUNY 31350203000	19,564,237 ————————————————————————————————————	(3,862) 56,359 406,803 37,744 46,407 39,767 583,218	20,147,455
Agency for International Development: USAID Foreign Assistance for Programs Overseas Checchi & Company Consulting Incorporated American Council on Education East-West Management Institute Incorporated Chemonics International Incorporated Asia Foundation Chemonics International Incorporated	98.001 98.001 98.001 98.001 98.001	 DFDI0005002190005217SUNY 31350203000	19,564,237 ————————————————————————————————————	(3,862) 56,359 406,803 37,744 46,407 39,767	

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

Notes to Schedule of Expenditures of Federal Awards Year ended June 30, 2010

#### (1) Basis of Presentation

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

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

#### (2) Matching Costs

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

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

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

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

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

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

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

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2010

Indirect cost charges to federal awards for the year ended June 30, 2010 were as follows:

Research and development	\$	96,109,928
Other programs	-	23,970,899
Total	\$	120,080,827

### (5) Clusters of Programs

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

	-	Program expenditures
SNAP Cluster:		
Supplemental Nutrition Assistance Program (10.551) State Administrative Matching Grants for the Supplemental Nutrition	\$	7,775,424
Assistance Program (10.561)	_	244,123
Total SNAP Cluster	\$	8,019,547
Workforce Investment Act (WIA) Cluster:		
WIA Adult Program (17.258)	\$	504,872
WIA Youth Activities (17.259)	_	13,326
Total WIA Cluster	\$	518,198
Highway Safety Cluster:		
State and Community Highway Safety (20.600)	\$	1,683,343
Occupant Protection Incentive Grants (20.602)	_	25,033
Total Highway Safety Cluster	\$	1,708,376
Special Education Cluster:		
Special Education – Grants to States (84.027)	\$	1,137,297
Special Education – Preschool Grants (84.173)	_	40,857
Total Special Education Cluster	\$	1,178,154
Title I, Part A Cluster:	_	
Title I Grants to Local Educational Agencies (84.010)	\$	6,666
Total Title I, Part A Cluster	\$	6,666

### Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2010

	_	Program expenditures
Vocational Rehabilitation Cluster:	Ф	105.077
Rehabilitation Services – Vocational Rehabilitation Grants to States (84.126)	\$ _	105,877
Total Vocational Rehabilitation Cluster	\$ _	105,877
State Fiscal Stabilization Cluster: State Fiscal Stabilization Fund (SFSF) – Education State Grants, Recovery Act (84.394)	\$_	21,369
Total State Fiscal Stabilization Cluster	\$	21,369
TRIO Cluster: TRIO – Student Support Services (84.042) TRIO – Talent Search (84.044) TRIO – Upward Bound (84.047) TRIO – McNair Post-Baccalaureate Achievement (84.217)	\$	3,038,867 1,496,234 3,816,783 1,197,160
Total TRIO Cluster	\$	9,549,044
Education of Homeless Children and Youth Cluster: Education of Homeless Children and Youth (84.196)	\$ <u>-</u>	21,856
Total Education of Homeless Children and Youth Cluster	\$_	21,856
Teacher Quality Partnership Grants Cluster: Teacher Quality Partnership Grants (84.336)	\$_	122,900
Total Teacher Quality Partnership Grants Cluster	\$	122,900
Aging Cluster:  Special Programs for the Aging – Title III, Part B – Grants for Supportive Services and Senior Centers (93.044)	\$	3,329
Total Aging Cluster	\$	3,329
Immunization Cluster: Immunization (93.268) ARRA-Immunization (93.712) Total Immunization Cluster	\$ <u>-</u> \$ _	97,620 30,684 128,304

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2010

	-	Program expenditures
Child Care Cluster: Child Care and Development Block Grant (93.575)	\$	4,008,333
Child Care Mandatory and Matching Funds of the Child Care and Development Fund (93.596)		10,738,114
Total Child Care Cluster	\$	14,746,447
Medicaid Cluster:		
Medical Assistance Program (93.778)	\$.	15,375,999
Total Medicaid Cluster	\$	15,375,999
Disability Insurance/SSI Cluster:		
Social Security – Disability Insurance (96.001)	\$	511,836
Total Disability Insurance/SSI Cluster	\$	511,836

### (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, 2010:

Federal CFDA number		Research and development	Other programs
10.303	\$	(1,114)	
10.652		71,392	_
11.417		963,428	_
11.430		5,473	_
11.460		2,037	_
11.473		59,383	_
11.478		48,201	
11.609		1,687,577	_
12.000		608,228	_
12.114		79,815	
12.300		116,399	_
12.420		70,384	10,828
12.431		360,725	_
12.630		69,852	_
	CFDA number 10.303 10.652 11.417 11.430 11.460 11.473 11.478 11.609 12.000 12.114 12.300 12.420 12.421	CFDA number  10.303 \$ 10.652	CFDA number         Research and development           10.303         \$ (1,114)           10.652         71,392           11.417         963,428           11.430         5,473           11.460         2,037           11.473         59,383           11.478         48,201           11.609         1,687,577           12.000         608,228           12.114         79,815           12.300         116,399           12.420         70,384           12.431         360,725

Notes to Schedule of Expenditures of Federal Awards Year ended June 30, 2010

Air Force Defense Research   Sciences Program   12.800   \$ 6,993   — WIA Adult Program   17.258   — 184,428   Community Based Job Training Grants   17.269   — 23,100   Cocupational Safety and Health — Susan Harwood Training Grants   17.502   — 23,100   Department of Transportation Federal   Aviation Administration (FAA)   20.000   71,584   — 120,000   T1,584   — 120,000   T1,58,585   — 120,000   T1,584   — 120,000   T1,584   — 120,000   T1,58,585   — 120,000   T1,584   — 120,000   T1,584   — 120,000   T1,584   — 120,000   T1,584   — 120,000   T	Program title	Federal CFDA number	Research and development	Other programs
WIA Adult Program         17.258         —         184,428           Community Based Job Training Grants         17.269         —         48,064           Occupational Safety and Health —         —         23,100           Department of Transportation Federal Aviation Administration (FAA)         20.000         71,584         —           Highway Research and Development State and Community Highway Safety         20.600         —         120,000           Department of Treasury         21.000         8,301         —           National Aeronautics and Space Administration         43.000         60,993         —           Aerospace Education Services Program         43.001         100,844         4,836           Technology Transfer         43.002         24,957         —           Promotion of the Arts – Grants to Organizations and Individuals         45.024         —         34,147           Engineering Grants         47.041         621,236         —           Mathematical and Physical Sciences         47.049         78,551         —           Geosciences         47.070         152,561         55,111           Biological Sciences         47.074         148,441         —           Social, Behavioral, and Economic Sciences         47.075         31,929 <td>Air Force Defense Research</td> <td></td> <td></td> <td></td>	Air Force Defense Research			
WIA Adult Program         17.258         —         184,428           Community Based Job Training Grants         17.269         —         48,064           Occupational Safety and Health —         3         —         23,100           Department of Trainsportation Federal Aviation Administration (FAA)         20.000         71,584         —           Highway Research and Development State and Community Highway Safety         20.600         —         120,000           Department of Treasury         21.000         8,301         —           National Aeronautics and Space Administration         43.000         60,993         —           Aerospace Education Services Program         43.001         100,844         4,836           Technology Transfer         43.002         24,957         —           Promotion of the Arts – Grants to Organizations and Individuals         45.024         —         34,147           Engineering Grants         47.041         621,236         —           Mathematical and Physical Sciences         47.049         78,551         —           Geosciences         47.049         78,551         —           Geosciences         47.070         152,561         55,111           Biological Sciences         47.074         148,441	Sciences Program	12.800	\$ 6,993	_
Community Based Job Training Grants         17.269         —         48,064           Occupational Safety and Health –         Susan Harwood Training Grants         17.502         —         23,100           Department of Transportation Federal Aviation Administration (FAA)         20.000         71,584         —           Highway Research and Development State and Community Highway Safety         20.600         —         120,000           Department of Treasury         21.000         8,301         —           National Aeronautics and Space Administration         43.000         60,993         —           Aerospace Education Services Program 43.001         100,844         4,836           Technology Transfer 43.002         24,957         —           Promotion of the Arts – Grants to Organizations and Individuals         45.024         —         34,147           Engineering Grants         47.041         621,236         —           Mathematical and Physical Sciences         47.049         78,551         —           Geosciences         47.050         1,155,567         26,664           Computer and Information Science and Engineering         47.074         148,441         —           Siocial, Behavioral, and Economic Sciences         47.075         31,929         —           E			· <u> </u>	184,428
Occupational Safety and Health – Susan Harwood Training Grants         17.502         —         23,100           Department of Transportation Federal Aviation Administration (FAA)         20,000         71,584         —           Highway Research and Development State and Community Highway Safety         20,600         —         120,000           Department of Treasury         21,000         8,301         —           National Aeronautics and Space         —         43,000         60,993         —           Aerospace Education Services Program         43,001         100,844         4,836           Technology Transfer         43,002         24,957         —           Promotion of the Arts – Grants to         Organizations and Individuals         45,024         —         34,147           Engineering Grants         47,041         621,236         —           Mathematical and Physical Sciences         47,049         78,551         —           Geosciences         47,049         78,551         —           Computer and Information Science and         Engineering         47,070         152,561         55,111           Biological Sciences         47,074         148,441         —           Social, Behavioral, and Economic Sciences         47,075         31,929         — </td <td></td> <td>17.269</td> <td></td> <td>48,064</td>		17.269		48,064
Susan Harwood Training Grants         17.502         —         23,100           Department of Transportation Federal Aviation Administration (FAA)         20.000         71,584         —           Highway Research and Development         20.200         1,416         —           State and Community Highway Safety         20.600         —         120,000           Department of Treasury         21.000         8,301         —           National Aeronautics and Space Administration         43.000         60,993         —           Aerospace Education Services Program         43.001         100,844         4,836           Technology Transfer         43.002         24,957         —           Promotion of the Arts – Grants to         —         34,147           Organizations and Individuals         45.024         —         34,147           Engineering Grants         47.041         621,236         —           Mathematical and Physical Sciences         47.049         78,551         —           Geosciences         47.050         1,155,567         26,664           Computer and Information Science and         47.074         148,441         —           Social, Behavioral, and Economic Sciences         47.075         31,929         —				,
Department of Transportation Federal Aviation Administration (FAA)   20.000   71,584   —		17.502	_	23,100
Aviation Administration (FAA) 20.000 71,584 — Highway Research and Development 20.200 1,416 — State and Community Highway Safety 20.600 — 120,000 Department of Treasury 21.000 8,301 — National Aeronautics and Space Administration 43.000 60,993 — Aerospace Education Services Program 43.001 100,844 4,836 Technology Transfer 43.002 24,957 — Promotion of the Arts – Grants to Organizations and Individuals 45.024 — 34,147 Engineering Grants 47.041 621,236 — Mathematical and Physical Sciences 47.049 78,551 — Geosciences 47.050 1,155,567 26,664 Computer and Information Science and Engineering Grants 47.070 152,561 55,111 Biological Sciences 47.074 148,441 — Social, Behavioral, and Economic Sciences 47.076 100,061 27,435 International Science and Engineering (OISE) 47.079 106,347 — Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose				·
Highway Research and Development   20.200   1,416   — State and Community Highway Safety   20.600   — 120,000   Department of Treasury   21.000   8,301   — National Aeronautics and Space   Administration   43.000   60,993   — Aerospace Education Services Program   43.001   100,844   4,836   Technology Transfer   43.002   24,957   — Promotion of the Arts – Grants to   Organizations and Individuals   45.024   — 34,147   Engineering Grants   47.041   621,236   — Mathematical and Physical Sciences   47.049   78,551   — Geosciences   47.050   1,155,567   26,664   Computer and Information Science and   Engineering   47.070   152,561   55,111   Biological Sciences   47.074   148,441   — Social, Behavioral, and Economic Sciences   47.075   31,929   — Education and Human Resources   47.076   100,061   27,435   International Science and   Engineering (OISE)   47.079   106,347   — Trans-NSF Recovery Act Research   Support   47.082   166,686   — Small Business Development Center   59.037   — 4,836,015   Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose		20.000	71,584	
State and Community Highway Safety         20.600         —         120,000           Department of Treasury         21.000         8,301         —           National Aeronautics and Space         —         43.000         60,993         —           Administration         43.001         100,844         4,836           Technology Transfer         43.002         24,957         —           Promotion of the Arts – Grants to         —         34,147           Organizations and Individuals         45.024         —         34,147           Engineering Grants         47.041         621,236         —           Mathematical and Physical Sciences         47.049         78,551         —           Geosciences         47.050         1,155,567         26,664           Computer and Information Science and         —         47.070         152,561         55,111           Biological Sciences         47.074         148,441         —           Social, Behavioral, and Economic Sciences         47.075         31,929         —           Education and Human Resources         47.076         100,061         27,435           International Science and         —         47.079         106,347         —           Trans-NS	Highway Research and Development	20.200		
Department of Treasury		20.600	_	120,000
National Aeronautics and Space         43.000         60,993         —           Aerospace Education Services Program         43.001         100,844         4,836           Technology Transfer         43.002         24,957         —           Promotion of the Arts – Grants to         —         34,147           Organizations and Individuals         45.024         —         34,147           Engineering Grants         47.041         621,236         —           Mathematical and Physical Sciences         47.049         78,551         —           Geosciences         47.050         1,155,567         26,664           Computer and Information Science and         —         47.070         152,561         55,111           Biological Sciences         47.074         148,441         —           Social, Behavioral, and Economic Sciences         47.075         31,929         —           Education and Human Resources         47.076         100,061         27,435           International Science and         —         47.079         106,347         —           Engineering (OISE)         47.079         106,347         —           Trans-NSF Recovery Act Research         59.037         —         4,836,015           Surveys,		21.000	8,301	
Administration         43.000         60,993         —           Aerospace Education Services Program         43.001         100,844         4,836           Technology Transfer         43.002         24,957         —           Promotion of the Arts – Grants to         —         34,147           Organizations and Individuals         45.024         —         34,147           Engineering Grants         47.041         621,236         —           Mathematical and Physical Sciences         47.049         78,551         —           Geosciences         47.050         1,155,567         26,664           Computer and Information Science and         —         47.070         152,561         55,111           Biological Sciences         47.074         148,441         —           Social, Behavioral, and Economic Sciences         47.075         31,929         —           Education and Human Resources         47.076         100,061         27,435           International Science and         —         47.079         106,347         —           Trans-NSF Recovery Act Research         Support         47.082         166,686         —           Small Business Development Center         59.037         —         4,836,015      <			,	
Aerospace Education Services Program       43.001       100,844       4,836         Technology Transfer       43.002       24,957       —         Promotion of the Arts – Grants to       34,147         Organizations and Individuals       45.024       —       34,147         Engineering Grants       47.041       621,236       —         Mathematical and Physical Sciences       47.049       78,551       —         Geosciences       47.050       1,155,567       26,664         Computer and Information Science and       47.070       152,561       55,111         Biological Sciences       47.074       148,441       —         Social, Behavioral, and Economic Sciences       47.075       31,929       —         Education and Human Resources       47.076       100,061       27,435         International Science and       47.079       106,347       —         Trans-NSF Recovery Act Research       59.037       —       4,836,015         Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose       59.037       —       4,836,015		43.000	60,993	_
Technology Transfer 43.002 24,957 — Promotion of the Arts – Grants to Organizations and Individuals 45.024 — 34,147 Engineering Grants 47.041 621,236 — Mathematical and Physical Sciences 47.049 78,551 — Geosciences 47.050 1,155,567 26,664 Computer and Information Science and Engineering 47.070 152,561 55,111 Biological Sciences 47.074 148,441 — Social, Behavioral, and Economic Sciences 47.075 31,929 — Education and Human Resources 47.076 100,061 27,435 International Science and Engineering (OISE) 47.079 106,347 — Trans-NSF Recovery Act Research Support 47.082 166,686 — Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose	Aerospace Education Services Program	43.001		4,836
Promotion of the Arts – Grants to Organizations and Individuals Engineering Grants 47.041 Engineering Grants 47.049 Mathematical and Physical Sciences 47.049 Geosciences 47.050 Geosciences 47.050 Tomputer and Information Science and Engineering 47.070 Engineer		43.002	24,957	· <u>—</u>
Engineering Grants       47.041       621,236       —         Mathematical and Physical Sciences       47.049       78,551       —         Geosciences       47.050       1,155,567       26,664         Computer and Information Science and       —       —         Engineering       47.070       152,561       55,111         Biological Sciences       47.074       148,441       —         Social, Behavioral, and Economic Sciences       47.075       31,929       —         Education and Human Resources       47.076       100,061       27,435         International Science and       —       47.079       106,347       —         Trans-NSF Recovery Act Research       47.082       166,686       —         Small Business Development Center       59.037       —       4,836,015         Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose       47.074       47.075 <td></td> <td></td> <td>,</td> <td></td>			,	
Engineering Grants       47.041       621,236       —         Mathematical and Physical Sciences       47.049       78,551       —         Geosciences       47.050       1,155,567       26,664         Computer and Information Science and       —       —         Engineering       47.070       152,561       55,111         Biological Sciences       47.074       148,441       —         Social, Behavioral, and Economic Sciences       47.075       31,929       —         Education and Human Resources       47.076       100,061       27,435         International Science and       —       47.079       106,347       —         Trans-NSF Recovery Act Research       47.082       166,686       —         Small Business Development Center       59.037       —       4,836,015         Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose       47.074       47.075 <td>Organizations and Individuals</td> <td>45.024</td> <td></td> <td>34,147</td>	Organizations and Individuals	45.024		34,147
Mathematical and Physical Sciences47.04978,551—Geosciences47.0501,155,56726,664Computer and Information Science and Engineering47.070152,56155,111Biological Sciences47.074148,441—Social, Behavioral, and Economic Sciences47.07531,929—Education and Human Resources47.076100,06127,435International Science and Engineering (OISE)47.079106,347—Trans-NSF Recovery Act Research Support47.082166,686—Small Business Development Center59.037—4,836,015Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose59.037—4,836,015		47.041	621,236	, —
Geosciences 47.050 1,155,567 26,664 Computer and Information Science and Engineering 47.070 152,561 55,111 Biological Sciences 47.074 148,441 — Social, Behavioral, and Economic Sciences 47.075 31,929 — Education and Human Resources 47.076 100,061 27,435 International Science and Engineering (OISE) 47.079 106,347 — Trans-NSF Recovery Act Research Support 47.082 166,686 — Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose		47.049		
Computer and Information Science and Engineering 47.070 152,561 55,111 Biological Sciences 47.074 148,441 — Social, Behavioral, and Economic Sciences 47.075 31,929 — Education and Human Resources 47.076 100,061 27,435 International Science and Engineering (OISE) 47.079 106,347 — Trans-NSF Recovery Act Research Support 47.082 166,686 — Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose		47.050	1,155,567	26,664
Engineering 47.070 152,561 55,111 Biological Sciences 47.074 148,441 — Social, Behavioral, and Economic Sciences 47.075 31,929 — Education and Human Resources 47.076 100,061 27,435 International Science and Engineering (OISE) 47.079 106,347 — Trans-NSF Recovery Act Research Support 47.082 166,686 — Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose	Computer and Information Science and			
Biological Sciences 47.074 148,441 — Social, Behavioral, and Economic Sciences 47.075 31,929 — Education and Human Resources 47.076 100,061 27,435 International Science and Engineering (OISE) 47.079 106,347 — Trans-NSF Recovery Act Research Support 47.082 166,686 — Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose		47.070	152,561	55,111
Social, Behavioral, and Economic Sciences 47.075 31,929 — Education and Human Resources 47.076 100,061 27,435 International Science and Engineering (OISE) 47.079 106,347 — Trans-NSF Recovery Act Research Support 47.082 166,686 — Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose		47.074		· —
International Science and Engineering (OISE) 47.079 106,347 — Trans-NSF Recovery Act Research Support 47.082 166,686 — Small Business Development Center Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose		47.075	31,929	_
International Science and Engineering (OISE) 47.079 106,347 — Trans-NSF Recovery Act Research Support 47.082 166,686 — Small Business Development Center Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose	Education and Human Resources	47.076	100,061	27,435
Trans-NSF Recovery Act Research Support 47.082 166,686 — Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose	International Science and			
Trans-NSF Recovery Act Research Support 47.082 166,686 — Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose	Engineering (OISE)	47.079	106,347	
Support 47.082 166,686 — Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose				
Small Business Development Center 59.037 — 4,836,015 Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose		47.082	166,686	_
Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose		59.037	_	4,836,015
	Demonstrations, and Special Purpose			
Activities Relating to the Clean Air Act 66.034 583,934 —		66.034	583,934	_
Long Island Sound Program 66.437 15,675 —		66.437		_
Great Lakes Program 66.469 47,592 —		66.469	47,592	_
Science To Achieve Results (STAR)	Science To Achieve Results (STAR)			
Research Program 66.509 79,504 —	Research Program	66.509	79,504	_
Surveys, Studies, Investigations and	<u> </u>			
Special Purpose Grants 66.606 109,227 —		66.606	109,227	
Pollution Prevention Grants Program 66.708 — 50,140	*		· —	50,140
Department of Energy 81.000 — 111,069		81.000	_	111,069

Notes to Schedule of Expenditures of Federal Awards Year ended June 30, 2010

Program title	Federal CFDA number		Research and development	Other programs
Office of Science Financial Assistance				
Program	81.049	\$	2,530,762	_
Renewable Energy Research and	01.019	Ψ	2,230,702	
Development	81.087		367,241	_
Energy Efficiency and Renewable Energy			,	
Information Dissemination, Outreach,				
Training and Technical				
Analysis/Assistance	81.117		_	109,101
Migrant Education State Grant Program	84.011			24,939
Special Education – Grants to States	84.027			23,448
Fund for the Improvement of				ŕ
Postsecondary Education	84.116		_	10,429
National Institute on Disability and				
Rehabilitation Research	84.133		611,151	_
Education Research, Development				
and Dissemination	84.305		541,983	_
Research in Special Education	84.324		330,787	_
Gaining Early Awareness and Readiness				
for Undergraduate Programs	84.334		_	60,290
Improving Teacher Quality State Grants	84.367		_	121,399
Department of Health and Human Services	93.000		324,946	64,220
Model State-Supported Health Education				
Centers	93.107		_	353,664
Environmental Health	93.113		296,372	<del>-</del>
Oral Diseases and Disorders Research	93.121		1,875,743	_
Grants to Increase Organ Donations	93.134		129,523	<del>-</del>
Centers for Research and Demonstration				
for Health Promotion and Disease	22.12.5		44.504	
Prevention	93.135		11,504	_
Coordinated Services and Access to				
Research for Women, Infants, Children,	02 152		554.062	
and Youth	93.153		554,863	_
Human Genome Research	93.172		237,746	
Research Related to Deafness and	02 172		1.60.01.4	
Communication Disorders	93.173		169,014	_
Research on Healthcare Costs, Quality	02.226		21 004	
and Outcomes	93.226		31,804	
National Center on Sleep Disorders Research	02 222		00.426	
Mental Health Research Grants	93.233		90,436	_
Mental fleath Research Grants	93.242		1,244,365	

Notes to Schedule of Expenditures of Federal Awards

Year ended June 30, 2010

Program title	Federal CFDA number	_	Research and development	Other programs
Substance Abuse and Mental Health				
Services Projects of Regional and				
National Significance	93.243	\$		7,500
Occupational Safety and Health Program	93.262	,	87,928	466,518
Alcohol Research Programs	93.273		5,551,392	, <u> </u>
Drug Abuse Research Programs	93.279		658,298	
Discovery and Applied Research for			,	
Technological Innovations to Improve				
Human Health	93.286		112,617	
Minority Health and Health Disparities			,	
Research	93.307		57,298	14,000
National Center for Research Resources	93.389		121,731	´—
Cancer Cause and Prevention Research	93.393		576,042	_
Cancer Detection and Diagnosis Research	93.394		125,105	_
Cancer Treatment Research	93.395		223,972	_
Cancer Biology Research	93.396		80,801	_
Temporary Assistance for Needy Families	93.558		· —	3,668,247
Child Support Enforcement	93.563		_	20,302
Child Care and Development Block Grant	93.575			3,729,661
Child Care Mandatory and Matching Funds				
of the Child Care and Development Fund	93.596		_	200,000
Child Welfare Services Training Grants	93.648			3,080,141
Adoption Assistance	93.659		_	120,716
Social Services Block Grant	93.667		_	95,000
Trans-NIH Research Support	93.701		1,134,473	_
Medical Assistance Program	93.778		_	210,000
Basic/Core Area Health Education Centers	93.824			336,264
Heart and Vascular Diseases Research	93.837		24,839	
Blood Diseases and Resources Research	93.839		92,958	_
Arthritis, Musculoskeletal and Skin				
Diseases Research	93.846		417,693	_
Diabetes, Endocrinology and				
Metabolism Research	93.847		107,973	
Digestive Diseases and Nutrition Research	93.848		395,384	_
Kidney Diseases, Urology and				
Hematology Research	93.849		571,443	
Extramural Research Programs in the				
Neurosciences and Neurological Disorders	93.853		83,417	_
Allergy, Immunology and Transplantation				
Research	93.855		498,123	_
Biomedical Research and Research				
Training	93.859		1,079,727	78,713
Population Research	93.864		83,053	_
5	58			(Continued)

Notes to Schedule of Expenditures of Federal Awards  $\label{eq:June 30, 2010} \textit{June 30, 2010}$ 

	Federal CFDA number		Research and development	Other programs
Child Health and Human Development				
Extramural Research	93.865	\$	864,049	_
Aging Research	93.866		453,864	_
Vision Research	93.867		284,752	
HIV Emergency Relief Project Grants	93.914		´—	326,695
Special Projects of National Significance	93.928		_	49,086
HIV Demonstration, Research, Public and				,
Professional Education Projects	93.941		_	143,947
Geriatric Education Centers	93.969		_	60,837
Family Planning – Service Delivery				,
Improvement Research Grants	93.974		9,867	_
International Research and Research				
Training	93.989		37,345	104,275
Preventive Health and Health Services				
Block Grant	93.991		_	25,102
Maternal and Child Health Services Block				
Grant to the States	93.994		_	401,481
Social Security – Research and				·
Demonstration	96.007		17,345	_
Homeland Security Advanced Research				
Projects Agency	97.065		77,503	_
Homeland Security Preparedness				
Technical Assistance Program	97.077		81,636	_
USAID Foreign Assistance for				
Programs Overseas	98.001	_	2,340	3,166,439
Total amount provided to subrecipients	S	\$	31,075,387	22,604,251



**KPMG LLP** 515 Broadway Albany, NY 12207-2974

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

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

We have audited the financial statements of The Research Foundation of State University of New York (the RF) as of and for the year ended June 30, 2010, and have issued our report thereon dated August 26, 2010. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

#### **Internal Control over Financial Reporting**

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

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

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.



#### **Compliance and Other Matters**

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

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



August 26, 2010



**KPMG LLP** 515 Broadway Albany, NY 12207-2974

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

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

#### Compliance

We have audited The Research Foundation of State University of New York's (the RF) compliance of with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) *Circular A-133 Compliance Supplement* that could have a direct and material effect on each of the RF's major federal programs for the year ended June 30, 2010, except for the Medical Assistance Program (CFDA No. 93.778). We were engaged to audit the compliance of the Medical Assistance program (CFDA No. 93.778). The RF's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to its major federal programs is the responsibility of the RF's management. Our responsibility is to express an opinion on the RF's compliance based on our audit except for the Medical Assistance Program (CFDA No. 93.778).

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

As described in item 2010-01 in the accompanying schedule of findings and questioned costs, because of the lack of information regarding the federal investigation of the PERM/MEQC program contained in the RF's Medical Assistance Program (CFDA No. 93.778), the scope of our work was not sufficient to enable us to express and, we do not express, an opinion on the RF's compliance with the requirements referred to above that are applicable to this major federal program.

In our opinion, the RF complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2010. However, the results of our auditing procedures disclosed instances of noncompliance with those requirements, which are required to be reported in accordance with OMB Circular A-133 and which



are described in the accompanying schedule of findings and questioned costs as items 2010-02 and 2010-03.

### **Internal Control over Compliance**

Management of the RF is responsible for establishing and maintaining effective internal control over compliance with requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered the RF's internal control over compliance with the requirements that could have a direct and material effect on a major federal program to determine the auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the RF's internal control over compliance.

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

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

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

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



November 22, 2010

Schedule of Findings and Questioned Costs

Year ended June 30, 2010

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

#### Financial Statements

- a) An unqualified opinion based on our audit was issued on the financial statements of the Research Foundation of State University of New York (the RF) as of and for the year ended June 30, 2010.
- b) The audit reported no significant deficiencies or material weaknesses in connection with the financial statements of the RF as of and for the year ended June 30, 2010.
- c) The audit reported no instances of noncompliance which are material to the basic financial statements of the RF as of and for the year ended June 30, 2010.

#### Single Audit

- d) The audit reported no significant deficiencies or material weaknesses in connection with the major federal programs of the RF for the year ended June 30, 2010.
- e) An unqualified opinion was issued on the RF's compliance with each of its major federal programs for the year ended June 30, 2010, except for the Medical Assistance Program for which the opinion was disclaimed.
- f) There are findings which are required to be reported under Section 510(a) of OMB Circular A-133 for the year ended June 30, 2010.
- g) The dollar threshold to determine Type A programs was \$3 million. The major federal programs of the RF for the year ended June 30, 2010 are as follows:

Name of federal program	CFDA number
Research and Development Cluster	Various
Supplement Nutrition Assistance Program (SNAP)	
Cluster	10.551 and 10.561
Small Business Development Centers	59.037
Social Services Block Grant	93.667
Medical Assistance Program	93.778
USAID Foreign Assistance for Programs Overseas	98.001

h) The RF is considered to be a low risk auditee for the year ended June 30, 2010.

Schedule of Findings and Questioned Costs
Year ended June 30, 2010

<b>(2)</b>	Findings Relating to the Financial Statements Reported in Accordance with Government Auditing
	Standards

None

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

See pages 66 to 71.

Schedule of Findings and Questioned Costs
Year ended June 30, 2010

Research Foundation of State University of New York

**Medical Assistance Program (93.778)** 

State Contract Number: C-290565 State Contract Period: Jan. 1, 2009 to Dec. 31, 2009

C-270469 March 1, 2007 to Dec. 31, 2008

U.S. Department of Health and Human Services

Responsible campus: Buffalo State College

Finding Reference: 2010-01

#### **Finding**

In July 2009, The Research Foundation for State University of New York (the RF) received a grand jury subpoena related to a sponsored program doing business as The Center for the Development of Human Services (CDHS) at Buffalo State College from the United States Attorney for the Northern District of New York (US Attorney) in connection with a federal investigation into possible violations of various federal criminal laws (Federal Investigation)<sup>1</sup>. The subpoena required the production of all documents related to the Payment Error Rate Measurement (PERM) and Medicaid Eligibility Quality Control (MEQC) projects (PERM/MEQC Projects) sponsored by the New York State Department of Health (NYSDOH) with pass-through funding from the U.S. Department of Health and Human Services (DHHS). In September 2009, another grand jury subpoena for additional records was issued to CDHS (collectively, Subpoenas).

In addition, in October 2009, the RF became aware that eight of its employees working in CDHS had received letters from the US Attorney notifying these employees that they were "targets" of the Federal Investigation.

The RF has stated its belief that the Federal Investigation is centered on allegations that RF employees working on the PERM/MEQC Projects acting on their own and/or at the direction of NYSDOH employees, manipulated data so that the error rate for New York's PERM program was not correctly reported to DHHS. To date, however, the Federal Investigation has not concluded, and the information available to the RF regarding data submitted through these projects to the NYSDOH has been limited. Accordingly, the RF has represented that it cannot conclude as to the existence of any violations of applicable laws or whether any of its employees have been engaged in any wrongdoing.

Because the RF cannot at this time conclude as to the existence of any violations of applicable laws or whether any of its employees have been engaged in any wrongdoing, or to provide further information that provides clarity to KPMG regarding events at issue in the Federal Investigation of the PERM/MEQC Project contained in the RF Medical Assistance Program – CFDA No. 93.778, we cannot express an opinion on the RF's compliance.

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

Schedule of Findings and Questioned Costs Year ended June 30, 2010

#### **Views of Responsible Officials and Corrective Actions**

The position of RF management is that the above finding is related to subpoenas concerning alleged improper programmatic actions at one sponsored program located at one of the RF's multiple locations. Management's position is that this matter is isolated and that it does not, at this time, appear to create material liability and will not have repercussions on the RF's continued ability to fully comply with federal regulations governing sponsored programs.

**Contact:** Sherry Holland, Senior Vice President and General Counsel

**Implementation Date:** Not applicable

Schedule of Findings and Questioned Costs
Year ended June 30, 2010

The Research Foundation of State University of New York

Research and Development Cluster (Various CFDA numbers)

Federal Award Number: Various Award Year: Various

**National Aeronautics and Space Administration** 

**National Science Foundation** 

**U.S. Department of Agriculture** 

**U.S. Department of Commerce** 

**U.S. Department of Defense** 

**U.S. Department of Energy** 

Responsible Campus: College of Environmental Science and Forestry

Finding Reference: 2010-02

#### Requirement

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

### Finding and Recommendation

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

During our audit procedures related to the RF's compliance with federal equipment requirements for its research and development programs we noted the following at the College of Environmental Science and Forestry:

• Physical inventories have not been performed once every two years for the campus departments receiving Federal research and development funds.

Schedule of Findings and Questioned Costs Year ended June 30, 2010

• Our entire sample of five Property Status Change Request Forms authorizing equipment deletions was not completed. The Property Status Change Request Form is required to be completed and signed by the appropriate campus officials for a change in equipment status.

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

#### **Questioned Costs**

None.

#### **Views of Responsible Officials and Corrective Actions**

We agree. The report conclusion, whereby physical inventories had not been performed at the College of Environmental Science and Forestry once every two years and Property Status Change Request Forms authorizing equipment deletions were not completed, is accurate. These oversights occurred as a result of inefficient use of inventory procedures and untimely completion of forms. A complete campus inventory was in progress at the time of the audit and completed on June 25, 2010. It should also be noted that four of the five Property Status Change Request Forms have been completed subsequent to the audit fieldwork. Procedures at the campus are being reviewed and modified to ensure that annual inventories are completed and Property Status Change Requests are completed in a timely manner as required by Research Foundation policy.

**Contact:** Adam Gibbs, Senior Vice President and Chief Financial Officer

**Implementation Date:** FY 2011

Schedule of Findings and Questioned Costs Year ended June 30, 2010

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

Research and Development Cluster (47.074, 47.082, and 43.000)

Federal 410129430 Award Year: June 2009 to May 2010 Award ARC-0915131 July 2009 to June 2012

Number: NNA06CA71G November 2005 to January 2010

National Aeronautics and Space Administration National Science Foundation

**Responsible Campus: State University at Buffalo** 

State University at Stony Brook

Finding Reference: 2010-03

#### Requirement

Compensation for personal services covers all amounts paid currently or accrued by the institution for services of employees rendered during the period of performance under sponsored agreements. Such amounts include salaries, wages, and fringe benefits (see subsection f). These costs are allowable to the extent that the total compensation to individual employees conforms to the established policies of the institution, consistently applied, and provided that the charges for work performed directly on sponsored agreements and for other work allocable as Facility and Administrative (F&A) costs are determined and supported (2 CFR 220 Appendix A, Section J Item 10).

#### **Finding and Recommendation**

The Research Foundation of State University of New York (the RF) has established policies and procedures to ensure that payroll charged to federal programs is in accordance with federal requirements.

We selected 120 research and development payroll charges across seven campuses and reviewed documentation supporting amounts charged to Federal awards including periodic effort reports.

During these audit procedures related to the RF's compliance with payroll charges and related effort reporting we noted the following at the University at Stony Brook campus:

• An effort report that did not agree with the approved labor distribution. As a result, the campus transferred \$3,462 from one award to another to correctly reflect the proper effort between the two awards.

Schedule of Findings and Questioned Costs
Year ended June 30, 2010

During these audit procedures related to the RF's compliance with payroll charges and related effort reporting we noted the following at the University at Buffalo campus:

- An effort reporting that was not signed to attest to the documented effort. Subsequent to our audit the RF was able to obtain a signed effort report to attest to the documented effort.
- An employee's effort report was superseded and the employee's new effort report was not recreated and recertified. Subsequent to our audit the RF recreated and recertified the effort report.
- An effort report could not be located for one employee. Salary charged to the award related to this effort report was \$1,500.

Questioned costs were determined by adding the amounts of salary noted above and adding the fringe benefits additive for the applicable employee types.

We recommend that the RF continue to follow established policies and procedures to ensure compliance.

#### **Ouestioned Costs**

\$4,760 – 47.074 (Stony Brook Campus)

\$1,740 – 43.000 (University at Buffalo Campus)

#### **Views of Responsible Officials and Corrective Actions**

We agree with the findings as stated. The first three issues were due to human error and have all been corrected; every effort is being made to avoid these types of errors in the future. The final issue resulted from a misunderstanding regarding Research Foundation policy and the campus has revised its procedures and forms to address this issue to ensure it does not occur in the future. We will ensure that the University at Buffalo campus has appropriately implemented its updated procedures.

Questioned costs identified above have been removed from the associated sponsored awards.

Contact: Lynn Manning, VP Human Resources and Administration

**Implementation Date:** December 31, 2010

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

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

(Not Covered by Auditors' Reports)

Summary of Prior Year's Findings and Questioned Costs Year ended June 30, 2010

Prior Year Finding Reference	Program and CFDA Number	Compliance Requirement	Summary of Finding	Status
2009-01	Medical Assistance Program CFDA: 93.778 State Contract Number: C-290565, C-270469	Not Applicable	In July 2009, The Research Foundation for State University of New York (the RF) received a grand jury subpoena related to a sponsored program doing business as The Center for the Development of Human Services (CDHS) at Buffalo State College from the United States Attorney for the Northern District of New York (US Attorney) in connection with a federal investigation into possible violations of various federal criminal laws (Federal Investigation) <sup>2</sup> . The subpoena required the production of all documents related to the Payment Error Rate Measurement (PERM) and Medicaid Eligibility Quality Control (MEQC) projects (PERM/MEQC Projects) sponsored by the New York State Department of Health (NYSDOH) with pass-through funding from the U.S. Department of Health and Human Services (DHHS). In September 2009, another grand jury subpoena for additional records was issued to CDHS (collectively, Subpoenas).	See response to current year finding 2010-01.

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

### Summary of Prior Year's Findings and Questioned Costs Year ended June 30, 2010

Prior Year Finding Reference	Program and CFDA Number	Compliance Requirement	Summary of Finding	Status
			eight of its employees working in CDHS had received letters from the US Attorney notifying these employees that they were "targets" of the Federal Investigation.	
2009-02	Research and Development Cluster CFDA: Various	Equipment and Real Property Management	During our audit procedures related to the RF's compliance with Federal equipment requirements for its research and development programs we noted the following:	With respect to the A-133 Audit Report finding regarding property management, the following actions have been taken:
	Federal Award Number: Various		<ul> <li>The University at Buffalo Campus had not performed physical inventories once every two years for 11 campus departments receiving Federal research and development funds. Subsequent to our audit procedures and prior to June 30, 2009, these 11 campus departments had completed physical inventories of their equipment and made any necessary adjustments.</li> <li>In our sample of ten equipment items used in research and development programs at the University at Stony Brook campus, we noted that two items were not at the location indicated by the property control system.</li> <li>In our sample of one equipment item used in research and development programs at the Oneonta campus, we noted that the item had not been placed into the inventory records of the property</li> </ul>	University at Buffalo have completed the physical inventory as required by Research Foundation policy.  The 2 items at Stony Brook which were not in the location indicated by the property control system have been updated to reflect the correct location. Stony Brook is also in the process of preparing their Facilities and Administrative proposal for the federal government which requires

### Summary of Prior Year's Findings and Questioned Costs Year ended June 30, 2010

Prior Year Finding Reference	Program and CFDA Number	Compliance Requirement	Summary of Finding	Status
			control system.	room by room basis.  • The 1 item at the Oneonta campus has been added to the property control system. This finding was a result of a system limitation on assets purchased from awards spanning multiple campus locations. The RF implemented a system enhancement on June 11, 2009 to ensure that property items are included in the correct campus location of the property reconciliation reports.
2009-03	Research and Development Cluster CFDA: 93.859, 12.500, 93.273, 12.300, 93.667 Federal Award Number:	Allowable Cost Principles	During our audit procedures related to the RF's compliance with payroll charges and related effort reporting we noted the following:  • In our sample of 120 research and development payroll charges across five campuses, we noted that at the University at Stony Brook campus, one Income Fund Reimbursable (IFR) amount reimbursed from the State University of New York exceeded the amount approved on the IFR appointment/change form by \$876.	All action items regarding this finding were implemented. See finding 2010-03 for future corrective actions in this area.

### Summary of Prior Year's Findings and Questioned Costs

Year ended June 30, 2010

Prior Year Finding Reference	Program and CFDA Number	Compliance Requirement	Summary of Finding	Status
	5R01GM07152003 N00014021-0836 5R01AA014514-05 5R37AA009922-14 5R01AA016527-02 N000140710869		<ul> <li>In our sample of 120 research and development payroll charges across five campuses, we noted that at the University of Buffalo, time reporting documents were not completed for one payroll charge. This was due to the fact that the employee had moved to a foreign country and the campus was unable to contact the individual to complete the time reporting document.</li> <li>In our sample of 120 research and development effort reports across five campuses, we noted that at the University of Buffalo there was inaccurate effort reporting for three individuals. The three employees' time was properly charged to the awards, their effort reports were inaccurately prepared.</li> <li>In our sample of 120 research and development effort reports across five campuses we noted that at the University of Albany there was one employee who certified their time to the wrong award. We noted that the employee's time and salary was charged to the correct award.</li> </ul>	

### Summary of Prior Year's Findings and Questioned Costs

Year ended June 30, 2010

Prior Year Finding Reference	Program and CFDA Number	Compliance Requirement	Summary of Finding	Status
			• In our sample of 30 payroll charges for the Social Services Block Grant Program (93.667) across three campuses, we noted that at the University of Albany the IFR Appointment Change Form did not include the percentage of effort information for one employee.	