

Form

990

Department of the Treasury

Internal Revenue Service

Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

Do not enter social security numbers on this form as it may be made public.

Go to [www.irs.gov/Form990](#) for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public Inspection

A For the 2020 calendar year, or tax year beginning 10-01-2020 , and ending 09-30-2021

B Check if applicable:

☐ Address change

☐ Name change

☐ Initial return

☐ Final return/terminated

☐ Amended return

☐ Application pending

C Name of organization

Research Triangle Institute

Doing business as

RTI International

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

PO BOX 12194

Room/suite

City or town, state or province, country, and ZIP or foreign postal code

Research Triangle Park, NC 277092194

F Name and address of principal officer:

E Wayne Holden

PO BOX 12194

Research Triangle Park, NC 277092194

D Employer identification number

56-0686338

E Telephone number

(919) 541-6000

G Gross receipts \$

1,123,064,859

I Tax-exempt status:

☒ 501(c)(3) ☐ 501(c) () (insert no.) ☐ 4947(a)(1) or ☐ 527

J Website:

www.rti.org

K Form of organization:

☒ Corporation ☐ Trust ☐ Association ☐ Other

L Year of formation:

1958

M State of legal domicile:

NC

Part I Summary

Activities & Governance

1 Briefly describe the organization's mission or most significant activities:

Research Triangle Institute is one of the world's leading research institutes, dedicated(see Sch O) to improving the human condition by turning knowledge into practice. Our staff of more than 6,000 provides research and technical expertise to governments and businesses in more than 75 countries in the areas of health and pharmaceuticals, education and training, surveys and statistics, advanced technology, international development, economic and social policy, energy and the environment and laboratory and chemistry services.

2 Check this box ☐ if the organization discontinued its operations or disposed of more than 25% of its net assets.

3 Number of voting members of the governing body (Part VI, line 1a)

317

4 Number of independent voting members of the governing body (Part VI, line 1b)

48

5 Total number of individuals employed in calendar year 2020 (Part V, line 2a)

5,290

6 Total number of volunteers (estimate if necessary)

0

7a Total unrelated business revenue from Part VIII, column (C), line 12

12,721,423

7b Net unrelated business taxable income from Form 990-T, line 39

2,168,470

Revenue

8 Contributions and grants (Part VIII, line 1h)

9 Program service revenue (Part VIII, line 2g)

10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)

11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)

12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)

Prior Year

Current Year

0

1,077,948,495

6,281,283

4,150,885

-470,000

155,365

917,894,551

1,082,254,745

Expenses

13 Grants and similar amounts paid (Part IX, column (A), lines 1-3)

14 Benefits paid to or for members (Part IX, column (A), line 4)

15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)

16a Professional fundraising fees (Part IX, column (A), line 11e)

16b Total fundraising expenses (Part IX, column (D), line 25)

17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)

18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)

19 Revenue less expenses. Subtract line 18 from line 12

810,637

770,888

0

0

511,716,112

530,288,137

0

0

391,276,114

536,548,895

903,802,863

1,067,607,920

14,091,688

14,646,825

Net Assets or Fund Balances

20 Total assets (Part X, line 16)

21 Total liabilities (Part X, line 26)

22 Net assets or fund balances. Subtract line 21 from line 20

Beginning of Current Year

End of Year

734,589,682

863,720,584

299,546,876

365,799,068

435,042,806

497,921,516

Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here

Signature of officer

Michael H Kaelin Jr CFO Chief Financial Officer

Date

2022-08-12

Paid Preparer Use Only

Print/Type preparer's name

Preparer's signature

Date

Check ☐ if self-employed

PTIN

Firm's name

Firm's EIN

Firm's address

Phone no.

PRICEWATERHOUSECOOPERS LLP

13-4008324

600 13TH ST NW STE 1000

(202) 414-1000

WASHINGTON, DC 20005

May the IRS discuss this return with the preparer shown above? (see instructions)

☒ Yes ☐ No

For Paperwork Reduction Act Notice, see the separate instructions.

Cat. No. 11282Y

Form 990 (2020)

Part III

Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III

☒

1 Briefly describe the organization’s mission:

Research Triangle Institute is one of the world's leading research institutes, dedicated to improving the human condition by turning knowledge into practice. Our staff of more than 6,000 provides research and technical (continued on Schedule O, Part III, Line 1) expertise to governments and businesses in more than 75 countries in the areas of health and pharmaceuticals, education and training, surveys and statistics, advanced technology, international development, economic and social policy, energy and the environment and laboratory and chemistry services.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?

☐ Yes ☒ No

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services?

☐ Yes ☒ No

If "Yes," describe these changes on Schedule O.

4 Describe the organization’s program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code:) (Expenses \$ 727,901,675 including grants of \$ 751,001) (Revenue \$ 825,147,782)

RESEARCH: Multidisciplinary research & development and the application of science & technology in the areas of Health Research; Drug Discovery & Development; Education & Training Research; Survey Research Services; Statistics Research; Economic & Social Research; Advanced Technology Research & Development; Energy Research; Environmental Research Services; and Laboratory & Chemistry Services; See Schedule O for expanded description of these program services.

4b (Code:) (Expenses \$ 218,465,481 including grants of \$ 19,887) (Revenue \$ 252,956,078)

INTERNATIONAL DEVELOPMENT: See Schedule O for description of program services, Part III Line 4b.

4c (Code:) (Expenses \$ including grants of \$) (Revenue \$)

4d Other program services (Describe in Schedule O.)

(Expenses \$ including grants of \$) (Revenue \$)

4e Total program service expenses ▶ 946,367,156

Part IV

Checklist of Required Schedules

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A	1 Yes	
2 Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)?	2	No
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I	3	No
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II	4 Yes	
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III	5	No
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I	6	No
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II	7	No
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III	8	No
9 Did the organization report an amount in Part X, line 21 for escrow or custodial account liability; serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV	9	No
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi endowments? If "Yes," complete Schedule D, Part V	10	No
11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.		
a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI	11a Yes	
b Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII	11b Yes	
c Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII	11c	No
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX	11d Yes	
e Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X	11e Yes	
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)?	11f Yes	
12a If "Yes," complete Schedule D, Part XI	12a	No
b Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional	12b Yes	
13 Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E	13	No
14a Did the organization maintain an office, employees, or agents outside of the United States?	14a Yes	
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Parts I and IV	14b Yes	
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If "Yes," complete Schedule F, Parts II and IV	15	No
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If "Yes," complete Schedule F, Parts III and IV	16	No
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I (see instructions)	17	No
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II	18	No
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III	19	No
20a Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H	20a	No
b If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20b	
21 Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II	21 Yes	

Part IV

Checklist of Required Schedules (continued)

		Yes	No
22	Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and III	22	No
23	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? If "Yes," complete Schedule J	23	Yes
24a	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a	24a	Yes
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b	No
c	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c	No
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d	No
25a	Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I	25a	No
b	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I	25b	No
26	Did the organization report any amount on Part X, line 5 or 22 for receivables from or payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons?	26	No
27	If "Yes," complete Schedule L, Part I. Did the organization provide a grant or other assistance to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or employee thereof, a grant selection committee member, or to a 35% controlled entity (including an employee thereof) or family member of any of these persons? If "Yes," complete Schedule L, Part III	27	No
28	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
a	A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? If "Yes," complete Schedule L, Part IV	28a	No
b	A family member of any individual described in line 28a? If "Yes," complete Schedule L, Part IV	28b	No
c	A 35% controlled entity of one or more individuals and/or organizations described in lines 28a or 28b? If "Yes," complete Schedule L, Part IV	28c	No
29	Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M	29	No
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions?	30	No
31	If "Yes," complete Schedule M. Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, Part I	31	No
32	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes," complete Schedule N, Part II	32	No
33	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3?	33	Yes
34	Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1	34	Yes
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a	Yes
b	If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2	35b	Yes
36	Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R, Part V, line 2	36	Yes
37	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, Part VI	37	No
38	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? Note. All Form 990 filers are required to complete Schedule O.	38	Yes

Part V

Statements Regarding Other IRS Filings and Tax Compliance

Check if Schedule O contains a response or note to any line in this Part V

☒

		Yes	No
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a	971
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b	0
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c	

Part V		Statements Regarding Other IRS Filings and Tax Compliance (continued)		
2a Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return		2a	5,290	
b If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)		2b	Yes	
3a Did the organization have unrelated business gross income of \$1,000 or more during the year?		3a	Yes	
b If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation in Schedule O		3b	Yes	
4a At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?		4a	Yes	
b BN, CB, CH, CS, CG, EC, EG, ES, ET, FR, GH, GT, GV, HA, HK, IN, ID, JO, KE, LA, LI, MI, MY, MO, NZ, NP, NT, NL, OC, OF, OR, OW, PW, SC, SF, SP, SW, TZ, TH, UG, UP, AE, UK, ZA, ZI				
5a Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? If "Yes," enter the name of the foreign country		5a		No
b Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR), to line 5a or 5b, did the organization file Form 8886-T?		5b		No
c		5c		
6a Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?		6a		No
b If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?		6b		
7 Organizations that may receive deductible contributions under section 170(c).				
a Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?		7a		No
b If "Yes," did the organization notify the donor of the value of the goods or services provided?		7b		
c Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?		7c		No
d If "Yes," indicate the number of Forms 8282 filed during the year		7d		
e Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		7e		No
f Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		7f		No
g If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?		7g		
h If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?		7h		
8 Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?				
9 Sponsoring organizations maintaining donor advised funds.				
a Did the sponsoring organization make any taxable distributions under section 4966?		9a		
b Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?		9b		
10 Section 501(c)(7) organizations. Enter:				
a Initiation fees and capital contributions included on Part VIII, line 12		10a		
b Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities		10b		
11 Section 501(c)(12) organizations. Enter:				
a Gross income from members or shareholders		11a		
b Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)		11b		
12a Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?				
b If "Yes," enter the amount of tax-exempt interest received or accrued during the year		12b		
13 Section 501(c)(29) qualified nonprofit health insurance issuers.				
a Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O.		13a		
b Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans		13b		
c Enter the amount of reserves on hand		13c		
14a Did the organization receive any payments for indoor tanning services during the tax year?		14a		No
b If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O		14b		
15 Is the organization subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year?		15	Yes	
16 If the organization is subject to the section 4968 excise tax on net investment income? If "Yes," complete Form 4720, Schedule O.		16		No

Part VI

Governance, Management, and Disclosure

For each "Yes" response to lines 2 through 7b below, and for a "No" response to lines 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI

☒

Section A. Governing Body and Management

			Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year.	17		
	If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.			
b	Enter the number of voting members included in line 1a, above, who are independent.	8		
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	2	Yes	
3	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?	3		No
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4		No
5	Did the organization become aware during the year of a significant diversion of the organization's assets?	5		No
6	Did the organization have members or stockholders?	6	Yes	
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body?	7a	Yes	
b	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body?	7b	Yes	
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:			
a	The governing body?	8a	Yes	
b	Each committee with authority to act on behalf of the governing body?	8b	Yes	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O.	9		No

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

			Yes	No
10a	Did the organization have local chapters, branches, or affiliates?	10a		No
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?	10b		
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?	11a	Yes	
b	Describe in Schedule O the process, if any, used by the organization to review this Form 990.			
12a	Did the organization have a written conflict of interest policy? If "No," go to line 13.	12a	Yes	
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	Yes	
c	Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done.	12c	Yes	
13	Did the organization have a written whistleblower policy?	13	Yes	
14	Did the organization have a written document retention and destruction policy?	14	Yes	
15	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?			
a	The organization's CEO, Executive Director, or top management official.	15a	Yes	
b	Other officers or key employees of the organization.	15b	Yes	
	If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).			
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?	16a		No
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements?	16b		

Section C. Disclosure

17	List the states with which a copy of this Form 990 is required to be filed.	CA, GA, MA
18	Section 6104 requires an organization to make its Form 1023 (or 1024-A if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply. ☐ Own website ☐ Another's website ☒ Upon request ☐ Other (explain in Schedule O)	
19	Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.	
20	State the name, address, and telephone number of the person who possesses the organization's books and records: Michael H Kaelin Jr Chief Financial Officer PO BOX 12194 Research Triangle Park, NC 277092194 (919) 541-6000	

Part VII

Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, or highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

See instructions for the order in which to list the persons above.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
(1) E Holden President	40.00	X		X				1,590,642	0	253,115
(2) J Gibson Vice President	40.00			X				876,141	0	144,495
(3) T Magnuson Board Member	2.00 40.00	X						68,250	869,814	0
(4) S Kornbluth New 12520 Board Member	2.00 40.00	X						0	867,522	46,176
(5) A Mangel Vice President	40.00			X				761,281	0	133,072
(6) M Kaelin Jr Vice President & CFO	40.00			X				757,636	0	135,092
(7) T Gabel Vice President	40.00			X				753,629	0	136,680
(8) P Weisenfeld Vice President	40.00			X				747,537	0	102,420
(9) G Story Secretary	40.00			X				693,090	0	120,784
(10) L May Vice President	40.00			X				629,484	0	119,610
(11) L Carin Separated 1821 Board Member	2.00 40.00	X						48,125	498,739	67,319
(12) P Collier Divisional Director	40.00					X		503,083	0	38,728
(13) C Hill Divisional Director	40.00					X		470,775	0	51,472
(14) C Simmons Divisional Director	40.00					X		449,415	0	57,791
(15) W Arden Board Member	2.00 40.00	X						47,750	454,555	0
(16) A Roussel Divisional Director	40.00					X		430,892	0	42,881
(17) S Earnshaw Divisional Director	40.00					X		424,665	0	49,107

Part VII

Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional Trustee	Officer	Key employee	Highest compensated employee	Former			
(18) H Martin Board Member	2.00 40.00	X						68,250	394,000	0
(19) E Sax Treasurer	40.00			X				393,365	0	43,015
(20) C Buchholtz Assistant Secretary	40.00			X				359,520	0	51,899
(21) F Gilliam New 31821 Board Member	2.00 40.00	X						0	409,000	0
(22) C Cornwell Vice President	40.00			X				335,442	0	42,181
(23) A Helwig Vice President	40.00			X				342,787	0	19,902
(24) T Piccione Separated 9420 Former Vice President	40.00						X	265,102	0	42,498
(25) P Scott III Chairman	2.00	X						105,188	0	0
(26) R Williams New 62521 Board Member	2.00 40.00	X						0	73,054	25,786
(27) H Pinnix-Ragland Board Member	2.00	X						77,375	0	0
(28) J Moellering Board Member	2.00	X						67,500	2,750	0
(29) C Shaffer Board Member	2.00	X						68,000	0	0
(30) C Carter Separated 92220 Former Board Member	2.00 40.00						X	64,000	0	0
(31) R Ingram Board Member	2.00	X						49,000	0	0
(32) T Darden Board Member	2.00	X						48,125	0	0
(33) P Lange Board Member	1.00 40.50	X						48,125	0	0
(34) W Mitchell Board Member	2.00	X						43,500	0	0
(35) B Winn Separated 123120 Board Member	2.00 40.00	X						25,000	0	0
(36) M Powell New 31821 Board Member	2.00	X						0	0	0
(37) C Nye New 31821 Board Member	2.00	X						0	0	0

1b Sub-Total			
c Total from continuation sheets to Part VII, Section A			
d Total (add lines 1b and 1c)	11,612,674	3,569,434	1,724,023

2

Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization

1,491

		Yes	No
3	Did the organization list any former officer, director or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i>	3 Yes	
4	For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i>	4 Yes	
5	Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i>	5	No

Section B. Independent Contractors

1

Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
HR Directions 805 Spring Forest Road Raleigh, NC 27609	Contract Labor	26,183,945
Telligen 1776 West Lakes Parkway West Des Moines, IA 502667771	Health Management	15,677,019
IMPAQ International LLC 10420 LITTLE PATUXENT PKWY STE 300 Columbia, MD 21044	Health Management	6,898,176
Tetra Tech Inc 3475 E Foothill Blvd Pasadena, CA 91107	Contract Labor	6,225,240
IMA World Health 500 Main Street New Windsor, MD 21776	Construction Labor	5,694,478

2

Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization

292

Part VIII

Statement of Revenue

Check if Schedule O contains a response or note to any line in this Part VIII

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512 - 514	
Contributions, Gifts, Grants and Other Similar Amounts	1a Federated campaigns . . .		1a					
	b Membership dues . . .		1b					
	c Fundraising events . . .		1c					
	d Related organizations		1d					
	e Government grants (contributions)		1e					
	f All other contributions, gifts, grants, and similar amounts not included above		1f					
	g Noncash contributions included in lines 1a - 1f:\$		1g					
h Total. Add lines 1a-1f								
Program Service Revenue	2a Research		Business Code					
	541700			825,028,870	812,307,447	12,721,423		
	b International Development		541900		252,919,625	252,919,625		
	c							
	d							
	e							
	f All other program service revenue.							
g Total. Add lines 2a-2f.				1,077,948,495				
Other Revenue	3 Investment income (including dividends, interest, and other similar amounts)				4,388,716			4,388,716
	4 Income from investment of tax-exempt bond proceeds							
	5 Royalties							
		(i) Real	(ii) Personal					
	6a Gross rents	6a						
	b Less: rental expenses	6b						
	c Rental income or (loss)	6c						
	d Net rental income or (loss)							
		(i) Securities	(ii) Other					
	7a Gross amount from sales of assets other than inventory	7a	29,557,556	11,014,727				
	b Less: cost or other basis and sales expenses	7b	29,557,556	11,252,558				
	c Gain or (loss)	7c	0	-237,831				
	d Net gain or (loss)				-237,831			-237,831
	8a Gross income from fundraising events (not including \$ of contributions reported on line 1c). See Part IV, line 18			8a				
	b Less: direct expenses			8b				
	c Net income or (loss) from fundraising events							
	9a Gross income from gaming activities. See Part IV, line 19			9a				
	b Less: direct expenses			9b				
	c Net income or (loss) from gaming activities							
	10a Gross sales of inventory, less returns and allowances			10a				
b Less: cost of goods sold			10b					
c Net income or (loss) from sales of inventory								
Miscellaneous Revenue			Business Code					
11a Foreign Currency Gain(Loss)			900099	155,365	155,365			
b								
c								
d All other revenue								
e Total. Add lines 11a-11d				155,365				
12 Total revenue. See instructions				1,082,254,745	1,065,382,437	12,721,423	4,150,885	

Part IX

Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).
Check if Schedule O contains a response or note to any line in this Part IX ☒

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21	751,001	751,001		
2 Grants and other assistance to domestic individuals. See Part IV, line 22				
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16.	19,887	19,887		
4 Benefits paid to or for members				
5 Compensation of current officers, directors, trustees, and key employees	14,664,211		14,664,211	
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages	355,396,512	310,917,613	44,478,899	
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	25,869,416	20,027,996	5,841,420	
9 Other employee benefits	108,815,273	84,244,338	24,570,935	
10 Payroll taxes	25,542,725	19,775,073	5,767,652	
11 Fees for services (non-employees):				
a Management				
b Legal	1,930,428	102,582	1,827,846	
c Accounting	614,624	116,004	498,620	
d Lobbying	268,177		268,177	
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O)	434,625,555	418,798,298	15,827,257	
12 Advertising and promotion	101,740		101,740	
13 Office expenses	14,317,632	11,512,367	2,805,265	
14 Information technology	22,260,292	20,026,513	2,233,779	
15 Royalties	628,033	628,033		
16 Occupancy	17,328,945	36,526,883	-19,197,938	
17 Travel	5,958,200	5,872,295	85,905	
18 Payments of travel or entertainment expenses for any federal, state, or local public officials				
19 Conferences, conventions, and meetings	11,397,706	10,830,624	567,082	
20 Interest	2,596,794	3,735	2,593,059	
21 Payments to affiliates				
22 Depreciation, depletion, and amortization	16,153,955	1,609,754	14,544,201	
23 Insurance	2,185,486	734,603	1,450,883	
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a Miscellaneous	3,849,182	3,454,427	394,755	
b Memberships	1,382,247	369,429	1,012,818	
c Taxes	877,108		877,108	
d Business Meals	72,791	45,701	27,090	
e All other expenses				
25 Total functional expenses. Add lines 1 through 24e	1,067,607,920	946,367,156	121,240,764	0
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here ☐ if following SOP 98-2 (ASC 958-720).				

Part X

Balance Sheet

Check if Schedule O contains a response or note to any line in this Part IX

☐

				(A) Beginning of year		(B) End of year
Assets	1	Cash—non-interest-bearing			1	
	2	Savings and temporary cash investments		63,379,745	2	57,959,763
	3	Pledges and grants receivable, net			3	
	4	Accounts receivable, net		188,966,728	4	256,676,150
	5	Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons			5	
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B)			6	
	7	Notes and loans receivable, net			7	
	8	Inventories for sale or use			8	
	9	Prepaid expenses and deferred charges		16,764,366	9	17,748,614
	10a	Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a350,326,832			
	b	Less: accumulated depreciation	10b192,290,972	167,690,044	10c	158,035,860
	11	Investments—publicly traded securities		176,752,439	11	208,683,584
	12	Investments—other securities. See Part IV, line 11		72,405,542	12	87,686,085
	13	Investments—program-related. See Part IV, line 11			13	
	14	Intangible assets			14	26,251,349
	15	Other assets. See Part IV, line 11		48,630,818	15	50,679,179
16	Total assets. Add lines 1 through 15 (must equal line 33)		734,589,682	16	863,720,584	
Liabilities	17	Accounts payable and accrued expenses		166,557,706	17	215,689,848
	18	Grants payable			18	
	19	Deferred revenue		45,851,344	19	57,337,639
	20	Tax-exempt bond liabilities		55,996,557	20	50,111,461
	21	Escrow or custodial account liability. Complete Part IV of Schedule D			21	
	22	Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons			22	
	23	Secured mortgages and notes payable to unrelated third parties			23	
	24	Unsecured notes and loans payable to unrelated third parties			24	
	25	Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17 - 24). Complete Part X of Schedule D		31,141,269	25	42,660,120
	26	Total liabilities. Add lines 17 through 25		299,546,876	26	365,799,068
Net Assets or Fund Balances	Organizations that follow FASB ASC 958, check here ☒ and complete lines 27, 28, 32, and 33.					
	27	Net assets without donor restrictions		432,664,407	27	495,452,892
	28	Net assets with donor restrictions		2,378,399	28	2,468,624
	Organizations that do not follow FASB ASC 958, check here ☐ and complete lines 29 through 33.					
	29	Capital stock or trust principal, or current funds			29	
	30	Paid-in or capital surplus, or land, building or equipment fund			30	
	31	Retained earnings, endowment, accumulated income, or other funds			31	
	32	Total net assets or fund balances		435,042,806	32	497,921,516
	33	Total liabilities and net assets/fund balances		734,589,682	33	863,720,584

Part XI

Reconciliation of Net Assets

Check if Schedule O contains a response or note to any line in this Part XI

1	Total revenue (must equal Part VIII, column (A), line 12)	1	1,082,254,745
2	Total expenses (must equal Part IX, column (A), line 25)	2	1,067,607,920
3	Revenue less expenses. Subtract line 2 from line 1	3	14,646,825
4	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A))	4	435,042,806
5	Net unrealized gains (losses) on investments	5	51,976,694
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	-3,744,809
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (A))	10	497,921,516

Part XII

Financial Statements and Reporting

Check if Schedule O contains a response or note to any line in this Part XII

	Yes	No
1 Accounting method used to prepare the Form 990: ☐ Cash ☒ Accrual ☐ Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.		
2a Were the organization's financial statements compiled or reviewed by an independent accountant? If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: ☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis		No
b Were the organization's financial statements audited by an independent accountant? If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: ☐ Separate basis ☒ Consolidated basis ☐ Both consolidated and separate basis	Yes	
c If "Yes," to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.	Yes	
3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?	Yes	
b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits.	Yes	

Additional Data

Return to Form

Software ID:

Software Version:

Form 990, Special Condition Description:

Special Condition Description

SCHEDULE A

(Form 990 or 990-EZ)

Department of the Treasury

Internal Revenue Service

Name of the organization

Research Triangle Institute

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ.

▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public Inspection

Employer identification number

56-0686338

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

- 1

☐

A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2

☐

A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E (Form 990 or 990-EZ).)
- 3

☐

A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4

☐

A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state:
- 5

☐

An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6

☐

A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7

☐

An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8

☐

A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9

☐

An agricultural research organization described in **170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land grant college of agriculture. See instructions. Enter the name, city, and state of the college or university:
- 10

☐

An organization that normally receives: (1) more than 33¹/₃% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33¹/₃% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)
- 11

☐

An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 12

☒

An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2).** See **section 509(a)(3).** Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
- a

☒

Type I. A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
- b

☐

Type II. A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
- c

☐

Type III functionally integrated. A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
- d

☐

Type III non-functionally integrated. A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
- e

☐

Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
- f

Enter the number of supported organizations

2
- g

Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1- 10 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
(A) Duke University	560532129	2	Yes		0	0
(B) The University of North Carolina(UNC System)	566001393	2	Yes		0	0
Total	2				0	0

Part II

Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)
(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization failed to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ►	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grant.") . . .						
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge..						
4 Total. Add lines 1 through 3						
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) . . .						
6 Public support. Subtract line 5 from line 4.						

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
7 Amounts from line 4. . .						
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
9 Net income from unrelated business activities, whether or not the business is regularly carried on . . .						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.). . .						
11 Total support. Add lines 7 through 10						

12 Gross receipts from related activities, etc. (see instructions)

12

13 First 5 years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and **stop here**

☐

Section C. Computation of Public Support Percentage

14 Public support percentage for 2020 (line 6, column (f) divided by line 11, column (f))	14	
15 Public support percentage for 2019 Schedule A, Part II, line 14	15	

16a 33 1/3% support test—2020. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization

☐

b 33 1/3% support test—2019. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and **stop here.** The organization qualifies as a publicly supported organization

☐

17a 10%-facts-and-circumstances test—2020. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization

☐

b 10%-facts-and-circumstances test—2019. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and **stop here.** Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization

☐

18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions

☐

Part IIISupport Schedule for Organizations Described in Section 509(a)(2)
(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

Section A. Public Support						
Calendar year (or fiscal year beginning in) ▶	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") .						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year.						
c Add lines 7a and 7b. .						
8 Public support. (Subtract line 7c from line 6.)						

Section B. Total Support						
Calendar year (or fiscal year beginning in) ▶	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) 2020	(f) Total
9 Amounts from line 6. . .						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . .						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975.						
c Add lines 10a and 10b.						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on.						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . .						
13 Total support. (Add lines 9, 10c, 11, and 12.) . .						
14 First 5 years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here.						

Section C. Computation of Public Support Percentage		
15 Public support percentage for 2020 (line 8, column (f) divided by line 13, column (f))	15	
16 Public support percentage from 2019 Schedule A, Part III, line 15	16	

Section D. Computation of Investment Income Percentage		
17 Investment income percentage for 2020 (line 10c, column (f) divided by line 13, column (f))	17	
18 Investment income percentage from 2019 Schedule A, Part III, line 17	18	
19a 33 1/3% support tests—2020. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization		
b 33 1/3% support tests—2019. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3% and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization		
20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions		

Part IV Supporting Organizations

(Complete only if you checked a box on line 12 of Part I. If you checked box 12a, of Part I, complete Sections A and B. If you checked box 12b, of Part I, complete Sections A and C. If you checked box 12c, of Part I, complete Sections A, D, and E. If you checked box 12d, of Part I, complete Sections A and D, and complete Part V.)

Section A. All Supporting Organizations

		Yes	No
1	Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i>		
2	Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i>		
3a	Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer lines 3b and 3c below.</i>		No
b	Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i>		
c	Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i>		
4a	Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes" and if you checked box 12a or 12b in Part I, answer lines 4b and 4c below.</i>		No
b	Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i>		
c	Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i>		
5a	Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer lines 5b and 5c below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).</i>		No
b	Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document?		
c	Substitutions only. Was the substitution the result of an event beyond the organization's control?		
6	Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i>	Yes	
7	Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ) .</i>		No
8	Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>		No
9a	Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons, as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i>		No
b	Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i>		No
c	Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i>		No
10a	Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer line 10b below.</i>		No
b	Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings).</i>		

Part IV Supporting Organizations (continued)

	Yes	No
11 Has the organization accepted a gift or contribution from any of the following persons?		
a A person who directly or indirectly controls, either alone or together with persons described in lines 11b and 11c below, the governing body of a supported organization?		
11a		No
b A family member of a person described in 11a above?		No
11b		No
c A 35% controlled entity of a person described in line 11a or 11b above? If "Yes" to 11a, 11b, or 11c, provide detail in Part VI		No
11c		No

Section B. Type I Supporting Organizations

	Yes	No
1 Did the officers, directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.		
1	Yes	
2 Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised or controlled the supporting organization.		No
2		No

Section C. Type II Supporting Organizations

	Yes	No
1 Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).		
1		

Section D. All Type III Supporting Organizations

	Yes	No
1 Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?		
1		
2 Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).		
2		
3 By reason of the relationship described in line 2 above, did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.		
3		

Section E. Type III Functionally-Integrated Supporting Organizations

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions):			
a ☐ The organization satisfied the Activities Test. Complete line 2 below.			
b ☐ The organization is the parent of each of its supported organizations. Complete line 3 below.			
c ☐ The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions)			
2 Activities Test. Answer lines 2a and 2b below.			
a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.			
2a			
b Did the activities described in line 2a constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.			
2b			
3 Parent of Supported Organizations. Answer lines 3a and 3b below.			
a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? If "Yes" or "No" provide details in Part VI.			
3a			
b Did the organization exercise a substantial degree of direction over the policies, programs and activities of each of its supported organizations? If "Yes," describe in Part VI. the role played by the organization in this regard.			
3b			

Part V **Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (*explain in **Part VI***). **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A - Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1	
2	Recoveries of prior-year distributions	2	
3	Other gross income (see instructions)	3	
4	Add lines 1 through 3	4	
5	Depreciation and depletion	5	
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6	
7	Other expenses (see instructions)	7	
8	Adjusted Net Income (subtract lines 5, 6 and 7 from line 4)	8	

Section B - Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):	1	
a	Average monthly value of securities	1a	
b	Average monthly cash balances	1b	
c	Fair market value of other non-exempt-use assets	1c	
d	Total (add lines 1a, 1b, and 1c)	1d	
e	Discount claimed for blockage or other factors (<i>explain in detail in Part VI</i>):		
2	Acquisition indebtedness applicable to non-exempt use assets	2	
3	Subtract line 2 from line 1d	3	
4	Cash deemed held for exempt use. Enter 0.015 of line 3 (for greater amount, see instructions).	4	
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5	
6	Multiply line 5 by 0.035	6	
7	Recoveries of prior-year distributions	7	
8	Minimum Asset Amount (add line 7 to line 6)	8	

Section C - Distributable Amount			Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1	
2	Enter 85% of line 1	2	
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3	
4	Enter greater of line 2 or line 3	4	
5	Income tax imposed in prior year	5	
6	Distributable Amount. Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	6	

7 ☐ Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)

Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)		
Section D - Distributions		Current Year
1 Amounts paid to supported organizations to accomplish exempt purposes	1	
2 Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	2	
3 Administrative expenses paid to accomplish exempt purposes of supported organizations	3	
4 Amounts paid to acquire exempt-use assets	4	
5 Qualified set-aside amounts (prior IRS approval required - provide details in Part VI)	5	
6 Other distributions (describe in Part VI). See instructions	6	
7 Total annual distributions. Add lines 1 through 6.	7	
8 Distributions to attentive supported organizations to which the organization is responsive (provide details in Part VI). See instructions	8	
9 Distributable amount for 2020 from Section C, line 6	9	
10 Line 8 amount divided by Line 9 amount	10	

Section E - Distribution Allocations (see instructions)	(i) Excess Distributions	(ii) Underdistributions Pre-2020	(iii) Distributable Amount for 2020
1 Distributable amount for 2020 from Section C, line 6			
2 Underdistributions, if any, for years prior to 2020 (reasonable cause required-- explain in Part VI). See instructions.			
3 Excess distributions carryover, if any, to 2020:			
a From 2015.			
b From 2016.			
c From 2017.			
d From 2018.			
e From 2019.			
f Total of lines 3a through e			
g Applied to underdistributions of prior years			
h Applied to 2020 distributable amount			
i Carryover from 2015 not applied (see instructions)			
j Remainder. Subtract lines 3g, 3h, and 3i from line 3f.			
4 Distributions for 2020 from Section D, line 7: \$			
a Applied to underdistributions of prior years			
b Applied to 2020 distributable amount			
c Remainder. Subtract lines 4a and 4b from line 4.			
5 Remaining underdistributions for years prior to 2020, if any. Subtract lines 3g and 4a from line 2. If the amount is greater than zero, explain in Part VI . See instructions.			
6 Remaining underdistributions for 2020. Subtract lines 3h and 4b from line 1. If the amount is greater than zero, explain in Part VI. See instructions.			
7 Excess distributions carryover to 2021. Add lines 3j and 4c.			
8 Breakdown of line 7:			
a Excess from 2016.			
b Excess from 2017.			
c Excess from 2018.			
d Excess from 2019.			
e Excess from 2020.			

Part VI **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions).

Facts And Circumstances Test

Return Reference	Explanation
Schedule A, Part I, Line 12g(i)	General Explanation: Three North Carolina Universities; Duke University in Durham, The University of North Carolina in Chapel Hill and North Carolina State University in Raleigh, incorporated RTI in 1958. We are a separately operated affiliate of these schools and maintain our own staff and offices. We work with their scientists on research programs and projects and maintain such universities and businesses in the Microelectronics Center of North Carolina and North Carolina Biotechnology Center.
Schedule A, Part IV, Line 6	RTI grants money to organizations based on its community-oriented mission.

Additional Data

[Return to Form](#)

Software ID:

Software Version:

If the organization answered "Yes" on Form 990, Part IV, Line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

If the organization answered "Yes" on Form 990, Part IV, Line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

If the organization answered "Yes" on Form 990, Part IV, Line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of the organization Research Triangle Institute	Employer identification number 56-0686338
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Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.

1	Provide a description of the organization's direct and indirect political campaign activities in Part IV (see instructions for definition of "political campaign activities")	
2	Political campaign activity expenditures (see instructions)	\$
3	Volunteer hours for political campaign activities (see instructions)	

Part I-B Complete if the organization is exempt under section 501(c)(3).

1	Enter the amount of any excise tax incurred by the organization under section 4955	\$
2	Enter the amount of any excise tax incurred by organization managers under section 4955	\$
3	If the organization incurred a section 4955 tax, did it file Form 4720 for this year?	☐ Yes ☐ No
4a	Was a correction made?	☐ Yes ☐ No
b	If "Yes," describe in Part IV.	

Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).

1	Enter the amount directly expended by the filing organization for section 527 exempt function activities	\$
2	Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities	\$
3	Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b	\$
4	Did the filing organization file Form 1120-POL for this year?	☐ Yes ☐ No
5	Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.	

(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds. If none, enter -0-.	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-.
1				
2				
3				
4				
5				
6				

Part II-A

Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).

- A Check ☐ if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).
- B Check ☐ if the filing organization checked box A and "limited control" provisions apply.

Limits on Lobbying Expenditures (The term "expenditures" means amounts paid or incurred.)		(a) Filing organization's totals	(b) Affiliated group totals												
1a Total lobbying expenditures to influence public opinion (grass roots lobbying)															
b Total lobbying expenditures to influence a legislative body (direct lobbying)															
c Total lobbying expenditures (add lines 1a and 1b)															
d Other exempt purpose expenditures															
e Total exempt purpose expenditures (add lines 1c and 1d)															
f Lobbying nontaxable amount. Enter the amount from the following table in both columns.															
<table><tr><th>If the amount on line 1e, column (a) or (b) is:</th><th>The lobbying nontaxable amount is:</th></tr><tr><td>Not over \$500,000</td><td>20% of the amount on line 1e.</td></tr><tr><td>Over \$500,000 but not over \$1,000,000</td><td>\$100,000 plus 15% of the excess over \$500,000.</td></tr><tr><td>Over \$1,000,000 but not over \$1,500,000</td><td>\$175,000 plus 10% of the excess over \$1,000,000.</td></tr><tr><td>Over \$1,500,000 but not over \$17,000,000</td><td>\$225,000 plus 5% of the excess over \$1,500,000.</td></tr><tr><td>Over \$17,000,000</td><td>\$1,000,000.</td></tr></table>		If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:	Not over \$500,000	20% of the amount on line 1e.	Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.	Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.	Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.	Over \$17,000,000	\$1,000,000.		
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:														
Not over \$500,000	20% of the amount on line 1e.														
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.														
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.														
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.														
Over \$17,000,000	\$1,000,000.														
g Grassroots nontaxable amount (enter 25% of line 1f)															
h Subtract line 1g from line 1a. If zero or less, enter -0-															
i Subtract line 1f from line 1c. If zero or less, enter -0-															
j If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year?		☐ Yes ☐ No													

4-Year Averaging Period Under Section 501(h)
(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)

Lobbying Expenditures During 4-Year Averaging Period					
Calendar year (or fiscal year beginning in)	(a) 2017	(b) 2018	(c) 2019	(d) 2020	(e) Total
2a Lobbying nontaxable amount					
b Lobbying ceiling amount (150% of line 2a, column(e))					
c Total lobbying expenditures					
d Grassroots nontaxable amount					
e Grassroots ceiling amount (150% of line 2d, column (e))					
f Grassroots lobbying expenditures					

Part II-B

Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).

For each "Yes" response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.

		(a)		(b)
		Yes	No	Amount
1	During the year, did the filing organization attempt to influence foreign, national, state or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
a	Volunteers?		No	
b	Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?	Yes		
c	Media advertisements?		No	
d	Mailings to members, legislators, or the public?		No	
e	Publications, or published or broadcast statements?		No	
f	Grants to other organizations for lobbying purposes?		No	
g	Direct contact with legislators, their staffs, government officials, or a legislative body?	Yes		268,177
h	Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		No	
i	Other activities?		No	
j	Total. Add lines 1c through 1i			268,177
2a	Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?		No	
b	If "Yes," enter the amount of any tax incurred under section 4912			
c	If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
d	If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

Part III-A

Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).

		Yes	No
1	Were substantially all (90% or more) dues received nondeductible by members?	1	
2	Did the organization make only in-house lobbying expenditures of \$2,000 or less?	2	
3	Did the organization agree to carry over lobbying and political expenditures from the prior year?	3	

Part III-B

Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No" OR (b) Part III-A, line 3, is answered "Yes."

1	Dues, assessments and similar amounts from members	1	
2	Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).		
a	Current year	2a	
b	Carryover from last year	2b	
c	Total	2c	
3	Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues .	3	
4	If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	4	
5	Taxable amount of lobbying and political expenditures (see instructions)	5	

Part IV

Supplemental Information

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (see instructions), and Part II-B, line 1. Also, complete this part for any additional information.

Return Reference	Explanation
Schedule C, Part II-B, Line 1 -	Research Triangle Institute communicates the results of its independent objective research with government officials; protects its reputation for independence, objectivity and quality and seeks sufficient federal budgets for certain fields of research and development.

Additional Data

Return to Form

Software ID:

Software Version:

Name of the organization
Research Triangle Institute

Employer identification number
56-0686338

Part I

Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.
Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
1	Total number at end of year	
2	Aggregate value of contributions to (during year)	
3	Aggregate value of grants from (during year)	
4	Aggregate value at end of year	

5

Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control?

☐ Yes ☐ No

6

Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit?

☐ Yes ☐ No

Part II

Conservation Easements.
Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

1

Purpose(s) of conservation easements held by the organization (check all that apply).
☐ Preservation of land for public use (e.g., recreation or education) ☐ Preservation of an historically important land area
☐ Protection of natural habitat ☐ Preservation of a certified historic structure
☐ Preservation of open space

2

Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year.

	Held at the End of the Year
a	Total number of conservation easements
b	Total acreage restricted by conservation easements
c	Number of conservation easements on a certified historic structure included in (a)
d	Number of conservation easements included in (c) acquired after 7/25/06, and not on a historic structure listed in the National Register

3

Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ▶ _____

4

Number of states where property subject to conservation easement is located ▶ _____

5

Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds?

☐ Yes ☐ No

6

Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year
▶ _____

7

Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year
▶ \$ _____

8

Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)?

☐ Yes ☐ No

9

In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements.

Part III

Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.
Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

1a

If the organization elected, as permitted under FASB ASC 958, not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items.

b

If the organization elected, as permitted under FASB ASC 958, to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items:
(i) Revenue included on Form 990, Part VIII, line 1 ▶ \$ _____
(ii) Assets included in Form 990, Part X ▶ \$ _____

2

If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under FASB ASC 958 relating to these items:
a Revenue included on Form 990, Part VIII, line 1 ▶ \$ _____
b Assets included in Form 990, Part X ▶ \$ _____

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)

3

Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):

a

☐ Public exhibition

b

☐ Scholarly research

c

☐ Preservation for future generations

d

☐ Loan or exchange programs

e

☐ Other

4

Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5

During the year, did the organization solicit or receive donations of art, historical treasures or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? . . .

☐ Yes

☐ No

Part IV Escrow and Custodial Arrangements.

Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a

Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X?

☐ Yes

☐ No

b

If "Yes," explain the arrangement in Part XIII and complete the following table:

c

Beginning balance

d

Additions during the year

e

Distributions during the year

f

Ending balance

	Amount
1c	
1d	
1e	
1f	

2a

Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? . . .

☐ Yes

☐ No

b

If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided in Part XIII

☐

Part V Endowment Funds.

Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

2

Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

a

Board designated or quasi-endowment ▶

b

Permanent endowment ▶

c

Term endowment ▶

The percentages on lines 2a, 2b, and 2c should equal 100%.

3a

Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

(i) Unrelated organizations

(ii) Related organizations

b

If "Yes" on 3a(ii), are the related organizations listed as required on Schedule R?

	Yes	No
3a(i)		
3a(ii)		
3b		

4

Describe in Part XIII the intended uses of the organization's endowment funds.

Part VI Land, Buildings, and Equipment.

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land		2,674,413		2,674,413
b Buildings		246,503,378	117,507,509	128,995,869
c Leasehold improvements				
d Equipment		95,256,703	74,783,463	20,473,240
e Other		5,892,338		5,892,338
Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c).) . . . ▶				158,035,860

Schedule D (Form 990) 2020

Part VIIInvestments—Other Securities. Complete if the organization answered "Yes" on Form 990, Part IV, line 11b.See Form 990, Part X, line 12.		
(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other _____		
(A) Global Endowment Fund II	87,686,085	C
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
(I)		
Total. (Column (b) must equal Form 990, Part X, col. (B) line 12.)	87,686,085	

Part VIIIInvestments—Program Related. Complete if the organization answered 'Yes' on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.		
(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
(10)		
Total. (Column (b) must equal Form 990, Part X, col.(B) line 13.)		

Part IXOther Assets. Complete if the organization answered 'Yes' on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.	
(a) Description	(b) Book value
(1)Other Non Current Assets-Syntegrity/IRG	32,596,403
(2)Investment in Affiliate	16,269,085
(3)G W Hill (Perm Restricted)	1,813,691
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
Total. (Column (b) must equal Form 990, Part X, col.(B) line 15.)	50,679,179

Part XOther Liabilities. Complete if the organization answered 'Yes' on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.	
1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. (Column (b) must equal Form 990, Part X, col.(B) line 25.)	42,660,120

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII ☒

Part XI

Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements		1	
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:			
a	Net unrealized gains (losses) on investments	2a		
b	Donated services and use of facilities	2b		
c	Recoveries of prior year grants	2c		
d	Other (Describe in Part XIII.)	2d		
e	Add lines 2a through 2d		2e	
3	Subtract line 2e from line 1		3	
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a		
b	Other (Describe in Part XIII.)	4b		
c	Add lines 4a and 4b		4c	
5	Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.)		5	

Part XII

Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements		1	
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:			
a	Donated services and use of facilities	2a		
b	Prior year adjustments	2b		
c	Other losses	2c		
d	Other (Describe in Part XIII.)	2d		
e	Add lines 2a through 2d		2e	
3	Subtract line 2e from line 1		3	
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a		
b	Other (Describe in Part XIII.)	4b		
c	Add lines 4a and 4b		4c	
5	Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.)		5	

Part XIII

Supplemental Information

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

Return Reference	Explanation
Schedule D, Part X, Line 2 -	As provided by Section 501(c)(3) of the IRC and the Internal Revenue Service's determination, the Institute's charitable, scientific, and educational operations are exempt from corporate income taxes and no provision for corporate income taxes is generally required. However, this tax exemption does not pertain to activities unrelated to the Institute's exempt purposes. The Institute's presence in certain foreign countries results in income taxation in these countries. Additionally, the Institute has several for-profit entities subject to corporate income taxation. These for-profit entities' operating losses and goodwill impairments have primarily contributed to a \$3.4 million and a \$5.2 million net deferred tax asset that has been offset with a full valuation allowance, as of the years ended September 30, 2021 and 2020, respectively. Income taxes associated with foreign operations, unrelated business income, and income generated by the Institute's for-profit entities are not material for the Institute. All not-for-profit (NFP) organizations, including the Institute, are subject to the provisions of Financial Accounting Standards Board (FASB) Accounting Standards Codification (ASC) Topic 740, Income Taxes, related to the accounting for uncertainty in tax positions, including the financial statement recognition and measurement of a tax position taken or expected to be taken in a tax return. The tax benefit from an uncertain tax position is only recognized in the consolidated balance sheets if the tax position is more likely than not to be sustained upon examination, based on the technical merits of the position. Interest and penalties, if any, are included in tax expense in the consolidated statements of revenue, costs, and changes in Institute net assets. As of September 30, 2021, and 2020, the Institute had no uncertain tax positions that qualify for recognition or disclosure in the consolidated financial statements.

Additional Data

[Return to Form](#)

Software ID:

Software Version:

SCHEDULE F
(Form 990)

Department of the Treasury
Internal Revenue Service

Name of the organization
Research Triangle Institute

Statement of Activities Outside the United States

▶ Complete if the organization answered "Yes" to Form 990, Part IV, line 14b, 15, or 16.

▶ Attach to Form 990.

▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public Inspection

Employer identification number
56-0686338

Part I

General Information on Activities Outside the United States. Complete if the organization answered "Yes" on Form 990, Part IV, line 14b.

- 1

For grantmakers. Does the organization maintain records to substantiate the amount of its grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance?

YesNo
- 2

For grantmakers. Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.
- 3

Activities per Region. (The following Part I, line 3 table can be duplicated if additional space is needed.)

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in the region	(d) Activities conducted in region (by type) (such as, fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in the region	(f) Total expenditures for and investments in the region
1) Central America and the Caribbean - Antigua & Barbuda, Aruba, Bahamas,	7	75	Program Services	Research of Economic&Social,Education,Energy,Governance&Economics,Health	14,473,327
2) East Asia and the Pacific - Australia, Brunei, Burma, Cambodia,	37	419	Program Services	Research of Economic&Social,Education,Energy,Governance&Economics,Health	38,590,658
3) Europe (Including Iceland & Greenland) - Albania, Andorra, Austria, Belgium	5	113	Program Services	Research of Economic&Social,Education,Energy,Governance&Economics,Health	1,640,475
4) Middle East and North Africa - Algeria, Bahrain, Djibouti, Egypt,	2	41	Program Services	Research of Economic&Social,Education,Energy,Governance&Economics,Health	7,746,607
5) Russia and Neighboring States - Armenia, Azerbaijan, Belarus,	2	79	Program Services	Research of Economic&Social,Education,Energy,Governance&Economics,Health	11,534,065
6) South America - Argentina, Bolivia, Brazil, Chile, Columbia, Ecuador,	0	2	Program Services	Research of Economic&Social,Education,Energy,Governance&Economics,Health,Tech	1,071,636
7) South Asia - Afghanistan, Bangladesh, Bhutan, India, Maldives, Nepal,	0	171	Program Services	Research of Economic&Social,Education,Energy,Governance&Economics,Health	23,155,100
8) Sub-Saharan Africa - Angola, Benin, Botswana, Burkina Faso,	36	700	Program Services	Research of Economic&Social,Education,Energy,Governance&Economics,Health	105,802,979
9) North America - Canada and Mexico, but not the United States	0	4	Program Services	Research of Economic&Social,Education,Energy,Governance&Economics,Health	399,704
10) Sub-Saharan Africa - Angola, Benin, Botswana, Burkina Faso,			Grantmaking		7,437
11) Central America and the Caribbean -			Grantmaking		7,490

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in the region	(d) Activities conducted in region (by type) (such as, fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in the region	(f) Total expenditures for and investments in the region
Antigua & Barbuda, Aruba, Bahamas,					
(12) East Asia and the Pacific - Australia, Brunei, Burma, Cambodia,			Grantmaking		4,959
(13) South Asia - Afghanistan, Bangladesh, Bhutan, India, Maldives, Nepal,			Investment		965,517
(14) East Asia and the Pacific - Australia, Brunei, Burma, Cambodia,			Investment		1,000
(15)					
(16)					
(17)					
3a Sub-total	89	1,600			204,014,847
b Total from continuation sheets to Part I	0	4			1,386,107
c Totals (add lines 3a and 3b)	89	1,604			205,400,954

Part II **Grants and Other Assistance to Organizations or Entities Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Part II can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of noncash assistance	(h) Description of noncash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)									
(2)									
(3)									
(4)									
(5)									
(6)									
(7)									
(8)									
(9)									
(10)									
(11)									
(12)									
(13)									
(14)									
(15)									
(16)									

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter

3 Enter total number of other organizations or entities

Part III **Grants and Other Assistance to Individuals Outside the United States.** Complete if the organization answered "Yes" on Form 990, Part IV, line 16.

Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Region	(c) Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of noncash assistance	(g) Description of noncash assistance	(h) Method of valuation (book, FMV, appraisal, other)
(1)							
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							
(13)							
(14)							
(15)							
(16)							
(17)							
(18)							

Part IV Foreign Forms

- 1

Was the organization a U.S. transferor of property to a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926)*

☒ Yes

☐ No
- 2

Did the organization have an interest in a foreign trust during the tax year? *If "Yes," the organization may be required to separately file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A; don't file with Form 990)*

☐ Yes

☒ No
- 3

Did the organization have an ownership interest in a foreign corporation during the tax year? *If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons with Respect to Certain Foreign Corporations. (see Instructions for Form 5471)*

☒ Yes

☐ No
- 4

Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? *If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see Instructions for Form 8621)*

☐ Yes

☒ No
- 5

Did the organization have an ownership interest in a foreign partnership during the tax year? *If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons with Respect to Certain Foreign Partnerships (see Instructions for Form 8865)*

☐ Yes

☒ No
- 6

Did the organization have any operations in or related to any boycotting countries during the tax year? *If "Yes," the organization may be required to separately file Form 5713, International Boycott Report (see Instructions for Form 5713; don't file with Form 990).*

☒ Yes

☐ No

Supplemental Information

Provide the information required by Part I, line 2 (monitoring of funds); Part I, line 3, column (f) (accounting method; amounts of investments vs. expenditures per region); Part II, line 1 (accounting method); Part III (accounting method); and Part III, column (c) (estimated number of recipients), as applicable. Also complete this part to provide any additional information. See instructions.

[illegible]

Additional Data

Software ID:

Software Version:

Schedule I (Form 990) Department of the Treasury Internal Revenue Service	Grants and Other Assistance to Organizations, Governments and Individuals in the United States Complete if the organization answered "Yes," on Form 990, Part IV, line 21 or 22. ▶ Attach to Form 990. ▶ Go to www.irs.gov/Form990 for the latest information.	OMB No. 1545-0047
		2020
		Open to Public Inspection
Name of the organization Research Triangle Institute		Employer identification number 56-0686338

Part I General Information on Grants and Assistance

- 1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance?

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.
- ☒ Yes ☐ No

Part II Grants and Other Assistance to Domestic Organizations and Domestic Governments. Complete if the organization answered "Yes" on Form 990, Part IV, line 21, for any recipient that received more than \$5,000. Part II can be duplicated if additional space is needed.

(a) Name and address of organization or government	(b) EIN	(c) IRC section (if applicable)	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of noncash assistance	(h) Purpose of grant or assistance
(1) American National Red Cross 431 18th Street NW Washington, D C 20006	53-0196605	501(c)(3)	120,585				General Support
(2) Asian and Pacific Islander American Scholars 1850 M Street NW Suite 245 Washington, D C 20036	57-1192973	501(c)(3)	21,620				General Support
(3) Asian American Legal Defense and Education 99 Hudson Street 12th Floor New York, NY 10013	13-2855641	501(c)(3)	23,660				General Support
(4) Benevolent Healthcare Foundation 10377 E Geddes Avenue Centennial, C O 80112	84-1568566	501(c)(3)	75,000				General Support
(5) Clayton Area Ministries 704 East Main Street Clayton, N C 27520	35-2391010	501(c)(3)	6,000				General Support
(6) Durham Jazz Workshop Inc 4608 Industry Lane Durham, N C 27713	45-4956498	501(c)(3)	10,000				General Support
(7) Equal Justice Initiative 122 Commerce Street Montgomery, A L 36104	63-1135091	501(c)(3)	51,799				General Support
(8) Families Moving Forward 300 N Queen Street Durham, N C 27701	56-1633998	501(c)(3)	6,000				General Support
(9) Food Bank of Central and Eastern North Carolina 1924 Capital Blvd Raleigh, N C 27604	56-1283426	501(c)(3)	7,500				General Support
(10) Friends Committee PO Box 26751 Raleigh, N C 27611	47-3443135	501(c)(3)	6,000				General Support
(11) Friends of Bostons Homeless 12 Wise Street Boston, M A 02130	22-2866770	501(c)(3)	6,000				General Support
(12) Habitat for Humanity of Durham Inc 215 North Church Street Durham, N C 27701	58-1674794	501(c)(3)	6,000				General Support
(13) Homeward Alliance Inc PO Box 873 Fort Collins, C O 80522	27-4641606	501(c)(3)	6,000				General Support
(14) Jewish Family and Childrens Service 1430 Main Street Waltham, M A 02451	04-2104356	501(c)(3)	6,000				General Support
(15) Kramden Institute 4915 Prospectus Drive Suite J Durham, N C 27713	74-3108814	501(c)(3)		29,475	FMV	Computer Equipment	General Support
(16) MADRE Inc 121 West 27th Street Room 301 New York, NY 10001	13-3280194	501(c)(3)	15,000				General Support

(17) Monsoon Asians and Pacific Islanders 4944 Franklin Avenue Suite B Des Moines,IA 50310	35-2297207	501(c)(3)	23,250				General Support
(18) NAACP Legal Defense and Educational Fund 40 Rector Street New York,NY 10006	13-1655255	501(c)(3)	38,173				General Support
(19) No One Left Behind Inc PO Box 3641 Merrifield,V A 22116	47-1251659	501(c)(3)	15,000				General Support
(20) Oak City Cares Inc 1430 S Wilmington Street Raleigh,N C 27603	83-0826329	501(c)(3)	6,000				General Support
(21) Porch Inc 218 Lake Manor Road Chapel Hill,N C 27516	27-2759081	501(c)(3)	6,000				General Support
(22) Rise Against Hunger Inc 3733 National Drive Raleigh,N C 27612	16-1541024	501(c)(3)	10,000				General Support
(23) Safechild 864 West Morgan Street Raleigh,N C 27603	56-1817816	501(c)(3)	6,000				General Support
(24) Sleep in Heavenly Peace 1560 Elridge Avenue Twin Falls,ID 83301	46-4346568	501(c)(3)	6,000				General Support
(25) South Durham Connections 5800 Loyal Avenue Durham,N C 27713	84-3796595	501(c)(3)	6,000				General Support
(26) TAMAM 9705 Broadrun Drive Raleigh,N C 27617	81-2830588	501(c)(3)	6,000				General Support
(27) The Womens Center Inc 210 Henderson Street Chapel Hill,N C 27514	56-1271474	501(c)(3)	6,000				General Support
(28) Thurgood Marshall College Fund 901 F Street NW Washington,D C 20004	41-1750692	501(c)(3)	10,289				General Support
(29) United Nations Foundation Inc 1750 Pennsylvania NW Suite 300 Washington,D C 20006	58-2368165	501(c)(3)	20,000				General Support
(30) United Way of the Greater Triangle 2400 Perimeter Park Drive Morrisville,N C 27560	56-1949103	501(c)(3)	88,865				General Support
(31) Upstream Works Collaborative 106 Drayton Court Chapel Hill,N C 27516	82-5298960	501(c)(3)	6,000				General Support
(32) White Plains United Methodist Church 313 SE Maynard Road Cary,N C 27511	56-1031475	501(c)(3)	6,000				General Support

2

Enter total number of section 501(c)(3) and government organizations listed in the line 1 table

32

3

Enter total number of other organizations listed in the line 1 table

0

Part III

Grants and Other Assistance to Domestic Individuals. Complete if the organization answered "Yes" on Form 990, Part IV, line 22.

Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of noncash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of noncash assistance
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					

Part IV

Supplemental Information. Provide the information required in Part I, line 2; Part III, column (b); and any other additional information.

Return Reference	Explanation
Schedule I, Part I, Line 2	Consistent with our mission, RTI is committed to helping people by giving back to the communities where we are located, when possible. RTI has a process for making annual contributions at the corporate level to charitable causes. The process, governed by annual budget and consistent giving criteria, seeks staff recommendations for worthy recipient organizations. The Community Partnerships Board reviews the contributions proposed by the staff and makes a recommendation to the CEO and CFO who make the final decisions. The decisions are reported to the staff, thereby setting the program for the fiscal year. In the fourth quarter of the fiscal year, the CEO and CFO, in consultation with the Corporate Affairs, review the programs, lessons learned and prospects for its evolution. RTI also supports the United Way's mission to improve people's lives by mobilizing the caring power of communities. As part of this effort, RTI holds an annual United Way campaign in the fall, grants an annual corporate contribution to Triangle United Way, as well as, regional United Way offices, provides year round donor education and communication and participates in local United Way efforts when possible. In addition, RTI supports educational initiatives related to our exempt purpose through the corporate sponsorship program.
Schedule I, Part II, Line I	RTI contributed to a Kramden Institute initiative by providing computers and equipment.

Additional Data

Return to Form

Software ID:
Software Version:

Name of the organization
Research Triangle Institute

Employer identification number
56-0686338

Part I

Questions Regarding Compensation

	Yes	No
1a Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items. ☐ First-class or charter travel ☒ Housing allowance or residence for personal use ☐ Travel for companions ☐ Payments for business use of personal residence ☒ Tax idemnification and gross-up payments ☒ Health or social club dues or initiation fees ☐ Discretionary spending account ☒ Personal services (e.g., maid, chauffeur, chef)		
1b If any of the boxes on Line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain	Yes	
2 Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, officers, including the CEO/Executive Director, regarding the items checked on Line 1a?	Yes	
3 Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III. ☒ Compensation committee ☒ Written employment contract ☒ Independent compensation consultant ☒ Compensation survey or study ☒ Form 990 of other organizations ☒ Approval by the board or compensation committee		
4 During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization: a Receive a severance payment or change-of-control payment? b Participate in, or receive payment from, a supplemental nonqualified retirement plan? c Participate in, or receive payment from, an equity-based compensation arrangement? If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III. Only 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5-9.		
5 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of: a The organization? b Any related organization? If "Yes," on line 5a or 5b, describe in Part III.		No
6 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of: a The organization? b Any related organization? If "Yes," on line 6a or 6b, describe in Part III.		No
7 For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described in lines 5 and 6? If "Yes," describe in Part III	Yes	
8 Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III	Yes	
9 If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?		No

Part II

Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees. Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported on Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that are not listed on Form 990, Part VII.

Note. The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
1E Holden President	(i)	971,039	560,781	58,822	203,532	49,583	1,843,757	167,670
	(ii)	0	0	0	0	-	-	0
2J Gibson Vice President	(i)	540,735	307,407	27,999	96,811	47,684	1,020,636	91,074
	(ii)	0	0	0	0	-	-	0
3T Magnuson Board Member	(i)	68,250	0	0	0	0	68,250	0
	(ii)	869,814	0	0	0	-	-	0
4S Kornbluth New 12520 Board Member	(i)	0	0	0	0	0	0	0
	(ii)	741,336	106,686	19,500	34,741	-	-	0
5A Mangel Vice President	(i)	487,312	250,298	23,671	79,225	53,847	894,353	71,084
	(ii)	0	0	0	0	-	-	0
6M Kaelin Jr Vice President & CFO	(i)	506,768	230,172	20,696	82,017	53,074	892,727	73,085
	(ii)	0	0	0	0	-	-	0
7T Gabel Vice President	(i)	490,831	243,170	19,628	79,946	56,733	890,308	72,341
	(ii)	0	0	0	0	-	-	0
8P Weisenfeld Vice President	(i)	479,301	249,703	18,533	75,682	26,738	849,957	67,828
	(ii)	0	0	0	0	-	-	0
9G Story Secretary	(i)	449,847	227,498	15,745	75,903	44,880	813,873	69,285
	(ii)	0	0	0	0	-	-	0
10L May Vice President	(i)	424,793	190,727	13,964	69,709	49,901	749,094	62,241
	(ii)	0	0	0	0	-	-	0
11L Carin Separated 1821 Board Member	(i)	48,125	0	0	0	0	48,125	0
	(ii)	284,589	214,150	0	32,825	-	-	0
12P Collier Divisional Director	(i)	202,739	4,000	296,344	0	38,728	541,811	0
	(ii)	0	0	0	0	-	-	0
13C Hill Divisional Director	(i)	330,583	133,692	6,500	0	51,472	522,247	0
	(ii)	0	0	0	0	-	-	0
14C Simmons Divisional Director	(i)	336,054	106,813	6,548	0	57,791	507,206	0
	(ii)	0	0	0	0	-	-	0
15W Arden Board Member	(i)	47,750	0	0	0	0	47,750	0
	(ii)	454,555	0	0	0	-	-	0
16A Roussel Divisional Director	(i)	322,284	103,104	5,504	0	42,881	473,773	0
	(ii)	0	0	0	0	-	-	0
17S Earnshaw Divisional Director	(i)	318,612	101,924	4,129	0	49,107	473,772	0
	(ii)	0	0	0	0	-	-	0
18H Martin Board Member	(i)	68,250	0	0	0	0	68,250	0
	(ii)	394,000	0	0	0	-	-	0
19E Sax Treasurer	(i)	290,893	100,420	2,052	0	43,015	436,380	0
	(ii)	0	0	0	0	-	-	0
20C Buchholtz Assistant Secretary	(i)	258,757	100,162	601	0	51,899	411,419	0
	(ii)	0	0	0	0	-	-	0
21F Gilliam New 31821 Board Member	(i)	0	0	0	0	0	0	0
	(ii)	409,000	0	0	0	-	-	0
22C Cornwell Vice President	(i)	254,596	80,267	579	0	42,181	377,623	0
	(ii)	0	0	0	0	-	-	0
23A Helwig Vice President	(i)	166,573	132,000	44,214	9,360	10,542	362,689	0
	(ii)	0	0	0	0	-	-	0
24T Piccione Separated 9420 Former Vice President	(i)	235,656	28,813	633	0	42,498	307,600	0
	(ii)	0	0	0	0	-	-	0
25C Carter Separated 92220 Former Board Member	(i)	64,000	0	0	0	0	64,000	0
	(ii)	0	0	0	0	-	-	0

Part III **Supplemental Information**

Provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.

Return Reference	Explanation
Part I, Line 1a	One highly compensated employee received tax gross up payments related to their international assignment in addition to payment for housing which was included in taxable income. Personal services for tax preparation was provided to one highly compensated employee and it was included in taxable income. Exclusively for its business purposes, RTI maintains memberships to two business clubs, where leaders in industry and business gather. No taxable income has been imputed to the senior executives who use these RTI club memberships exclusively for RTI business purposes.
Part I, Line 4b	The Institute implemented a long term incentive plan designed to reward executives to ensure the organization's finances are strong and to retain executives. This plan recognizes that the executives' total compensation is below market. Rather than increasing salaries, annual incentives or supplemental retirement benefits, the Board implemented a cash based retention plan which is dependent on the Institute's continued strong performance. Amounts paid and accrued during the calendar year 2020 are as follows: E. Holden \$581,219, J. Gibson \$303,935, M. Kaelin \$248,076, T. Gabel \$244,467, A. Mangel \$240,786, G. Story \$233,278, P. Weisenfeld \$229,987, L. May \$210,911, A. Helwig \$9,360. These amounts include payments totaling \$674,609 which were accrued and reported in prior years as deferred compensation.
Part I, Line 7	RTI maintains variable compensation plans which are reviewed and approved annually by the Compensation Committee of the Board, as well as the full Board, to establish appropriate measurable targets and objectives along with incentive amounts. Actual performance under the plans is reviewed after the performance period and approved by the Compensation Committee and full Board as well. Amounts paid under these plans during the calendar year 2020 are as follows: E. Holden \$350,764, J. Gibson \$140,467, M. Kaelin \$132,332, T. Gabel \$128,745, A. Mangel \$128,268, G. Story \$117,105, L. May \$111,767, P. Weisenfeld \$107,493, C. Simmons \$91,427, S. Earnshaw \$76,303, A. Roussel \$75,000, C. Hill \$75,000, E. Sax \$59,000, C. Cornwell \$55,000, C. Buchholtz \$55,000, and A. Helwig \$30,000.
Part I, Line 8	RTI recruits its executive leadership from the national labor market, and this practice can introduce variability into each executive's initial compensation package. Accordingly, amounts were paid and accrued during the 2020 calendar year that emanated from RTI's offer of employment to certain executives and these items were included in the executive's employment agreement with RTI. Amounts paid were reported as taxable income and are included in the 2020 bonus or other compensation columns for each executive that received such payment. Any unpaid accruals are included in the deferred compensation column.

Additional Data

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Software ID:
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Department of the Treasury
Internal Revenue Service

▶ Complete if the organization answered "Yes" to Form 990, Part VI, line 24a. Provide descriptions, explanations, and any additional information in Part VI.
▶ Attach to Form 990.

▶ Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public
Inspection

Name of the organization
Research Triangle Institute

Employer identification number

56-0686338

Part I Bond Issues

(a) Issuer name	(b) Issuer EIN	(c) CUSIP #	(d) Date issued	(e) Issue price	(f) Description of purpose	(g) Defeased		(h) On behalf of issuer		(i) Pool financing	
						Yes	No	Yes	No	Yes	No
A Durham County Industrial Facilities & Pollution Control Financing Authority	56-1379535	266711AA8	11-29-2007	40,560,000	Finance construction of office buildings and parking deck		X		X		X
B Durham County Industrial Facilities & Pollution Control Financing Authority	56-1379535	266711AC4	02-18-2010	24,999,384	Finance construction of office buildings and parking deck		X		X		X

Part II Proceeds

	A	B	C	D
1 Amount of bonds retired				
2 Amount of bonds legally defeased				
3 Total proceeds of issue				
4 Gross proceeds in reserve funds	41,187,495	25,000,732		
5 Capitalized interest from proceeds				
6 Proceeds in refunding escrows				
7 Issuance costs from proceeds	333,770	340,956		
8 Credit enhancement from proceeds				
9 Working capital expenditures from proceeds				
10 Capital expenditures from proceeds	40,853,725	24,659,776		
11 Other spent proceeds				
12 Other unspent proceeds				
13 Year of substantial completion	2008		2011	
	Yes	No	Yes	No
14 Were the bonds issued as part of a current refunding issue of tax-exempt bonds (or, if issued prior to 2019, a current refunding issue)?		X		X
15 Were the bonds issued as part of an advance refunding issue of taxable bonds (or, if issued prior to 2019, an advance refunding issue)?		X		X
16 Has the final allocation of proceeds been made?	X		X	
17 Does the organization maintain adequate books and records to support the final allocation of proceeds?	X		X	

Part III Private Business Use

	A		B		C		D	
	Yes	No	Yes	No	Yes	No	Yes	No
1 Was the organization a partner in a partnership, or a member of an LLC, which owned property financed by tax-exempt bonds?		X		X				
2 Are there any lease arrangements that may result in private business use of bond-financed property?	X			X				

Part III

Private Business Use (Continued)

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
3a	Are there any management or service contracts that may result in private business use of bond-financed property?		X		X				
b	If "Yes" to line 3a, does the organization routinely engage bond counsel or other outside counsel to review any management or service contracts relating to the financed property?								
c	Are there any research agreements that may result in private business use of bond-financed property?	X		X					
d	If "Yes" to line 3c, does the organization routinely engage bond counsel or other outside counsel to review any research agreements relating to the financed property?		X		X				
4	Enter the percentage of financed property used in a private business use by entities other than a section 501(c)(3) organization or a state or local government ▶	0.060 %							
5	Enter the percentage of financed property used in a private business use as a result of unrelated trade or business activity carried on by your organization, another section 501(c)(3) organization, or a state or local government ▶	0.510 %		0.190 %					
6	Total of lines 4 and 5	0.570 %		0.190 %					
7	Does the bond issue meet the private security or payment test? . . .	X		X					
8a	Has there been a sale or disposition of any of the bond-financed property to a nongovernmental person other than a 501(c)(3) organization since the bonds were issued?.		X		X				
b	If "Yes" to line 8a, enter the percentage of bond-financed property sold or disposed of. . .								
c	If "Yes" to line 8a, was any remedial action taken pursuant to Regulations sections 1.141-12 and 1.145-2?.								
9	Has the organization established written procedures to ensure that all nonqualified bonds of the issue are remediated in accordance with the requirements under Regulations sections 1.141-12 and 1.145-2?.	X		X					

Part IV

Arbitrage

		A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
1	Has the issuer filed Form 8038-T, Arbitrage Rebate, Yield Reduction and Penalty in Lieu of Arbitrage Rebate? . . .		X		X				
2	If "No" to line 1, did the following apply? . . .								
a	Rebate not due yet?		X		X				
b	Exception to rebate?	X		X					
c	No rebate due?		X		X				
	If "Yes" to line 2c, provide in Part VI the date the rebate computation was performed								
3	Is the bond issue a variable rate issue?	X			X				
4a	Has the organization or the governmental issuer entered into a qualified hedge with respect to the bond issue?		X		X				
b	Name of provider								
c	Term of hedge								
d	Was the hedge superintegrated?								
e	Was the hedge terminated?								

Part IV

Arbitrage (Continued)

5a	Were gross proceeds invested in a guaranteed investment contract (GIC)?	A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
			X		X				
b	Name of provider								
c	Term of GIC								
d	Was the regulatory safe harbor for establishing the fair market value of the GIC satisfied?								
6	Were any gross proceeds invested beyond an available temporary period?		X		X				
7	Has the organization established written procedures to monitor the requirements of section 148? . . .	X		X					

Part V

Procedures To Undertake Corrective Action

	Has the organization established written procedures to ensure that violations of federal tax requirements are timely identified and corrected through the voluntary closing agreement program if self-remediation is not available under applicable regulations?	A		B		C		D	
		Yes	No	Yes	No	Yes	No	Yes	No
		X		X					

Part VI

Supplemental Information. Provide additional information for responses to questions on Schedule K. (See instructions).

Return Reference	Explanation
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Additional Data

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Software ID:

Software Version:

Return Reference	Explanation
Form 990, Part III, Line 4a	HEALTH RESEARCH is our largest single field of study, encompassing research that ranges from studies of the human genome and the development of new drug compounds to national surveys of health behaviors and the implementation of global health programs. Our activities in DRUG DISCOVERY AND DEVELOPMENT include working with pharmaceutical companies and government agencies to bring new medicines to market, and to ensure the safety and efficacy of those in the marketplace. As part of a comprehensive EDUCATION AND TRAINING RESEARCH program, our experts conduct rigorous studies used to assess and improve the quality of early development, education, and employment programs in the United States and many other countries. We also provide training solutions for forensic scientists and law enforcement. RTI is a leader in SURVEY RESEARCH and SURVEY STATISTICS. With a staff of highly skilled researchers using advanced data collection systems and techniques, we offer broad-based survey services for public and private sector studies. Our SURVEY RESEARCH SERVICES include study design, instrument development and evaluation, pretests and pilot studies, mail surveys, telephone surveys, face-to-face field surveys, Web surveys, records abstraction, collection of biological specimens, mixed-mode surveys, subject tracing, focus groups, and health registries. Our STATISTICS RESEARCH experts conduct complex statistical analyses to support wide ranging research programs in both laboratory and social sciences as well as ensure the quality, validity, and reliability of our research products and results by applying quality control and assurance procedures from sampling design through data collection and analysis. Our multidisciplinary ECONOMIC & SOCIAL RESEARCH team includes experts in economics, demography, health, education, urban planning, and public financing. We provide independent, objective information and analyses that help to inform and improve public policy discourse and advance economic and social development decision making in technology, economics and policy, crime and justice, and food and nutrition policy. We provide ADVANCED TECHNOLOGY RESEARCH & DEVELOPMENT services through the identification, development, application, and transfer of leading-edge technologies in areas including Materials Science; Electronics; Microfabrication; Information Technology; Innovation Advising; and Technology Economics & Policy. Our ENERGY RESEARCHERS develop advanced energy technologies to address today's significant energy challenges, such as climate change, energy security, energy efficiency, sustainability, and water conservation. Our research supports national and worldwide goals of reliable, sustainable, economically viable, and secure energy supplies. We are a leading provider of ENVIRONMENTAL RESEARCH SERVICES for the U.S. Environmental Protection Agency and other government agencies. We conduct large-scale environmental management projects for both government and industry, helping them make critical policy and regulatory decisions. Our LABORATORY & CHEMISTRY SERVICES support RTI research with state-of-the-art instrumentation, technologies, and processes. Our lab specifications and procedures emphasize quality control and excellence at every level of activity to meet the expectations and needs of our clients.
Form 990, Part III, Line 4b	INTERNATIONAL DEVELOPMENT Our experts in international development are dedicated to improving the human condition in developing countries. With more than 1,440 international development staff members based around the world, we deliver advisory and training services at the national, sub-national, and local government levels, providing institutional development through the transfer of analytical tools and methods. We often work in multidisciplinary teams that cut across traditional sector boundaries. Our clients include the United States Agency for International Development, Asian Development Bank, World Bank, Inter-American Development Bank, and several agencies of the United Nations, as well as foundations and other regional and international organizations. Our INTERNATIONAL DEVELOPMENT service areas include Governance & Stabilization; International Education; International Environmental Services; Global Health; Information & Communication Technology; and Monitoring & Evaluation.
Form 990, Part VI, Section A, line 2	T. Darden & R. Ingram Business Relationship; T. Darden & C. Shaffer Business Relationship; R. Ingram & C. Shaffer Business Relationship; S. Kornbluth & L. Carin Business Relationship; S. Kornbluth & R. Williams Business Relationship; P. Lange & F. Gilliam Business Relationship; H. Martin & T. Magnuson Business Relationship; H. Martin & W. Arden Business Relationship; H. Martin & L. Carin Business Relationship; H. Martin & H. Ragland Business Relationship; H. Martin & F. Gilliam Business Relationship; C. Shaffer & T. Magnuson Business Relationship
Form 990, Part VI, Section A, line 6	Research Triangle Institute is a non-profit corporation incorporated under the laws of the State of North Carolina. The Members of the corporation include the persons who at the time occupy the following positions: President, The University of North Carolina, Duke University: one member of the Board of Trustees of Duke University, appointed by the Chair of the Board of Trustees of Duke University, for one or more terms of three years; and one member of the Board of Governors of the University of North Carolina, appointed by the Chair of the Board of Governors of the University of North Carolina, for one or more terms of three years. The members shall elect the Governors, review and act on fundamental corporate transactions approved by the Governors, and take such other actions as may be required by law. No part of the earnings of the corporation shall insure to the benefit of any member or individual.
Form 990, Part VI, Section A, line 7a	The members shall elect the Governors as described in the Bylaws of the Corporation.
Form 990, Part VI, Section A, line 7b	The members shall review and act on fundamental corporate transactions approved by the Governors and take such other actions as may be required by law. Fundamental corporate transactions are described in the Articles of Incorporation.
Form 990, Part VI, Section B, line 11b	The Form 990 with required schedules was provided to the full Board of Governors prior to filing via posting on RTI's hosted board communication solution, Director's Desk. In addition, RTI management reviewed the process and steps undertaken in completing the form with the Audit and Compensation Committees of the Board, including a review of the full Form 990 with the Audit committee prior to dissemination to the full Board.

Return Reference	Explanation
Form 990, Part VI, Section B, line 12c	Members of the Board of Governors, Officers and Key Employees are required to complete an annual conflict of interest disclosure in accordance with the organization's policies and procedures. Each disclosure is reviewed by the Audit Committee Chair, Chair of the Board of Governors, or the Chief Ethics Officer to determine whether a conflict of interest exists and if so, whether it appears to be significant and may warrant further review according to the standards and guidelines of the policy.
Form 990, Part VI, Section B, line 15	Each year, Research Triangle Institute (the Institute) management seeks the review and approval of the Institute's Compensation Committee and Board of Governors (Board) to ensure that the total compensation packages for its Chief Executive Officer (CEO) and other senior executives listed below are reasonable. The CEO and other senior executives are not involved in the Compensation Committee and Board's decision regarding reasonableness of the executive compensation packages. The Compensation Committee and the Board use independent compensation surveys conducted by nationally recognized independent firms. The independent survey includes compensation paid by comparable institutions (taxable as well as non-taxable) for functionally comparable positions and in comparable positions and in comparable geographic labor markets. The Compensation Committee and Board also uses an independent executive compensation consulting firm to review the survey data and provide comments opining on the reasonableness of the compensation for the Institute's senior executives. In 2019, the study covered the following executive positions: E. Holden, President and CEO, J. Gibson, Chief Operating Officer, T. Gabel, Executive Vice President, Social Statistical and Environmental Services, A. Mangel, Executive Vice President, Health Solutions, G. Story, Chief Legal Counsel and Government Affairs, L. May, Executive Vice President & Chief Human Resource Officer, M. Kaelin, Chief Financial Officer, P. Weisenfeld, Executive Vice President, International Development Group, T. Piccione, Executive Vice President and Chief Information Officer. Also included in the independent review were the following positions: C. Cornwell, Vice President and Corporate Controller and E. Sax, Senior Vice President and Treasurer.
Form 990, Part VI, Section C, line 19	The organization makes its governing documents, conflict of interest policy and financial statements available to the public upon request.
Form 990, Part VI, Section B, Line 16b	RTI and its staff belong to and participate in consortiums and associations that are consistent with RTI's mission to improve the human condition. These affiliations are neither in form nor substance a joint venture for federal income taxation. While RTI has not entered into a joint venture with a taxable entity, RTI has adopted a joint venture policy in order to evaluate its participation for federal income tax purposes. Additionally, certain federal contracts are awarded on a cost share basis whereby a cost share subcontractor reimburses RTI for a percentage of the total contract costs. Cost share arrangements exist primarily with unrelated taxable entities.
Form 990, Part VII, Section A, Line 1b	RTI was established in 1958 by Duke University and the University of North Carolina System as the founding tenant of Research Triangle Park in North Carolina. It has grown into one of the world's leading independent nonprofit research organizations and is dedicated to conducting research and development that improves the human condition by turning knowledge into practice. Based on RTI's corporate governance structure, compensation of those Board Members employed by supported organizations (i.e. Duke and UNC System) is reported in column (E) and was obtained from the 990 information request questionnaire that was distributed to these listed persons and Duke University. These amounts were paid by either Duke University or The University of North Carolina (UNC System). Given the supporting relationship with these universities, RTI is requested to report these amounts; however, RTI has no influence over this compensation.
Form 990, Part IX, line 11g	Subcontractors & Consultants: Program service expenses 321,594,623. Management and general expenses 1,831,574. Fundraising expenses 0. Total expenses 323,426,197. Other Services: Program service expenses 79,418,934. Management and general expenses 13,995,683. Fundraising expenses 0. Total expenses 93,414,617. Passthroughs: Program service expenses 17,784,741. Management and general expenses 0. Fundraising expenses 0. Total expenses 17,784,741.
Form 990, Part XI, line 9:	Pension related changes 3,100,180. George Watts HIII Fund-Unrealized Gains (Permanently Restricted) -188,860. George Watts HIII Fund-Other Income (Temporarily Restricted) 92,635. Other Income/Expense Corporate Adjustments -6,774,730. Foreign Currency Translation 25,966.

Additional Data

[Return to Form](#)

Software ID:

Software Version:

SCHEDULE R
(Form 990)

Department of the Treasury
Internal Revenue Service

Name of the organization
Research Triangle Institute

Related Organizations and Unrelated Partnerships

- Complete if the organization answered "Yes" on Form 990, Part IV, line 33, 34, 35b, 36, or 37.
Attach to Form 990.
Go to www.irs.gov/Form990 for instructions and the latest information.

OMB No. 1545-0047

2020

Open to Public
Inspection

Employer identification number

56-0686338

Part I Identification of Disregarded Entities. Complete if the organization answered "Yes" on Form 990, Part IV, line 33.

(a) Name, address, and EIN (if applicable) of disregarded entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Total income	(e) End-of-year assets	(f) Direct controlling entity
(1) Market Certitude LLC PO Box 12194 Research Triangle Park, NC 27709 36-4262479	Health Economics and Outcome Research	NJ	0	0	Research Triangle Institute
(2) Research Triangle Institute International LLC PO Box 12194 Research Triangle Park, NC 27709 86-1462156	Scientific Research and Development	NC	0	6,968	Research Triangle Institute

Part II Identification of Related Tax-Exempt Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related tax-exempt organizations during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Exempt Code section	(e) Public charity status (if section 501(c)(3))	(f) Direct controlling entity	(g) Section 512(b)(13) controlled entity?	
						Yes	No
(1) Duke University 2138 Campus Drive Durham, NC 27708 56-0532129	University	NC	501(c)(3)	Line 2			No
(2) The University of North Carolina University of North Carolina Chapel Hill, NC 27599 56-6001393	University	NC	501(c)(3)	Line 2			No

Part III

Identification of Related Organizations Taxable as a Partnership. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, because it had one or more related organizations treated as a partnership during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Predominant income(related, unrelated, excluded from tax under sections 512-514)	(f) Share of total income	(g) Share of end-of-year assets	(h) Disproportionate allocations?		(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner?		(k) Percentage ownership
							Yes	No		Yes	No	

Part IV

Identification of Related Organizations Taxable as a Corporation or Trust. Complete if the organization answered "Yes" on Form 990, Part IV, line 34 because it had one or more related organizations treated as a corporation or trust during the tax year.

(a) Name, address, and EIN of related organization	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Direct controlling entity	(e) Type of entity (C corp, S corp, or trust)	(f) Share of total income	(g) Share of end-of-year assets	(h) Percentage ownership	(i) Section 512(b) (13) controlled entity?	
								Yes	No
(1)RTI International (Hong Kong) Limited 15 Queens Road Central Central HK	Investment Company	HK	Research Triangle Institute	C		949,264	100.000 %	Yes	
(2)Triangle Beijing Consulting Co Ltd Beijing Prosper Centre No 5 Guang Beijing 100020 CH	Scientific research and development	CH	Research Triangle Institute	C		6,419	100.000 %	Yes	
(3)Research Triangle Institute Global Inc 3040 Cornwallis Road Research Triangle Park, NC 27709 47-2500213	Scientific research and development	NC	Research Triangle Institute	C		478	100.000 %	Yes	
(4)Research Triangle Institute Global India Private Limited F22 667 IIND Floor Ganesh Nagar II New Delhi 110092 IN	Scientific research and development	IN	Research Triangle Institute	C	2,601,835	2,351,576	99.990 %	Yes	
(5)RTI Syntegrity Inc 3040 Cornwallis Road Research Triangle Park, NC 27709 81-2649493	Business Services	NC	Research Triangle Institute	C	270,917	1,922	100.000 %	Yes	
(6)Team Syntegrity Americas Inc 181 Bay Street Suite 2425 Toronto, Ontario M5J 2T3 CA 98-1017378	Consulting	CA	RTI Syntegrity Inc	C			100.000 %	Yes	
(7)International Resources Group Ltd 3040 Cornwallis Road Research Triangle Park, NC 27709 11-2777542	Consulting	NC	Research Triangle Institute	C	17,068,436	7,710,342	100.000 %	Yes	
(8)Grupo Internacional de Recursos del Sur I R G Sociedad Anonima De La Emhajada Americana Un Kilomet San Jose Rohrmose CS	Services	CS	International Resources Group Ltd	C			100.000 %	Yes	
(9)RTI Health Solutions France SAS 2 Bis Rue Tete DOr Lyon FR	Health Research	FR	Research Triangle Institute	C	560,060	228,612	100.000 %	Yes	

Part V

Transactions With Related Organizations. Complete if the organization answered "Yes" on Form 990, Part IV, line 34, 35b, or 36.

Note. Complete line 1 if any entity is listed in Parts II, III, or IV of this schedule.

1 During the tax year, did the organization engage in any of the following transactions with one or more related organizations listed in Parts II-IV?

a Receipt of (i) interest, (ii) annuities, (iii) royalties, or (iv) rent from a controlled entity

b Gift, grant, or capital contribution to related organization(s)

c Gift, grant, or capital contribution from related organization(s)

d Loans or loan guarantees to or for related organization(s)

e Loans or loan guarantees by related organization(s)

f Dividends from related organization(s)

g Sale of assets to related organization(s)

h Purchase of assets from related organization(s)

i Exchange of assets with related organization(s)

j Lease of facilities, equipment, or other assets to related organization(s)

k Lease of facilities, equipment, or other assets from related organization(s)

l Performance of services or membership or fundraising solicitations for related organization(s)

m Performance of services or membership or fundraising solicitations by related organization(s)

n Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)

o Sharing of paid employees with related organization(s)

p Reimbursement paid to related organization(s) for expenses

q Reimbursement paid by related organization(s) for expenses

r Other transfer of cash or property to related organization(s)

s Other transfer of cash or property from related organization(s)

Yes

No

No

Yes

No

No

No

No

No

Yes

Yes

No

Yes

No

Yes

No

Yes

2 If the answer to any of the above is "Yes," see the instructions for information on who must complete this line, including covered relationships and transaction thresholds.

(a) Name of related organization	(b) Transaction type (a-s)	(c) Amount involved	(d) Method of determining amount involved
(1)Research Triangle Institute Global India Private Limited	B	965,517	Cash Value
(2)Team Syntegrity Americas Inc	B	1,500,000	Cash Value
(3)Research Triangle Institute Global India Private Limited	L	167,637	Cash Value
(4)International Resources Group Ltd	L	314,033	Cash Value
(5)Team Syntegrity Americas Inc	L	78,427	Cash Value
(6)RTI Health Solutions France SAS	S	560,057	Cash Value

Schedule R (Form 990) 2020

Part VI **Unrelated Organizations Taxable as a Partnership.** Complete if the organization answered "Yes" on Form 990, Part IV, line 37.

Provide the following information for each entity taxed as a partnership through which the organization conducted more than five percent of its activities (measured by total assets or gross revenue) that was not a related organization. See instructions regarding exclusion for certain investment partnerships.

[illegible]

Part VII

Supplemental Information

Provide additional information for responses to questions on Schedule R. (see instructions).

Return Reference	Explanation
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Schedule R (Form 990) 2020

Additional Data

[Return to Form](#)

Software ID:
Software Version: