Internal Control and Compliance Reports
June 30, 2012 and 2011
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FEDERAL ID #95-6106694
REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING
AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF
FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH
GOVERNMENTAUDITINGSTANDARDS

To the Board of Directors of
California State University,
Long Beach Research Foundation:

We have audited the financial statements of California State University, Long Beach Research Foundation (the Foundation) as of and for the year ended June 30, 2012, and have issued our report thereon dated September 25, 2012. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States.

Internal Control Over Financial Reporting

Management of California State University, Long Beach Research Foundation is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered California State University, Long Beach Research Foundation’s internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of California State University, Long Beach Research Foundation’s internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the Foundation’s internal control over financial reporting.

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.
Compliance and Other Matters

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

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

We noted certain other matters that we reported to management of California State University, Long Beach Research Foundation in a separate letter dated September 25, 2012. This report is intended solely for the information and use of the audit committee, Board of Directors, management, others within California State University, Long Beach Research Foundation, federal awarding agencies, and pass-through entities and is not intended to be and should not be used by anyone other than these specified parties.

Wendie M. McLoughley

Long Beach, California
September 25, 2012
INDEPENDENT AUDITORS’ REPORT ON COMPLIANCE WITH REQUIREMENTS THAT COULD HAVE A DIRECT AND MATERIAL EFFECT ON EACH MAJOR PROGRAM AND ON INTERNAL CONTROL OVER COMPLIANCE IN ACCORDANCE WITH OMB CIRCULAR A-133

To the Board of Directors of
California State University,
Long Beach Research Foundation:

Compliance

We have audited California State University, Long Beach Research Foundation’s compliance with the types of compliance requirements described in the OMB Circular A-133 Compliance Supplement that could have a direct and material effect on each of California State University, Long Beach Research Foundation’s major federal programs for the year ended June 30, 2012. California State University, Long Beach Research Foundation’s major federal programs are identified in the summary of auditors’ results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to each of its major federal programs is the responsibility of California State University, Long Beach Research Foundation’s management. Our responsibility is to express an opinion on California State University, Long Beach Research Foundation’s compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States; and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about California State University, Long Beach Research Foundation’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. Our audit does not provide a legal determination of California State University, Long Beach Research Foundation’s compliance with those requirements.

In our opinion, California State University, Long Beach Research Foundation complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2012.
Internal Control Over Compliance

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

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

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

Schedule of Expenditures of Federal Awards

We have audited the financial statements of California State University, Long Beach Research Foundation as of and for the year ended June 30, 2012, and have issued our report thereon dated September 25, 2012, which contained an unqualified opinion on those financial statements. Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by OMB Circular A-133, and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the financial statements as a whole.
This report is intended solely for the information and use of the audit committee, Board of Directors, management, others within California State University, Long Beach Research Foundation, federal awarding agencies, and pass-through entities and is not intended to be and should not be, used by anyone other than these specified parties.

Long Beach, California
December 14, 2012, except for our report on the schedule of Expenditures of Federal Awards, for which the date is September 25, 2012
### RESEARCH AND DEVELOPMENT – CLUSTER:

#### U. S. Department of Agriculture

- **Agricultural Research, Special**
  - Pass Through: University of Alabama-Huntsville
    - Federal Grantor: U.S. Department of Agriculture
    - Federal CFDA Number: 10.200
    - Federal Expenditures: $42,763
    - Amounts Provided to Subrecipients: $31,923

- **Cooperative State Research**
  - Federal Grantor: U.S. Department of Agriculture
  - Federal CFDA Number: 10.223
  - Federal Expenditures: $11,944

- **AG & Food Research Initiative**
  - Federal Grantor: U.S. Department of Agriculture
  - Federal CFDA Number: 10.310
  - Federal Expenditures: $835,122

#### U.S. Department of Commerce

- **Sea Grant Support**
  - Pass Through: University of California - San Diego
    - Federal Grantor: U.S. Department of Commerce
    - Federal CFDA Number: 11.417
    - Federal Expenditures: $6,535

- **Habitat Conservation Coastal Services Center**
  - Pass Through: National Fish & Wildlife Foundation
    - Federal Grantor: U.S. Department of Commerce
    - Federal CFDA Number: 11.463
    - Federal Expenditures: $26,015

#### U.S. Department of Defense

- **Basic and Applied Scientific Research**
  - Federal Grantor: U.S. Department of Defense
  - Federal CFDA Number: 12.300
  - Federal Expenditures: $2,943,030
  - Amounts Provided to Subrecipients: $1,489,468

- **Basic Scientific Research**
  - Federal Grantor: U.S. Department of Defense
  - Federal CFDA Number: 12.431
  - Federal Expenditures: $104,771

- **Basic Applied and Advanced Research in Science and Engineering**
  - Pass Through: Garvey Spacecraft Corporation
    - Federal Grantor: U.S. Department of Defense
    - Federal CFDA Number: 12.630
    - Federal Expenditures: $102,808
    - Amounts Provided to Subrecipients: $31,826

- **Advanced Biomaterials**
  - Pass Through: Profusa, Inc.
    - Federal Grantor: U.S. Department of Defense
    - Federal CFDA Number: 12.800
    - Federal Expenditures: $60,044

#### U.S. Department of the Interior

- **Earthquake Hazards Reduction Program**
  - Pass Through: University of Southern California
    - Federal Grantor: U.S. Department of the Interior
    - Federal CFDA Number: 15.807
    - Federal Expenditures: $8,437
    - Amounts Provided to Subrecipients: $9,262
### RESEARCH AND DEVELOPMENT – CLUSTER (CONTINUED):

#### U.S. Department of Transportation

- **University Transportation Centers Program**
  - Federal Grantor: U.S. Department of Transportation
  - Federal CFDA Number: 20.200
  - Federal Expenditures: 86,906
  - Subrecipients: 38,129

- Pass Through:
  - **University of Southern California**
    - Federal CFDA Number: 20.701
    - Federal Expenditures: 266,187

#### NASA, AMES Research Center

- **Technology Utilization**
  - Federal CFDA Number: 43.002
  - Federal Expenditures: 1,110,791
  - Subrecipients: 107,836

- Pass Through:
  - **Garvey Spacecraft Corporation**
    - Federal CFDA Number: 43.002
    - Federal Expenditures: 51,584
  - **NASA Learning Experience**
    - Federal CFDA Number: 43.07381011
    - Federal Expenditures: 40,885

#### National Endowment for the Humanities

- **Promotion of the Humanities**
  - Federal CFDA Number: 45.160
  - Federal Expenditures: 100,800

#### National Science Foundation

- **Engineering Grants**
  - Federal CFDA Number: 47.041
  - Federal Expenditures: 18,845

- Pass Through:
  - **Regents of University of Colorado**
    - Federal CFDA Number: 47.041
    - Federal Expenditures: 21,643
  - **Mathematical and Physical Sciences**
    - Federal CFDA Number: 47.049
    - Federal Expenditures: 307,702
  - **Geosciences**
    - Federal CFDA Number: 47.050
    - Federal Expenditures: 273,442

- **Computer & Information Science & Engineering**
  - Federal CFDA Number: 47.070
  - Federal Expenditures: 6,905

- Pass Through:
  - **Cal Poly Corporation**
    - Federal CFDA Number: 47.070
    - Federal Expenditures: 6,905
  - **University of California, Irvine**
    - Federal CFDA Number: 47.070
    - Federal Expenditures: 8,473
## RESEARCH AND DEVELOPMENT – CLUSTER (CONTINUED):

### National Science Foundation (Continued)

- **Biological Sciences**
  - Federal Amount: 47.074
  - Federal Expenditures: 208,662
  - Subrecipients: 210,513

- **Pass Through:**
  - University of Missouri, Columbia
  - Federal Amount: 47.074
  - Federal Expenditures: 210,513

- **Social, Behavioral, and Economic Sciences**
  - Federal Amount: 47.075
  - Federal Expenditures: 174,277

- **Education and Human Resources**
  - Federal Amount: 47.076
  - Federal Expenditures: 177,310

  - **Pass Through:**
    - Chancellor’s Office California Community College
      - Federal Amount: 47.076
      - Federal Expenditures: 340
    - Pennsylvania State University
      - Federal Amount: 47.076
      - Federal Expenditures: 30,088
    - Arizona State University
      - Federal Amount: 47.076
      - Federal Expenditures: 2,021

- **NSF ARRA Research Support**
  - Federal Amount: 47.082
  - Federal Expenditures: 309,449

### Veteran’s Administration

- **Comprehensive End of Life**
  - Federal Amount: 64.07354910
  - Federal Expenditures: 25,784

### Environmental Protection Agency

- **White Croaker Along Palos Verde**
  - Federal Amount: 66.0736471
  - Federal Expenditures: 32,686

### Department of Energy

- **Office of Science Financial Assistance**
  - Federal Amount: 81.049
  - Federal Expenditures: 60,409

- **Renewable Energy Research and Development - ARRA**
  - Federal Amount: 81.087
  - Federal Expenditures: 174,218

- **Alpha Radiolysis of Nuclear Chemistry Research**
  - Federal Amount: 81.07372810
  - Federal Expenditures: 268,521

  - **Pass Through:**
    - Idaho National Lab
      - Federal Amount: 81.07389712
      - Federal Expenditures: 36,456

- **Joint Appointment Agreement Radio Chemistry Research**
  - Federal Amount: 81.07389712
  - Federal Expenditures: 36,456
### RESEARCH AND DEVELOPMENT – CLUSTER (CONTINUED):

#### U. S. Department of Education

- **Improvement of Postsecondary Education**
  - Education Research, Development and Dissemination
    - Pass Through: University of Houston
      - Federal CFDA Number: 84.305
      - Federal Amounts Provided to Subrecipients: 98,619

- **Improving Teacher Quality State Grants**
  - Pass Through: California Postsecondary Education Commission
    - Federal CFDA Number: 84.367
    - Federal Expenditures: 361,049
    - Amounts Provided to Subrecipients: 300,974
    - Subrecipients: Ecologies
      - Federal Amounts Provided to Subrecipients: 84,525
      - Amounts Provided to Subrecipients: 12,821

#### National Institutes of Health

- **Health Changes Program**
  - Pass Through: The Cambodian Family
    - Federal CFDA Number: 93.137
    - Federal Amounts Provided to Subrecipients: 20,550

- **Technological and Logistical Support**
  - Federal CFDA Number: 93.07356810
  - Federal Amounts Provided to Subrecipients: 15,710

- **HIV/AIDS Townhall Meeting**
  - Federal CFDA Number: 93.07377111
  - Federal Amounts Provided to Subrecipients: 71,879

- **AIDS 2012 Satellite Meeting – Planning and Coordination Assistance**
    - Federal CFDA Number: 93.07387311
    - Federal Amounts Provided to Subrecipients: 20,321

- **Cancer Treatment Research**
  - Pass Through: National Childhood Cancer Foundation
    - Federal CFDA Number: 93.395
    - Federal Amounts Provided to Subrecipients: 23,110
### CALIFORNIA STATE UNIVERSITY, LONG BEACH RESEARCH FOUNDATION

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS**

**FOR THE YEAR ENDED JUNE 30, 2012**

(Continued)

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-Through Grantor/Program or Cluster Title</th>
<th>Federal CFDA Number</th>
<th>Federal Expenditures</th>
<th>Amounts Provided to Subrecipients</th>
</tr>
</thead>
</table>

#### RESEARCH AND DEVELOPMENT – CLUSTER (CONTINUED):

**U. S. Department of Health and Human Services**

- Substance Abuse and Mental Health
  - Pass Through:
    - Substance Abuse Foundation 93.243 140,811
    - Drug Abuse Research Program 93.279 577,512
    - Minority Health & Health Disparities 93.307 951,184
  - Pass Through:
    - Behavioral Assessment, Inc. 93.307 110,813
- Academic Research Enhancement Award 93.390 88,754
- Trans-NIH Recovery Act Research Support – ARRA
  - Pass Through:
    - University of Miami 93.701 10,675
    - Biomedical Research and Research Training 93.859 1,229,483
    - Population Research 93.864 231,222 37,243
  - Pass Through:
    - University of California, Los Angeles 93.864 27,252
    - Center for Research for Mothers & Children 93.865 101,750 6,929
    - Specialty Selected Health Projects 93.888 30,582
    - Family & Community Violence Prevention 93.910 243,079 97,665
    - HIV Prevention Activities 93.940 35,247

**TOTAL RESEARCH AND DEVELOPMENT** 12,717,676 2,293,520
## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
### FOR THE YEAR ENDED JUNE 30, 2012
(Continued)

<table>
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<th>Federal Grantor/Pass-Through Grantor/Program or Cluster Title</th>
<th>Federal CFDA Number</th>
<th>Federal Expenditures</th>
<th>Amounts Provided to Subrecipients</th>
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<td>OTHER PROGRAMS:</td>
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<td>U. S. Department of Agriculture</td>
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<td>ROTC Language/Culture Training</td>
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CALIFORNIA STATE UNIVERSITY,
LONG BEACH RESEARCH FOUNDATION

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2012

(Continued)

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<th>Federal Grantor/Pass-Through Grantor/Program or Cluster Title</th>
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<th>Amounts Provided to Subrecipients</th>
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<td><strong>OTHER PROGRAMS (CONTINUED):</strong></td>
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<td>Highway Training and Education</td>
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## CALIFORNIA STATE UNIVERSITY, LONG BEACH RESEARCH FOUNDATION

### SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS

FOR THE YEAR ENDED JUNE 30, 2012

(Continued)

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<tr>
<td><strong>OTHER PROGRAMS (CONTINUED):</strong></td>
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<td><strong>U.S. Department of Veterans Affairs</strong></td>
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<td>Veterans Nursing Home Care</td>
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<td>84.042</td>
<td>462,782</td>
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<td>Talent Search</td>
<td>84.044</td>
<td>653,267</td>
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<tr>
<td>Upward Bound</td>
<td>84.047</td>
<td>1,031,506</td>
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<tr>
<td>TRIO-Educational Opportunity Center</td>
<td>84.066</td>
<td>222,769</td>
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<tr>
<td>Migrant Education</td>
<td>84.149</td>
<td>412,147</td>
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<tr>
<td>Bilingual Education – Professional Development</td>
<td>84.195</td>
<td>314,819</td>
<td>500</td>
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<td>McNair Post-Baccalaureate Achievement</td>
<td>84.217</td>
<td>230,435</td>
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<td>Special Education - Personnel Preparation</td>
<td>84.325</td>
<td>198,854</td>
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<tr>
<td>to Improve Services and Results for Children with Disabilities</td>
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<td></td>
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<tr>
<td>Transition to Teaching Program</td>
<td>84.350</td>
<td>94,536</td>
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<tr>
<td>Incarcerated Youth Offenders</td>
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<td></td>
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<tr>
<td>Pass Through:</td>
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<tr>
<td>California Department of Corrections</td>
<td>84.331</td>
<td>302,958</td>
<td>218,375</td>
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<td>Gaining Early Awareness and Readiness for Undergraduate Programs</td>
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<td>Pass Through:</td>
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<tr>
<td>Bellflower Unified School District</td>
<td>84.334</td>
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<td>Long Beach Unified School District</td>
<td>84.334</td>
<td>13,676</td>
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<td>California State University Fullerton Foundation</td>
<td>84.334</td>
<td>10,547</td>
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</table>
OTHER PROGRAMS (CONTINUED):

**U.S. Department of Education (Continued)**

- **Improving Teacher Quality State Grants**
  Pass Through:
  - California State University, Dominguez Hills
  - Postsecondary Education Commission, California
  - Federal CFDA Number: 84.367
  - Federal Expenditures: 54,249
  - Amounts Provided to Subrecipients: 11,165

- **College Access Challenge Grant**
  Pass Through:
  - California Student Aid Commission
  - Federal CFDA Number: 84.378
  - Federal Expenditures: 376,363

**U.S. Department of Health and Human Services**

- **Mental Health Research Grant**
  - Federal CFDA Number: 93.242
  - Federal Expenditures: 197,784

- **Substance Abuse & Mental Health**
  - Federal CFDA Number: 93.243
  - Federal Expenditures: 20,776

- **Advanced Nurse Education**
  - Federal CFDA Number: 93.358
  - Federal Expenditures: 99,450

- **Foster Care - Title IV-E**
  Pass Through:
  - Children/Family Services, LA County
  - University of California, Berkeley
  - Federal CFDA Number: 93.658
  - Federal Expenditures: 1,803,155, 2,313,866

- **Biomedical Research and Research Training**
  Pass Through:
  - Montana State University
  - Federal CFDA Number: 93.859
  - Federal Expenditures: 405,787

- **HIV Prevention Activities**
  Pass Through:
  - Department of Health Services, LA County
  - Federal CFDA Number: 93.940
  - Federal Expenditures: 311,502

- **Maternal and Child Health Services Block Grant to the States**
  Pass Through:
  - California Department of Health Services
  - Federal CFDA Number: 93.994
  - Federal Expenditures: 299,995
CALIFORNIA STATE UNIVERSITY,
LONG BEACH RESEARCH FOUNDATION

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2012
(Continued)

<table>
<thead>
<tr>
<th>Federal Grantor/Pass-Through Grantor/Program or Cluster Title</th>
<th>Federal CFDA Number</th>
<th>Federal Expenditures</th>
<th>Amounts Provided to Subrecipients</th>
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<tbody>
<tr>
<td>Corporation for National and Community Services</td>
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<tr>
<td>Americorps, ARRA Recovery Pass Through:</td>
<td>94.006</td>
<td>25,888</td>
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<tr>
<td>California Volunteers</td>
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<tr>
<td>State Homeland Security Program</td>
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<tr>
<td>TOTAL OTHER PROGRAMS</td>
<td>13,539,491</td>
<td>1,193,322</td>
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<td>TOTAL EXPENDITURES OF FEDERAL AWARDS</td>
<td>$ 26,257,167</td>
<td>$ 3,486,842</td>
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NOTE TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS FOR THE YEAR ENDED JUNE 30, 2012

NOTE 1 – Basis of Presentation

The accompanying schedule of expenditures of federal awards includes the federal grant activity of California State University, Long Beach Research Foundation, and is presented on the accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations. Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of, the basic financial statements.
SECTION I – SUMMARY OF AUDITORS’ RESULTS

Financial Statements

Type of auditors’ report issued – Unqualified

Internal control over financial reporting

1. Material weakness(es) identified? – None reported
2. Significant deficiencies identified? - None reported
3. Noncompliance material to financial statements noted? – No

Federal Awards

Internal control over major programs

1. Material weakness(es) identified? – No
2. Significant deficiencies identified? – None reported
3. Type of auditors’ report issued on compliance for major programs – Unqualified
4. Any audit findings disclosed that are required to be reported in accordance with Section 510(a) of OMB Circular A-133? – No
5. Identification of major programs: TRIO Cluster: Student Support Services – CFDA# 84.042, Talent Search – CFDA# 84.044, Upward Bound – CFDA# 84.047, TRIO – Educational Opportunity Center – CFDA# 84.066, McNair Post-Baccalaureate Achievement – CFDA# 84.217; Foster Care Title IV-E – CFDA# 93.658; Research and development cluster with various CFDA numbers.
6. Dollar threshold used to distinguish between type A and type B programs was $787,715.
7. Auditee qualified as low-risk auditee? – No

SECTION II – FINANCIAL STATEMENTS FINDINGS

None

SECTION III – FEDERAL AWARD FINDINGS AND QUESTIONED COSTS

None