



NEW YORK CITY COUNCIL EXPENSE BUDGET FUNDING FY '09

Organization Qualification Form
Incomplete Forms Will Not be Accepted

Legal Name of Organization The Research Foundation of The City University of New York

Federal Identification # (FEIN) 13-1988190

Section A. Organization's Status and Standing

Is the organization a registered Charity in New York State? Yes [checked] No

If "yes", did the organization file its CHAR 500 for 2007 with the State Attorney General? Yes [checked] No
(Please attach signature and date page of filing)

If "no", is the organization exempt from registering as a Charity in New York State? Yes No

Is the organization now, or has the organization been in the last 5 years, the subject of an investigation, inquiry, or audit by a local, state or federal government entity? Yes [checked] No

If "yes" describe the nature of the investigation, inquiry, or audit The Research Foundation is the recipient of numerous government programs and these programs are audited from time to time by the sponsoring agency. The Research Foundation was also recently audited by the NYC Comptroller for purchased services.

If "yes", has the investigation, inquiry or audit been concluded? Yes [checked] No

If "yes," what are the findings or conclusions (including any sanctions or charges) from the investigation, inquiry or audit? (include any relevant documents) There were no adverse findings, sanctions or charges.

Has the organization received less than a satisfactory contractor performance evaluation by any City, State or Federal agency in the past 5 years? Yes No [checked]

If "yes" please attach any such evaluations

When was the last contractor performance evaluation completed by a City agency relating to the program for which funds are currently being sought (if no performance evaluation ever completed please indicate)? None
(Please attach a copy of such contractor performance evaluation.)

B. Organization's Purpose and Use of Funds

What is the organization's mission? The Research Foundation of The City University of New York is a not-for-profit educational corporation that acts as fiscal agent for the constituent colleges of The City University of New York for the administration of sponsored programs.

Description of Purpose of Funds: (include description of program; money spent on program last year, if any; target populations, including geographic areas of program services; number or persons served last year; number of persons expected to be served this year. Feel free to attach additional documents.)

Please see the attached description.

Required only if amount of expense request exceeds \$25,000. What experience does the organization have in providing the services and what staff will be responsible for providing services? (include number of staff, function of staff, professional or functional title of staff, role of different types of staff in service provision)

Please see the attached explanation.

Section C: Past Funding Sources

Have you received City, State or Federal funds this year or last fiscal year? Please specify below (include agency providing funding and specify if City funding was Council initiated and identify fiscal conduit with contact information if a fiscal conduit was used for City funding):

The Research Foundation administered over 300 million dollars in government and private funds for each fiscal year 2007 and 2008. These funds were received from private sources and numerous City, State and Federal agencies. See the attached list of funds received from sponsors in fiscal year 2006. The Research Foundation's complete 2006 annual report is on the RFCUNY website at www.rfcuny.org.

Section D: Organization's Connections to the City

Does any member of your organization's Senior Management, Board of Directors, or trustees also work for the City or any elected official in the city? Yes _____ No _____

If "yes" please specify _____

Is any member of your organization's Senior Management, Board of Directors or trustees a relative of, or has a business relationship with, an elected official in the city (Spouse, Domestic Partner, Parent child or sibling) or a relative of, or has a business relationship with, an employee of the City Council (including a staff member of any Member of the Council)? Yes _____ No _____

If "yes" please specify _____

Signature of Officer, Director or Senior Manager

Title

Date

Form **CHAR500**

Annual Filing for Charitable Organizations
New York State Department of Law (Office of the Attorney General)
Charities Bureau - Registration Section
120 Broadway
New York, NY 10271
www.oag.state.ny.us/charities/charities.html

2006

Open to Public Inspection

This form used for Article 7-A, EPTL and dual filers (replaces forms CHAR 497, CHAR 510 and CHAR 606)

1. General Information

a. For the fiscal year beginning (mm/dd/yyyy) 07/01/2006 and ending (mm/dd/yyyy) 06/30/2007

b. Check if applicable for NYS:

- Address change
- Name change
- Initial filing
- Final filing
- Amended filing
- NY registration pending

c. Name of organization

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK

Number and street (or P.O. box if mail not delivered to street address)

230 WEST 41ST STREET

City or town, state or country and zip + 4

NEW YORK, NY, 10036

Room/suite

d. Fed. employer ID no. (EIN) (##-####)

13-1988190

e. NY State registration no. (##-###-##)

21-37-20

f. Telephone number

(212) 417-8503

g. Email

2. Certification - Two Signatures Required

We certify under penalties of perjury that we reviewed this report, including all attachments, and to the best of our knowledge and belief, they are true, correct and complete in accordance with the laws of the State of New York applicable to this report.

a. President or Authorized Officer

Signature

RICHARD F. ROTHBARD PRESIDENT

Printed Name

Title

4/4/08
Date

b. Chief Financial Officer or Treasurer

Signature

EDWARD KALAYDJIAN CFO

Printed Name

Title

4/4/08
Date

3. Annual Report Exemption Information

a. Article 7-A annual report exemption (Article 7-A registrants and dual registrants)

Check if total contributions from NY State (including residents, foundations, corporations, government agencies, etc.) did not exceed \$25,000 and the organization did not use the services of a professional fund raiser (PFR) or fund raising counsel (FRC) to solicit contributions during this fiscal year.

NOTE: An organization may also check the box to claim this exemption if no PFR or FRC was used and either: 1) the organization received an allocation from a federated fund, United Way or incorporated community appeal and contributions from all other sources did not exceed \$25,000 or 2) it received all or substantially all of its contributions from a single government agency to which it submitted an annual financial report similar to that required by Article 7-A.

b. EPTL annual report exemption (EPTL registrants and dual registrants)

Check if total gross receipts for this fiscal year did not exceed \$25,000 and the assets (market value) of the organization did not exceed \$25,000 at any time during this fiscal year.

For EPTL or Article 7-A registrants claiming the annual report exemption under the one law under which they are registered and for dual registrants claiming the annual report exemptions under both laws, simply complete part 1 (General Information), part 2 (Certification) and part 3 (Annual Report Exemption Information) above.

Do not submit a fee, do not complete the following schedules and do not submit any attachments to this form.

4. Article 7-A Schedules

If you did not check the Article 7-A annual report exemption above, complete the following for this fiscal year:

a. Did the organization use a professional fund raiser, fund raising counsel or commercial co-venturer for fund raising activity in NY State? Yes No

* If "Yes", complete Schedule 4a.

b. Did the organization receive government contributions (grants)? Yes No

* If "Yes", complete Schedule 4b.

5. Fee Submitted: See last page for summary of fee requirements.

Indicate the filing fee(s) you are submitting along with this form:

a. Article 7-A filing fee \$ 25

b. EPTL filing fee \$ 25

c. Total fee \$ 25

Submit only one check or money order for the total fee, payable to "NYS Department of Law"

6. Attachments: For organizations that are not claiming annual report exemptions under both laws, see last page for required attachments.

Mail completed form with required schedules, fee and attachments to the address at the top of this page -

Form CHAR500 (2006)

**SUPPLEMENTAL FINANCIAL SCHEDULES
GRANTS AND CONTRACTS EXPENSES BY FUNDING SOURCE YEARS ENDED JUNE 30, 2006 AND 2005
RF 2006 ANNUAL REPORT**

	2006	2005
Governmental grants and contracts:		
National Science Foundation	\$ 24,916,777	17,803,612
Department of Health and Human Services	40,036,397	41,375,615
Department of Education	21,888,372	23,395,064
Other Federal sponsors	17,548,438	18,042,279
State sponsors	45,154,461	41,554,682
Municipal sponsors	91,609,000	87,426,127
Total governmental grants and contracts	237,253,445	229,597,378
Private grants and contracts:		
Corporations	3,905,871	3,205,917
Foundations	11,811,202	9,804,158
Other private	33,053,535	28,174,612
Total private grants and contracts	48,769,808	41,184,687
CUNY grants and contracts		
PSC-CUNY research award program	3,364,063	3,607,594
CUNY miscellaneous	26,549,962	23,781,081
Total CUNY grants and contracts	29,914,031	27,388,675
Total grants and contracts	\$ 315,937,284	298,164,741