

**Cal State L.A. University
Auxiliary Services, Inc.**

**Schedule of Expenditures of Federal Awards
and Independent Auditor's Reports
Required by the Uniform Guidance**

Year Ended June 30, 2020

Cal State L.A. University Auxiliary Services, Inc.

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Cal State L.A. University Auxiliary Services, Inc.

**Schedule of Expenditures of Federal Awards
Year Ended June 30, 2020**

Federal Grantor/Program Name and Cluster	Catalog of Federal Domestic Assistance Number	PassThrough Grantor	Pass Through Entity's Identifying Number	Passed Through to Subrecipients	Total Federal Expenditures
OTHER AWARDS:					
U.S. Department of Agriculture					
CFDA # 10.558 - Child and Adult Care Food Program					
Child Care Food Program 2018-2019	10.558	California Department of Education	04676-CACFP-19-NP-IC	\$ -	\$ 14,823
Child Care Food Program 2019-2020	10.558	California Department of Education	04676-CACFP-19-NP-IC	-	29,434
Subtotal CFDA # 10.558				<u>-</u>	<u>44,256</u>
CFDA # 10.561 - State Administrative Matching Grants for the Supplemental Nutrition Assistance Program					
CalFresh Outreach Plan	10.561	CSU Chico Research Foundation	SUB18-021	-	32,884
CalFresh Outreach Plan	10.561	CSU Chico Research Foundation	SUB18-021	-	51,049
Subtotal CFDA # 10.561				<u>-</u>	<u>83,933</u>
Subtotal U.S. Department of Agriculture				<u>-</u>	<u>128,189</u>
U.S. Department of Commerce					
CFDA # 11.300 - Investments for Public Works and Economic Development Facilities					
BioSciences Business Incubator	11.300			-	214,268
Subtotal CFDA # 11.300 and Economic Development Cluster				<u>-</u>	<u>214,268</u>
Subtotal U.S. Department of Commerce				<u>-</u>	<u>214,268</u>
U.S. Department of Defense					
CFDA # 12.300 - Basic and Applied Scientific Research					
Naval STEM Program at Cal State LA	12.300			-	96,778
Subtotal CFDA # 12.300				<u>-</u>	<u>96,778</u>
CFDA # - Per Funding Agency, No CFDA No.					
19-20 Mentor Protégé Program	No CFDA No.	Northrup Grumman	PO 3045837	-	6,720
19-20 Mentor Protégé Program	No CFDA No.	Northrup Grumman	PO 3045947	-	25,696
Subtotal CFDA				<u>-</u>	<u>32,416</u>
Subtotal U.S. Department of Defense				<u>-</u>	<u>129,195</u>
U.S. Department of Justice					
CFDA # 16.820 - Postconviction Testing of DNA Evidence					
Post Conviction DNA Testing	16.820			222,409	387,583
Subtotal CFDA # 16.820				<u>222,409</u>	<u>387,583</u>
Subtotal U.S. Department of Justice				<u>222,409</u>	<u>387,583</u>
U.S. Department of Transportation					
CFDA # 20.215 - Highway Training and Education					
Ladders of Opportunity	20.215	California Department of Transportation	50A0054	37,218	92,946
Dwight David Eisenhower Transportation Fellowship Program	20.215			-	1,500
National Summer Transportation Institute	20.215	California Department of Transportation	88A0131	-	86,179
Dwight David Eisenhower Transportation Fellowship Program	20.215			-	8,500
Dwight David Eisenhower Transportation Fellowship Program	20.215			-	6,500
Dwight David Eisenhower Transportation Fellowship Program	20.215			-	5,000
Dwight David Eisenhower Transportation Fellowship Program	20.215			-	5,168
Subtotal CFDA # 20.215				<u>37,218</u>	<u>205,793</u>
Subtotal U.S. Department of Transportation				<u>37,218</u>	<u>205,793</u>
U.S. Department of the Treasury					
CFDA # 21.009 - Volunteer Income Tax Assistance (VITA) Matching Grant Program					
2018-2019 CSULA Volunteer Income Tax Assistance Program	21.009			-	2,479
Subtotal CFDA # 21.009				<u>-</u>	<u>2,479</u>
Subtotal U.S. Department of the Treasury				<u>-</u>	<u>2,479</u>

Cal State L.A. University Auxiliary Services, Inc.
Schedule of Expenditures of Federal Awards (Continued)
Year Ended June 30, 2020

Federal Grantor/Program Name and Cluster	Catalog of Federal Domestic Assistance Number	PassThrough Grantor	Pass Through Entity's Identifying Number	Passed Through to Subrecipients	Total Federal Expenditures
National Science Foundation					
CFDA # 47.076 - Education and Human Resources					
Geosciences	47.076			-	3,138
Culturally Adaptive Pathway to Success (CAPS)	47.076			-	138,912
Subtotal CFDA # 47.076				-	142,051
CFDA # 47.082 - Trans-NSF Recovery Act Research Support					
MOEBIUS-Mathematics On Education Based Integrated Understanding Scholars	47.082			-	(3,450)
Subtotal CFDA # 47.082				-	(3,450)
Subtotal National Science Foundation				-	138,601
U.S. Department of Education					
CFDA # 84.031 - Higher Education Institutional Aid					
STEM Pipeline Los Angeles City College	84.031	Los Angeles Community College District	4500244240	-	110,547
Latina/o Graduate Students: SOAR	84.031M	CSU Fullerton	S-5852-CSULA	-	1,867
Subtotal CFDA# 84.031 through 84.031M				-	112,414
CFDA # 84.047 - TRIO Upward Bound					
Upward Bound Regular-Pasadena	84.047A			-	512,959
Upward Bound Regular-Los Angeles	84.047A			-	343,037
Upward Bound Math/Science Los Angeles	84.047M			-	308,173
Upward Bound Math/Science Pasadena	84.047M			-	296,410
Subtotal CFDA # 84.047A through CFDA # 84.047M and TRIO Cluster				-	1,460,578
CFDA # 84.116 - Fund for the Improvement of Postsecondary Education					
STEM Education Consortium	84.116F			251,086	491,777
Subtotal CFDA # 84.116F				251,086	491,777
CFDA # 84.126 - Rehabilitation Services Vocational Rehabilitation Grants to States					
19-20 CA Career Innovations	84.126	California Department of Rehabilitation	30834	98,573	191,962
2016-2017 CCI: Work Based Learning Initiative (CA Innovations)	84.126A	Department of Rehabilitation	30274	-	975
2018-2019 California Career Innovations	84.126A	Department of Rehabilitation	30834	62,253	55,182
2018-2019 Workability IV (WAIV)	84.126A	California Department of Rehabilitation	30036 Amendment No. 1	-	274
2019-2020 Workability IV (WAIV)	84.126A	California Department of Rehabilitation	31158	-	117,814
Subtotal CFDA # 84.126 through 84.126A				160,826	366,208
CFDA # 84.235 - Rehabilitation Services Demonstration and Training Programs					
Braille Brain: A Braille Training Program for pre/in-service Teachers	84.235E			-	64,621
Subtotal CFDA # 84.235E				-	64,621
CFDA # 84.324A - Special Education Research					
Sing and Speak 4 Kids: Online	84.324A	IQSonics, LLC	N/A	-	22,919
Subtotal CFDA # 84.324A				-	22,919
CFDA # 84.325 - Special Education Personnel Development to Improve Services and Results for Children with Disabilities					
Leadership in Special Education for High Need Children in Poverty Schools (Project LEAD)	84.325D			-	5,140
Project START UP (Special Education Teacher Education and Research on Teaching Urban Population)	84.325D			-	199,723
Combined Priority for Personnel Development	84.325K			-	61,445
Project PEDS: Preparing Effective Dual Specialists to Serve Children with Visual Impairments	84.325K			-	218,596
Project PISCES: Partners in Improving Social Communication in Early Childhood Special Education Program Improvement and Personnel Preparation (PIPP) of Experts working with School Aged Students who are Blind or Visually Impaired	84.325K			-	190,364
Subtotal CFDA # 84.325 through 84.325K				-	185,772
				-	861,040

Cal State L.A. University Auxiliary Services, Inc.
Schedule of Expenditures of Federal Awards (Continued)
Year Ended June 30, 2020

Federal Grantor/Program Name and Cluster	Catalog of Federal Domestic Assistance Number	PassThrough Grantor	Pass Through Entity's Identifying Number	Passed Through to Subrecipients	Total Federal Expenditures
CFDA # 84.334 - Gaining Early Awareness and Readiness for Undergraduate Programs					
LAUSD - Go Central City GEARUP 4LA	84.334	LA Unified School District	4400005612	-	17,599
LAUSD-GEAR UP 4 LA-Southeast	84.334	LA Unified School District	4400007123	-	97,328
LAUSD-GEAR UP 4 LA-Central	84.334	LA Unified School District	4400007141	-	100,430
Subtotal CFDA # 84.334				-	215,358
CFDA # 84.336 - Teacher Quality Partnership Grants					
Los Angeles Urban Teacher Residency Program Transformation Initiative	84.336S			653,701	957,373
Subtotal CFDA # 84.336S				653,701	957,373
CFDA # 84.367 - Supporting Effective Instruction State Grants					
LAB CAP-L.A. Basin CA Arts Pro	84.367	The Regents of UC	ESSA 18-TCAP-Cal State LA	-	25,547
Subtotal CFDA # 84.367				-	25,547
Subtotal U.S. Department of Education				1,065,612	4,577,835
U.S. Department of Health and Human Services					
CFDA # 93.247 - Advanced Nursing Education Workforce Grant Program					
ANEW (Advanced Nursing Education Workforce)	93.247	AltaMed	T94HP32883	-	86,011
Subtotal CFDA # 93.247				-	86,011
CFDA # 93.575 - Child Care and Development Block Grant/CFDA # 93.596 - Child Care Mandatory and Matching Funds of the Child Care and Development Fund					
Gen Child Care Prog 2019-2020	93.575	California Department of Education	15136 CCTR-9069	-	37,465
CA State Preschool Prog 19-20	93.575	California Department of Education	15136 CSPP-9161	-	31,688
Gen Child Care Prog 2019-2020	93.596	California Department of Education	13609 CCTR-9069	-	74,930
CA State Preschool Prog 19-20	93.596	California Department of Education	13609 CSPP-9161	-	15,844
Subtotal CFDA # 93.575/93.596 and CCDF Cluster				-	159,927
CFDA # 93.658 - Foster Care Title IV E					
CALSWEC 1 Full-Time and Part Time Training Program 2018-2019	93.658	Regents of the University of California	00009912	-	64,185
2019-2020 CalSWEC 1 FT and PT	93.658	Regents of the University of California	00009912 Amendment 1	-	1,162,621
19-20 Training & Staff Dev & Ma	93.658	Regents of the University of California	1187SWA298 Amendment 1	-	642,757
Subtotal CFDA # 93.658				-	1,869,563
CFDA # 93.778 - Medical Assistance Program					
Local Dental Pilot Project	93.778	Department of Health Care Services	16-93566	3,355,567	6,234,387
Subtotal CFDA # 93.778 and Medicaid Cluster				3,355,567	6,234,387
Subtotal U.S. Department of Health and Human Services				3,355,567	8,349,887
Corporation for National and Community Service					
CFDA # 94.006 - AmeriCorps					
Jumpstart - East Los Angeles 2018-2019	94.006	JumpStart for Young Children, Inc.	230200	-	31,003
Jumpstart - East Los Angeles 2019-2020	94.006	JumpStart for Young Children, Inc.	3270200	-	35,084
Subtotal CFDA # 94.006				-	66,087
Subtotal Corporation for National and Community Service				-	66,087
Total Other Awards				4,680,807	14,199,916

Cal State L.A. University Auxiliary Services, Inc.
Schedule of Expenditures of Federal Awards (Continued)
Year Ended June 30, 2020

Federal Grantor/Program Name and Cluster	Catalog of Federal Domestic Assistance Number	PassThrough Grantor	Pass Through Entity's Identifying Number	Passed Through to Subrecipients	Total Federal Expenditures
RESEARCH AND DEVELOPMENT AWARDS (R&D Cluster):					
U.S. Department of Agriculture					
CFDA # 10.310 - Agriculture and Food Research Initiative (AFRI)					
Improving the Sensory Attribute	10.310			2,124	15,255
Subtotal CFDA # 10.310				2,124	15,255
Subtotal U.S. Department of Agriculture				2,124	15,255
U.S. Department of Commerce					
CFDA # 11.020 - Cluster Grants					
LA BioStart BioScience Entrepreneur	11.020			21,375	101,647
Subtotal CFDA # 11.020				21,375	101,647
CFDA # 11.432 - National Oceanic and Atmospheric Administration (NOAA) Cooperative Institute					
CIMEC Education Outreach	11.432	UC San Diego	12656360	-	3,792
Subtotal CFDA # 11.432				-	3,792
Subtotal U.S. Department of Commerce				21,375	105,440
U.S. Department of Defense					
CFDA # 12.630 - Basic, Applied, and Advanced Research in Science and Engineering					
Multifunctional Metal-Organic Frameworks for Efficient Degradation of Chemical Warfare Agents: Mechanism and Synthesis	12.630			-	162,462
Subtotal CFDA # 12.630				-	162,462
CFDA # 12.800 - Air Force Defense Research Sciences Program					
Theoretical/Computational Studies of High-Temperature Superconductivity from Quantum Magnetism	12.800			-	81,538
Subtotal CFDA # 12.800				-	81,538
CFDA # - Per Funding Agency, No CFDA No.					
Novel Low Scattering Coatings for High Energy Weapon Applications	No CFDA No.	RioLab, LLC	Not Available	-	7,705
Subtotal CFDA				-	7,705
Subtotal U.S. Department of Defense				-	251,705
U.S. Department of the Interior					
CFDA # 15.530 - Water Conservation Field Services (WCFS)					
Sustainable Technologies and Applications to Decentralized Water Treatment Systems	15.530	The Metropolitan Water District of Southern California	191319	-	18,334
Subtotal CFDA # 15.530				-	18,334
Subtotal U.S. Department of the Interior				-	18,334
U.S. Department of Justice					
CFDA # 16.560 - National Institute of Justice Research, Evaluation, and Development Project Grants					
Evaluation of Services for Victims of Crime	16.560			-	39,441
Subtotal CFDA # 16.560				-	39,441
Subtotal U.S. Department of Justice				-	39,441
U.S. Department of Transportation					
CFDA # 20.701 - University Transportation Centers Program					
2016-2017 University Transportation Center for Underground Transportation Infrastructure	20.701	Colorado School of Mines	69A3551747118	-	(30,406)
2017-2018 University Transportation Center for Underground Transportation Infrastructure	20.701	Colorado School of Mines	401208-5801 Amendment No. 1	-	354,431
2018-2019 University Transportation Center for Underground Transportation Infrastructure	20.701	Colorado School of Mines	401208-5801 Amendment No. 3	-	(43,686)
Subtotal CFDA # 20.701				-	280,338
Subtotal U.S. Department of Transportation				-	280,338

Cal State L.A. University Auxiliary Services, Inc.
Schedule of Expenditures of Federal Awards (Continued)
Year Ended June 30, 2020

Federal Grantor/Program Name and Cluster	Catalog of Federal Domestic Assistance Number	PassThrough Grantor	Pass Through Entity's Identifying Number	Passed Through to Subrecipients	Total Federal Expenditures
National Aeronautics and Space Administration					
CFDA # 43.001 - Science					
The SOFIA Archive Protostar Catalog: Connecting High and Low Mass Star Formation	43.001	University of Maryland	80738-Z6219201	-	53,110
Collaborative Technology and Student Development in Thermo-Fluid Sciences	43.001	Jet Propulsion Laboratory	1645190	-	8,652
Subtotal CFDA # 43.001				-	61,762
CFDA # 43.007 - Space Operations					
Pore-Mushy Zone Interaction during Directional Solidification of Alloys	43.007			4,554	10,061
Subtotal CFDA # 43.007				4,554	10,061
CFDA # 43.008 - Office of Stem Engagement (OSTEM)					
Data Intensive Research & Education Center for Science, Technology, Engineering and Mathematics (DIRECT-STEM)	43.008			275,767	958,835
Subtotal CFDA # 43.008				275,767	958,835
Subtotal National Aeronautics and Space Administration				280,321	1,030,657
National Science Foundation					
CFDA # 47.041 - Engineering Grants					
PFI-TT: Developing Antifreeze Polypeptide-Based Systems for Organ Preservation	47.041			27,415	61,815
Collaborative Research: Engineering Identity, its Predictors and its Impact on Retention across Educational Stages	47.041	University of Texas at Austin	UTA18-000263	-	2,419
Subtotal CFDA # 47.041				27,415	64,234
CFDA # 47.049 - Mathematical and Physical Sciences					
PREM: Cal State LA & Penn State Partnership for Materials Research and Education Development	47.049			(34,056)	389,176
RUI: Graph Coloring and Choosability	47.049			-	9,934
RUI: Collaborative Research on the Role of Singlet	47.049			-	39,522
MRI: Acquisition of a Rheometer for Research and Research Training in Science and Engineering at CSULA	47.049			-	31,060
Collaborative Research: LSC Center for Coatings Research	47.049			30,310	30,310
MRI: Acquisition of a Matrix-Assisted laser Desorption/Ionization Time-of-Flight (MALDI TOF) Mass Spectrometer for of Research and Research Training at CSULA	47.049			-	164,315
Subtotal CFDA # 47.049				(3,746)	664,316
CFDA # 47.070- Computer and Information Science and Engineering					
I-Corps: Towards Thermally Stable Formulations	47.070			-	5,528
Spokes: Medium: Collaborative: Big Data to Promote Community Learning and Impact	47.070			78,139	246,928
Subtotal CFDA # 47.070				78,139	252,456
CFDA # 47.074 - Biological Sciences					
RUI: Collaborative Research: Phylogenomics of Cypridinidae (Ostracoda): Evolutionary Origins of Bioluminescence and Complex Behavioral Displays	47.074			-	(7,275)
Collaborative Research: RUI Sink or Swim: Phenomic and Transcriptomic Diversification of Sculpins (Teleostei: Cottidae) Endemic to Lake Baikal, Russia	47.074			-	22,859
Collaborative Research: Dimensions: Desiccation and Diversity in Dryland Mosses	47.074			28,249	83,508
Digitization TCN: Collaborative Research: Capturing California's Flowers using digital images to investigate phenological change in biodiversity hotspot	47.074			-	6,732
CAREER:Elucidating the Spatiotemporal Dynamics of the Cyanobacterial circadian clock	47.074			-	127,306
Collaborative Research: ARTS: Understanding Tropical Invertebrate Diversity Through Integrative Revisionary Systematics and Training	47.074			-	25,832
Subtotal CFDA # 47.074				28,249	258,962

Cal State L.A. University Auxiliary Services, Inc.
Schedule of Expenditures of Federal Awards (Continued)
Year Ended June 30, 2020

Federal Grantor/Program Name and Cluster	Catalog of Federal Domestic Assistance Number	PassThrough Grantor	Pass Through Entity's Identifying Number	Passed Through to Subrecipients	Total Federal Expenditures
CFDA # 47.076 - Education and Human Resources					
CREST Center for Energy and Sustainability at California State University, Los Angeles	47.076			-	418,146
Louis Stokes Alliance for Minority Participation Bridge to the Doctorate (Cohort XIV) 2017	47.076	University Enterprises, Inc., CSU		-	49,113
CREST Center for Energy and Sustainability at California State University, Los Angeles	47.076	Sacramento	529851	-	34,044
Collaborative Research: First Year Experience for Engineering, Computer Science and Technology	47.076			-	265,992
CREST Suppl:Cntr for Energy & Science	47.076			-	86,292
LSAMP BD: California State University, Los Angeles, CSU-LSAMP-BD Cohort 15	47.076	University Enterprises, Inc., CSU		-	512,697
		Sacramento	532201A	-	-
Cal State University Louis Stokes STEM Pathways and Research Alliance	47.076	University Enterprises, Inc., CSU		-	3,150
CREST Supplement: Advancing Water Sustainability in Mediterranean Climate Urban Areas	47.076	Sacramento	533121	-	9,540
2019-2020 CSU LouisStokes STEM	47.076	University Enterprises, Inc., CSU		-	21,637
		Sacramento	533122	-	-
Broadening Opportunities for Interdisciplinary Computational	47.076	San Diego State University Research		-	24,518
		Foundation	SA0000717	-	-
Subtotal CFDA # 47.076				-	1,425,130
CFDA # 47.079 - Office of International Science and Engineering					
Collaborative Research: US-Brazil IRES/Analytical Applications of Nanomaterials and Microfluidic Devices	47.079			-	7,818
Subtotal CFDA # 47.079				-	7,818
Subtotal National Science Foundation				130,057	2,672,916
U.S. Department of Energy					
CFDA # 81.049 - Office of Science Financial Assistance Program					
Design Principles for Quantum Hall States	81.049	Princeton University	ORPA001784	-	(55,799)
Design Principles for Quantum Hall States 2018-2019	81.049	Princeton University	ORPA001784 Amend 10	-	153,993
Subtotal CFDA # 81.049				-	98,194
Subtotal U.S. Department of Energy				-	98,194
U.S. Department of Education					
CFDA # 84.031 - Higher Education Institutional Aid					
Expanding Opportunities for Pre-Health and Life Science Professionals	84.031M			-	330,074
Subtotal CFDA# 84.031M				-	330,074
CFDA # 84.116 - Fund for the Improvement of Postsecondary Education					
Promoting Active Learning Strategies Through the Flipped Class Model in STEM courses at San Jose University, California State University-Los Angeles, and Cal Poly Pomona	84.116F	San Jose State University	21-2000-5532-CSULA 2015	-	86,164
Subtotal CFDA # 84.116F				-	86,164
CFDA # 84.335A - Child Care Access Means Parents in School					
Child Care Access Means Parents in Schools (CCAMPIS)	84.335A			-	290,244
Subtotal CFDA # 84.335A				-	290,244
Subtotal U.S. Department of Education				-	706,483
U.S. Department of Health and Human Services					
CFDA # 93.173 - Research Related to Deafness and Communication Disorders					
Profiles & Progress in Spanish	93.173	Temple University	263001-CSLA Amend 1	-	73,376
Subtotal CFDA # 93.173				-	73,376
CFDA # 93.394 - Cancer Detection and Diagnosis Research					
Linking Churches with Parks to Increase Activity Among Latinos	93.394	RAND Corporation	9920180082	-	49,896
Subtotal CFDA # 93.394				-	49,896
CFDA # 93.398 - Cancer Research Manpower					
Improving Patient-Centered Communication & Cancer Care	93.398	Beckman Research Institute City of Hope	51834.2000560.669301	-	1,953
Subtotal CFDA # 93.398				-	1,953

Cal State L.A. University Auxiliary Services, Inc.
Schedule of Expenditures of Federal Awards (Continued)
Year Ended June 30, 2020

Federal Grantor/Program Name and Cluster	Catalog of Federal Domestic Assistance Number	PassThrough Grantor	Pass Through Entity's Identifying Number	Passed Through to Subrecipients	Total Federal Expenditures
CFDA # 93.433 - ACL National Institute on Disability, Independent Living, and Rehabilitation Research					
The Disability, Rehabilitation, Engineering Access for Minorities (DREAM) Project 2018-2019	93.433			-	33,065
Subtotal CFDA # 93.433				-	33,065
CFDA # 93.847 - Diabetes, Digestive, and Kidney Diseases Extramural Research					
Impact of HIV/SIV Infection on Paneth and Intestinal Stem Cell Infection	93.847	Tulane University	TUL-HSC-555249-16/17	-	7,922
Subtotal CFDA # 93.847				-	7,922
CFDA # 93.859 - Biomedical Research and Research Training					
Bridges To The Future	93.859			-	(234)
Macromolecular Interactions of t-Darpp and Darpp-32 subcontract from the City of Hope 2015-2016	93.859	Beckman Research Institute City of Hope	50607.2000478.669301	-	502
The Crosstalk Between Arginine Methylation and Science Phosphorylation in Histone H3	93.859			-	93,348
Identification and Molecular Basis for Efficient Antifreeze Protein Enhancers	93.859			-	86,163
L.A. Basin Bridges to the PhD Program 2016-2017	93.859			5,277	221,446
Investigating if Mad Linker Phosphorylations can control BMP Receptor Turnover	93.859			-	107,829
AK4 Expression Coordinates Dual AMPK and mTOR Signaling	93.859			-	61,204
Research Initiative for Scientific Enhancement (RISE)	93.859			-	1,396,082
Macromolecular Interactions of t-Darpp and Darpp-32	93.859			-	17,899
The Role of Zinc Ions for RNA Binding and Catalytic Function of the DYW-deaminase	93.859			-	136,754
MARC Undergraduate Student Training in Academic Research 2018-2019	93.859			-	52,329
Bridges To The Future	93.859			4,685	256,936
2018-2019 Uplift:UCLA Postdocs' Longitudinal in Faculty Training	93.859	Regents of the University of California	1445 G UA813 Amendment 2	-	53,319
MARC Undergraduate Student Training in Academic Research 2019-2020	93.859			-	432,015
2020-2021 MARC Undergraduate Student Training in Academic Research	93.859			-	15,641
Subtotal CFDA # 93.859				9,962	2,931,233
CFDA # 93.865 - Child Health and Human Development Extramural Research					
SPROUT: Human Development & Disability	93.865			17,886	63,507
Subtotal CFDA # 93.865				17,886	63,507
Subtotal U.S. Department of Health and Human Services				27,847	3,160,952
Total Research and Development Awards				461,725	8,379,716
Total Expenditures of Federal Awards				\$ 5,142,531	\$ 22,579,632

See Notes to Schedule of Expenditures of Federal Awards

Cal State L.A. University Auxiliary Services, Inc.

**Notes to Schedule of Expenditures of Federal Awards
June 30, 2020**

Note 1 - Basis of presentation

The accompanying Schedule of Expenditures of Federal Awards ("Schedule") presents the activity of all federal award programs of the Cal State L.A. University Auxiliary Services, Inc. ("UAS") under programs of the federal government for the year ended June 30, 2020. The information in this Schedule is presented in accordance with the requirements of Title 2 U.S. *Code of Federal Regulations* (CFR) Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* ("Uniform Guidance"). Because the schedule presents only a selected portion of the operations of UAS, it is not intended to and does not present the financial position, changes in net position or cash flows of UAS.

Note 2 - Summary of significant accounting policies

Expenditures reported on the Schedule are reported on the accrual basis of accounting. Such expenditures are recognized following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures may or may not be allowable or may be limited as to reimbursement. Negative amounts shown on the Schedule represent adjustments or credits made in the normal course of business to amounts reported as expenditures in prior years, such as transfer of expenses incurred in the previous year to a continuing project in the current fiscal year.

Note 3 - Indirect cost rate

UAS has elected not to use the 10-percent de minimis indirect cost rate allowed under the Uniform Guidance.

Note 4 - Subrecipients

UAS passes certain financial awards received to other governments or not-for-profit agencies (subrecipients). As Note 2 describes, UAS reports expenditures of federal awards to subrecipients on the accrual basis.

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

To the Board of Directors
Cal State L.A. University Auxiliary Services, Inc.

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of Cal State L.A. University Auxiliary Services, Inc. ("UAS"), as of and for the year ended June 30, 2020, and the related notes to the financial statements, which collectively comprise UAS's basic financial statements, and have issued our report thereon dated September 17, 2020.

Internal Control over Financial Reporting

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

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

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

Compliance and Other Matters

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

Purpose of this Report

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

CohnReznick LLP

Los Angeles, California
October 21, 2020

Independent Auditor's Report on Compliance for Each Major Federal Program and Report on Internal Control over Compliance and Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

To the Board of Directors
Cal State L.A. University Auxiliary Services, Inc.

Report on Compliance for Each Major Federal Program

We have audited Cal State L.A. University Auxiliary Services, Inc.'s ("UAS") compliance with the types of compliance requirements described in the U.S. Office of Management and Budget ("OMB") *Compliance Supplement* that could have a direct and material effect on each of UAS's major federal programs for the year ended June 30, 2020. UAS's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of UAS's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. *Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (the "Uniform Guidance"). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about UAS's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

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

Opinion on Each Major Federal Program

In our opinion, UAS complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2020.

Report on Internal Control over Compliance

Management of UAS is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered UAS's internal control over compliance with the types of requirements

that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of UAS's internal control over compliance.

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

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

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

Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the financial statements of UAS as of and for the year ended June 30, 2020, and the related notes to the financial statements, which collectively comprise UAS's basic financial statements. We issued our report thereon dated September 17, 2020 which contained an unmodified opinion on those financial statements. Our audit was conducted for the purpose of forming an opinion on the financial statements that collectively comprise the basic financial statements. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by the Uniform Guidance and is not a required part of the basic financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements

themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the basic financial statements as a whole.

CohnReznick LLP

Los Angeles, California
October 21, 2020

Cal State L.A. University Auxiliary Services, Inc.

**Schedule of Findings and Questioned Costs
Year Ended June 30, 2020**

Section I - Summary of Auditor's Results

Financial Statements

Type of auditor's report issued on whether the financial statements audited were prepared in accordance with accounting principles generally accepted in the United States: Unmodified Opinion

Internal control over financial reporting:

- Material weakness(es) identified? No
- Significant deficiency(ies) identified? None reported

Noncompliance material to the financial statements noted? No

Federal Awards

Internal control over major programs:

- Material weakness(es) identified? No
- Significant deficiency(ies) identified? None reported

Type of auditor's report issued on compliance for major federal programs: Unmodified Opinion

Any audit findings disclosed that are required to be reported in accordance with 2 CFR Section 200.516(a)? No

Identification of major programs:

<u>CFDA Number</u>	<u>Name of Federal Program or Cluster</u>
84.325	Special Education Personnel Development to Improve Services and Results for Children with Disabilities
93.658	Foster Care Title IV E
84.336	Teacher Quality Partnership Grants
Various	Research and Development Cluster

Dollar threshold used to distinguish between Type A and Type B programs: \$750,000

Auditee qualified as a low-risk auditee? Yes

Section II - Financial Statement Findings

No matters were reported.

Section III - Federal Award Findings and Questioned Costs

No matters were reported.



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