UNIVERSITY
AUXILIARY AND RESEARCH SERVICES
CORPORATION
at California State University San Marcos

Dr. Sharon Whitehurst-Payne, Chair
Cal State San Marcos

Dr. Matthew J. Ceppi
President's Designee
Cal State San Marcos

Mr. David Chang
Community Member
Hampton Inn San Diego/
San Marcos

Mr. Tres Conrique
Community Member
Rancho Santa Fe Technology

Dr. Chuck De Leone
Faculty Member
Cal State San Marcos

Dr. Linda L. Hawk
Designated Member
Cal State San Marcos

Mr. Brandon Losey
Alumni Member
Dowling & Yahnke Wealth
Management

Mr. Dimitris Magemeneas
Community Member
Edward Jones

Ms. DawnMarie Myers
Student Member
Cal State San Marcos

Dr. Graham Oberem
Designated Member
Cal State San Marcos

Dr. Ernest E. Zomalt, Vice Chair
Community Member

Regular Meeting of the Board of Directors

Thursday, May 28, 2015 - 4:00 p.m. – 5:30 p.m.
Center for Children and Families Classroom

AGENDA

I. **Convening of the Regular Board Meeting**
   A. Consideration of Minutes February 26, 2015 Regular Meeting (**Attachment A**)

II. **Committee Reports and University Updates**
   A. Finance & Operations Committee *(Whitehurst-Payne)*
   B. Joint Audit Committee *(Chang)*
   C. Sponsored Projects Committee *(Whitehurst-Payne)*
   D. Administration Report (*Newberg)*
   E. University Update (*Ceppi)*

III. **Action Items**
   A. Quarterly Financial Report & Summary 03/31/15 *(Roberts)* (**Attachment B**)
   B. FY 15/16 Operating Budget & Resolution (*Svatora)* (**Attachment C**)
   C. Form 990 Tax Return FY 13/14 Ratification (*Svatora)* (**Attachment D**)
   D. FY 15/16 Compensation Administration Guidelines – Sponsored Projects *(Hinojosa)* (**Attachment E**)
   E. UARSC Name Change (*Newberg*)

IV. **Closed Session**

V. **Adjournment of Regular Meeting**

Next Meeting: September 3, 2015 @ 4:00 p.m., Center for Children & Families Classroom

ATTACHMENT A

Minutes of February 26, 2015 Meeting

UNIVERSITY
AUXILIARY AND RESEARCH SERVICES
CORPORATION
at California State University San Marcos

Minutes of the Regular Meeting of the Board of Directors
February 26, 2015
Center for Children and Families Classroom

Attendees:

Members: *Sharon Whitehurst-Payne (Chair), Ernest Zomalt (Vice Chair), Chuck De Leone, Linda Hawk, Brandon Losey, Dimitris Magemeneas, DawnMarie Myers, David Chang, Graham Oberem*

Absent: *Matthew J. Ceppi, Tres Conrique*

Staff: *Bella Newberg, Greg Svatora, Michelle Hinojosa, Michelle Meeks, Clint Roberts, Theresa Ruffolo, Tipper Phillips*

Guests: *Representing Follett Higher Education Group Inc. - VP of Marketing, Mary Perry; Regional Manager, Sue Duits; and Store Manager, Pamela Lovsted.*

Special Guest Presentation

Newberg introduced special guest speakers from Follett Higher Education Group: VP of Marketing - Mary Perry, Regional Manager - Sue Duits and Bookstore Manager - Pamela Lovsted. Follett provided an overall view of campus bookstore services that included industry trends, goals, and renovated space in the Dome. Perry talked about the new and innovative CSUSM University Store that will combine the University Store and Bookstore together in one central location, opening in Fall, 2015. This development will offer enhanced shopping at one central location to save time and aid students by offering: new larger textbook store layout; enlarged gifts and apparel section; new general book department; and a new technology center. Perry presented some statistics regarding course materials, and book sales versus book rentals. Sixty-five percent of book titles can be rented and this represents a growing market niche. They introduced their "Faculty Discover" program – a smarter way to seek out, evaluate and adopt course materials and "Student Discover" - one access point for students to buy or rent books and choose new or used, print or digital materials. These programs are already in place at CSU San Bernardino. Their goal is to stay relevant in the digital age. Once they have relocated to the Dome they will sponsor author readings and special events. They will offer a lowest price guarantee and market more aggressively. The increased space and improved design will allow them to market school-specific apparel, gifts and accessories. Zomalt was concerned about the pathway to Craven through the Dome and the current patio seating area. Students like having a space for meeting and studying in this vicinity. Newberg reassured the Board members that access will still be possible thru the outside of the Dome and via a corridor that will be situated behind the Dome. The Patio will still be available for Students to use.

Convening of the Regular Meeting
A quorum being present, Chair Whitehurst-Payne called the meeting to order at 4:40 p.m.

Changes to Agenda
Agenda Item IV.D., Selection of Auxiliary Audit Firm, was added to the Consent Agenda and became the new Attachment E. Agenda Item V.A., Proposed FY 15/16 Meeting Calendar was changed to Attachment F. Whitehurst-Payne confirmed that everyone received the updated agenda.

Minutes of the November 13, 2014 Regular Meeting
A motion was made and seconded (Magemeneas/DeLeone) to approve the November 13, 2014 Regular meeting minutes. Motion carried.

Committee Reports
Finance and Operations Committee
Whitehurst-Payne reported. The Finance & Operations Committee met on February 17, 2015 to review Quarterly Financial Reports, Revision to 2014/2015 Budget, and Revision to Delegation of Authority Policy. These items will be considered for action later in the meeting.

Joint Audit Committee
Chang reported. The Joint Audit Committee of the three CSUSM auxiliaries (UARSC, Foundation, and ASI) met for a special session on February 3, 2015 to review the Audit Firm RFP process and results. A representative from each of the Auxiliaries was represented on the review panel. Five firms submitted proposals. The RFP committee is recommending AKT as the new CSUSM Auxiliary Auditor for a term of three years with options to extend. This will be considered for action later in the meeting.

Sponsored Projects
Meeks shared the Awards Report for July – December, 2014. Ten new awards were submitted during that time period with 20 continuing awards for a total of $5.3M. Oberem reported that the Pre-Award Office is reaching out to faculty to cultivate community and support grant-writing activities. Outreach activities include a monthly newsletter to faculty highlighting new grant awards. The Board was interested in receiving a copy of this newsletter as well. A new web form was created to capture faculty research efforts and follow up will occur to faculty who submit proposals. The goal of a faculty database is to support grant writing efforts and to increase successful grant submissions. Pre-Award staff are actively reaching out to faculty via meetings at the department and college level. Presentations are being provided to new faculty. This year, thirty faculty searches were conducted. Goal is to send quarterly summaries to administrators. Challenge with on-line Sponsored Project approval form. Pre-Award and Post- Award Sponsored Projects teams meet regularly.

Administration Update

Newberg reported a Fall ribbon-cutting ceremony will happen for Follett's new location in the Dome. Follett has a presence at every athletic event, no matter the size. Starbucks remodel project is on schedule and will bid in March. Based upon information that was gathered at the November Board Meeting in regards to changing the UARSC corporate name, we recommend the formation of a small sub-committee to evaluate the option of getting a DBA (Goal #8). The sub-committee would comprise of Linda Hawk, Matt Ceppi, Bella Newberg, Greg Svatora, and DawnMarie Myers. Newberg provided an overview of changes being made to our catering operations and is forming a team to issue a Request for Qualifications and then a Request for Proposal to select 3-4 preferred caterers (Goal #6). SODEXO will automatically be on the list as the campus food service provider. Newberg has notified SODEXO of our intentions to reduce the number of caterers and the intent to re-negotiate the Sodexo contract to collect commission on catering after preferred caterers are selected. The RFQ will be issued in March and the process will be completed by July. This may enable UARSC to collect commissions on catering sales. Financing options are being evaluated to move UARSC Central offices to campus (Goal #4). Last year we entered into a contract with a vendor, Paylocity, for HR/Payroll IT services. However, after review of their design development; we opted to stay with ADP. We are currently in the process of moving forward with an upgrade of our current system and evaluating enhancements to create efficiencies and provide the reporting capabilities as we implement the Affordable Care Act and mandatory paid sick leave regulations. A few staff attended the CSU Auxiliary Organizations Association Conference in early February. Agenda items included Uniform Guidance updates, Legislative and Compliance Updates, and many other timely and important topics. Hinojosa was appointed Chair of the HR Subcommittee for the HR Summer Conference to be held at CSUSM and Meeks was appointed as Vice-Chair of the Research Subcommittee.

University Update

Budget

Hawk reported that the Governor released the January budget and the fiscal outlook for California's economy and state government is positive. The Legislative Analyst's Office estimates revenues for FY 2014-15 to be about $2 billion higher than estimated in this year's budget act. This amount is fully offset by spending on Proposition 98. Governor Brown's FY 2015-16 budget allocates $119.5 million for the CSU, which is $97.1 million short of the Board of Trustees' budget request.

Diversity Mapping

In Fall 2014, CSUSM retained Halualani & Associates to map our current diversity, equity, and inclusion efforts, programs, events, initiatives and courses. Halualani & Associates collected their data by conducting focus groups and individual interviews with faculty, staff, administration, and students. They also collected data from the CSUSM website, and made specific requests for documents and information. When the initial mapping was completed, findings and analyses were presented to President Haynes and the Diversity Mapping Steering Committee. Certain areas and departments will further review recommendations arising from the project and identify potential

gaps where the findings may have overlooked or left out what has already been done or is in progress.

Construction/Renovation Projects

Two projects recently completed- The School of Nursing Renovation and the Student Health and Counseling building. An entire floor of University Hall was renovated for the School of Nursing. This is very exciting for the program and our Nursing students since they are on campus for the first time and are now close to all other supporting programs. Student Health and Counseling Services is also on campus now. They had their ribbon cutting and grand opening at the beginning of the semester. Construction for the new Sports Center began last week leaving pedestrian only access to the Clarke Field House. Underground utilities are currently underway and then major site grading will begin. The anticipated completion date is August 2016.

General

Discover CSUSM day will be held on April 11 with many events and activities on campus. Follett and Sodexo provided generous donations for the day. Four hundred backpacks were provided by Follett. The Gala will be held on June 20, please join us at the sponsored UARSC table.

Consent Agenda

Whitehurst-Payne explained that a Consent Agenda was included as Item IV in the meeting Agenda. She explained the purpose of the Consent Agenda is to save time. Whitehurst-Payne asked if anyone had any questions about the Consent Agenda process. There being none Whitehurst-Payne then asked if anyone wanted to move any items from the Consent Agenda to the Regular Agenda. There being none, a motion comes moved and seconded from the Finance and Operations Committee to approve Quarterly Financial Report & Summary 09/30/14 & 12/31/14 (Attachment B), Revision to 2014/2015 Budget (Attachment C); and Revision to Delegation of Authority Policy (Attachment D). *Motion carried.*

A motion comes moved and seconded from the Joint Audit Committee to approve AKT as the new Auxiliary Audit Firm (Attachment E). *Motion carried.*

Action Items

FY 15/16 Meeting Calendar

Newberg reviewed the proposed FY 15/16 Board Meeting Calendar. *A motion was made and seconded (DeLeone/Losey) to approve the proposed FY15/16 meeting calendar as presented. Motion carried.*

Closed Session

At 5:25 p.m., a motion was made and seconded (Losey/Magemeneas) to enter into a Closed Session to discuss a personnel matter. Motion carried. All UARSC staff members in attendance were excused by Chair Whitehurst-Payne. The Board Members moved to a Closed Session. Action was taken in the Closed Session that was made and seconded (Myers/Oberem).

Adjournment

The next Annual Board meeting is scheduled for May 28, 2015 at 4:00 p.m., Center for Children and Families.

The meeting adjourned by acclamation at 5:35 p.m.

Respectfully submitted,
Theresa Ruffolo

I, Bella Newberg, Secretary, hereby certify that the above Minutes were approved by the University Auxiliary and Research Services Corporation Board of Directors at a regular meeting held on May 28, 2015 at San Marcos, California.

_____ _____

Secretary Date

ATTACHMENT B

Quarterly Financial Report 3/31/15 and Summary

University Auxiliary and Research Services Corporation

Summary of 3/31/15 Financial Statements

Statement of Financial Position (pg1)

Assets: Total assets as of 3/31/15 were $12,825,760 which marks an $8.4 million decrease from asset balances at the beginning of the quarter. The decrease was mainly driven by a $7.8 million reduction in cash and investments held on behalf of the CSUSM Foundation. These funds were transferred to Foundation custody during the quarter to allow the philanthropic entity to directly manage and invest their funds independently. Prior to this transfer, UARSC carried a $7.8 million "Due to CSUSMF" liability balance which directly offset the investments held for Foundation. The liability was also cleared out in this investment transfer transaction. As such, this activity has a net-zero impact to the UARSC balance sheet and relating net assets.

Liabilities: Total liabilities declined by $8.6 million over the quarter to end at $5,184,590 as of 3/31/15. The decrease is mainly due to the above-mentioned $7.8 million transfer of investments held on behalf of the Foundation. In addition, Deferred Revenues experienced a quarterly decline of $824k as a result of swifter program spending in comparison to relating agency advances.

Net Assets: Total Net Assets increased by $180k for the quarter. Campus/Designated Programs net assets grew by $310k for the quarter due mainly to the transfer allocation of admin fee revenues from various campus projects. This increase was partially offset by a $63k reduction in Operating Reserves for post-retirement benefit accruals and $91k reduction in Building & Fixtures for depreciations expense.

Administrative Operating Summary (pg2)

- Net administrative fee recovery from Grants and Contracts generated indirect recovery revenues of $308k for the quarter which was consistent with budget. The annual amount of indirect sharing to the campus amounted to $170k for the quarter. The annual indirect sharing to campus amounted to $375k, and was transferred to respective program accounts during quarter. This $375k final allocation figure is favorable by $35k compared to the $410k annual budget amount.

- Campus Program Admin Fee Revenues: Campus Program admin fee revenue for the fiscal year-to-date was $134k which is favorable to budget by $21k.

- Bookstore Net Revenue: Fiscal year-to-date commissions of bookstore net revenues were $318k which is below budget by about $42k and down by 7% compared to revenues earned this time last year. The decline is partly due to a decreased commission rate in conjunction with the expansion/renovation of the bookstore space.

- UARSC Operating Expenses continue to run below budget. Fiscal Year-to-Date expense amounted to $938k which is 97k favorable to budget.

- Net Operating Revenues for the nine-months ending 3/31/14 amounted to $11.8k, which is below budget by $62k. This shortfall mainly relates to lower than expected Grant/Contract Admin Fee revenue mentioned due in part to decline in overall admin rates charged.

Program Revenue Activity Summary (pg3)

Total Grants and Contracts fiscal year-to-date activity through 3/31/15 was approximately $5.1 million, which is unfavorable to budget by $379k.

Campus and Designated Programs gross fiscal year-to-date revenue activity through 3/31/15 was approximately $2.1 million, or $277k favorable to budget.

University Auxiliary and Research Services Corporation
Statement of Financial Position
March 31, 2015

Assets	Balance 03/31/15	Balance 12/31/14	Quarter Increase/ (Decrease)
Cash and Short-Term Investments-(UARSC)	$ 4,570,188	$ 4,638,030	$ (67,842)
Cash and Short-Term Investments-(CSUSMF)	-	7,812,839	(7,812,839)
Accts Receivable-Sponsored Programs	492,896	819,092	(326,196)
Due from CSUSMF	144,069	-	144,069
Other Receivable	925,326	1,117,619	(192,293)
Other Assets	112,362	139,130	(26,768)
CCF-Bldg & Fixtures (Net)	4,919,994	5,011,035	(91,041)
Property & Equipment (Net)	1,660,925	1,702,042	(41,117)
Total Assets	**$ 12,825,760**	**$ 21,239,787**	**$ (8,414,027)**
Liabilities & Net Assets			
Liabilities:			
Accounts Payable and Accrued Expenses	$ 1,350,740	$ 1,371,949	$ (21,209)
Due to CSUSMF	-	7,812,839	(7,812,839)
Deferred Revenue	1,711,100	2,535,365	(824,265)
Notes Payable - CSUSM	250,000	250,000	-
Post-Retiree Health Benefit Accrual	1,872,750	1,809,356	63,394
Total Liabilities	**$ 5,184,590**	**$ 13,779,508**	**$ (8,594,919)**
Net Assets:			
Unrestricted:			
Operating Reserves	$ 549,385	$ 612,781	$ (63,396)
Campus/Designated Programs	1,790,713	1,480,563	310,150
Administrative Current Year Net Activity	11,778	(15,534)	27,312
CCF-Bldg & Fixtures	4,919,994	5,011,035	(91,041)
Equipment	369,300	371,435	(2,135)
Total Net Assets	**$ 7,641,170**	**$ 7,460,279**	**$ 180,890**
Total Liabilities & Net Assets	**$ 12,825,760**	**$ 21,239,787**	**$ (8,414,027)**

University Auxiliary and Research Services Corporation
Administrative Operating Summary
7/1/14 to 3/31/15

	Annual Budget FY 14/15	Quarter 3 1/1/2015 - 3/31/2015 Budget	Actual	Variance	Fiscal Year To Date 7/1/14 to 3/31/15 Budget	Actual	Variance	Comparison of Prior FYTD Actual to Current FYTD Actual: Prior FYTD 3/31/14	Current FYTD 3/31/15	% Inc. (Dec.)
Revenue										
Grant/Contract Admin Fees	$ 1,212,572	$ 303,143	$ 308,029	$ 4,886	$ 909,429	$ 747,127	$ (162,302)	$ 889,796	$ 747,127	-16%
Less: University Sharing	(410,040)	(205,020)	(169,767)	35,253	(410,040)	(374,787)	35,253	(301,500)	(374,787)	24%
Net Grant/Contract Admin Fees	**$ 802,532**	**$ 98,123**	**$ 138,262**	**$ 40,139**	**$ 499,389**	**$ 372,340**	**$ (127,049)**	**$ 588,296**	**$ 372,340**	**-37%**
Admin Fees - Campus Programs	150,000	37,500	(5,139)	(42,639)	112,500	133,378	20,878	114,985	133,378	16%
Bookstore Net Revenue	400,000	160,000	128,828	(31,172)	360,000	318,080	(41,920)	347,000	318,080	-8%
Other Commercial Services Revenues	124,000	31,000	31,583	583	93,000	92,701	(300)	119,814	92,701	-23%
Investment Income	43,750	10,938	13,832	2,894	32,813	12,382	(20,431)	31,054	12,382	-60%
Leases/Mgmt Fees/Support	45,000	11,250	11,247	(3)	33,750	33,378	(372)	43,686	33,378	-24%
Total Revenue	**$ 1,565,282**	**$ 348,811**	**$ 318,613**	**$ (30,197)**	**$ 1,131,452**	**$ 962,259**	**$ (169,192)**	**$ 1,244,835**	**$ 962,259**	**-23%**
Expenses: Food Service	30,000	7,500	2,411	5,089	22,500	12,591	9,909	24,437	12,591	-48%
Expenses: UARSC Operations	1,379,726	344,932	288,890	56,042	1,034,795	937,891	96,904	1,203,876	937,891	-22%
Net Operating Revenues	**$ 155,556**	**$ (3,621)**	**$ 27,313**	**$ 30,934**	**$ 74,157**	**$ 11,778**	**$ (62,379)**	**$ 16,522**	**$ 11,778**	**-29%**

University Auxiliary and Research Services Corporation
Program Revenue Activity Summary
7/1/14 to 3/31/15

Program Activity	Annual Budget FY 14/15	Quarter 3 1/1/15 - 3/31/15 Budget	Quarter 3 1/1/15 - 3/31/15 Actual	Quarter 3 1/1/15 - 3/31/15 Variance	Fiscal Year To Date 7/1/14 to 3/31/15 Budget	Fiscal Year To Date 7/1/14 to 3/31/15 Actual	Fiscal Year To Date 7/1/14 to 3/31/15 Variance	Comparison of Prior FYTD Actual to Current FYTD Actual: Prior FYTD 3/31/2014	Comparison of Prior FYTD Actual to Current FYTD Actual: Current FYTD 3/31/2015	Comparison of Prior FYTD Actual to Current FYTD Actual: % Inc. (Dec.)
Grants/Contracts										
Federal	$ 6,285,000	$ 1,571,250	$ 1,719,828	$ 148,578	$ 4,713,750	$ 4,553,475	$ (160,275)	$ 4,878,593	$ 4,553,475	-7%
State/Private/Other	1,054,000	263,500	260,869	(2,631)	790,500	572,142	(218,358)	714,014	572,142	-20%
Total Grants/Contracts	$ 7,339,000	$ 1,834,750	$ 1,980,697	$ 145,947	$ 5,504,250	$ 5,125,617	$ (378,633)	$ 5,592,567	$ 5,125,617	-8%
Campus/Designated Programs	$ 2,463,000	$ 615,750	$ 1,035,128	$ 419,378	$ 1,847,250	$ 2,124,396	$ 277,146	$ 1,815,425	$ 2,124,396	17%
Total Program Revenues	$ 9,802,000	$ 2,450,500	$ 3,015,826	$ 565,326	$ 7,351,500	$ 7,250,014	$ (101,486)	$ 7,407,992	$ 7,250,014	-2%

ATTACHMENT C

FY 15/16 Operating Budget & Resolution

UARSC ADMIN BUDGET
Projected FY 2014-15 Actuals / FY 2015-16 Draft Net Revenue Budget

	FY 14/15 PROJECTED		FY 15/16 PROPOSED BUDGET			
	FY 2014-15 Budget - Board Appv'd 2/26/15	*Total Projected FY 2014-15 Actuals*	*FY 2015-16 UARSC Admin Budget*	*FY 2015-16 Sponsored Proj Budget*	*FY 2015-16 UARSC Admin Combined Budget*	*Comments*
Revenues						
Investment Interest	20,425	20,425	20,500		20,500	
Commissions Coffee Cart	32,000	33,380	35,000		35,000	Percentage of sales
Commissions ATM (WF & Allstate)	11,960	11,961	12,000		12,000	Based on ATM transactions and space rent
Commissions AT&T	6,620	6,620	6,650		6,650	Commissions on student phone service plans
Commissions Follett	383,717	345,135	355,500		355,500	3% increase of projected FY 14/15
Commissons Pepsi	51,138	61,171	64,500		64,500	Royalty rebates, sales commissions, sponsorship
Commissions First Class Vending	17,500	17,826	17,500		17,500	Minimum commissions of $15K and $2,500 for campus support
Commissions Catering			25,000		25,000	Contingent upon completion of RFP by Dec 2015
Revenue Other	44,262	149,623	77,096		77,096	CCLC, Campus rent, Follett utilities reimb
Exchange of Value - Campus	134,746	126,576	202,533		202,533	Campus MOU Agreement
Overhead Admin Fee - Campus Programs	227,563	177,563	168,000		168,000	% of Campus Program expenditures
Indirect Cost - Sponsored Projects	1,174,000	972,130		972,130	972,130	% of Sponsored Project expenditures
Total Revenues	**2,103,931**	**1,922,410**	**984,279**	**972,130**	**1,956,409**	
Expenditures						
Salaries	572,543	564,144	243,670	346,762	590,432	7FT, 2PT, 1 Student Asst
Benefits	229,472	204,975	94,052	138,792	232,844	
Telephone	7,500	6,676	5,940	1,560	7,500	
Utilities	7,000	0				FY15/16 included in EOV
Travel & Meetings	10,000	12,577	5,500	6,150	11,650	
Contractual Services	101,500	92,081	85,500	20,000	105,500	Legal, Audit and Independent Contractor
Membership Dues & Subscriptions	4,700	9,824	3,980	895	4,875	
Postage & Freight	4,500	3,176	4,500		4,500	
Printing	1,200	618	1,200		1,200	
Loan Interest Charges	0	0	7,500		7,500	Starbucks remodel loan
Bank Service Charges	22,250	21,028	22,250		22,250	
Insurance Premium	41,363	41,136	53,834	4,000	57,834	
Space Rental	45,000	45,000	40,500	4,500	45,000	
Recruitment	2,000	3,148	3,000		3,000	
Community Relations & Support	5,000	4,129	5,000		5,000	Gala, Report to the Community
SupSvc Payroll Fees	34,050	28,707	9,893	29,680	39,573	
Supplies & Services	34,300	35,954	22,050	9,700	31,750	
Commercial Services Repair & Maint	30,000	30,000	29,000		29,000	
Campus Support Operations	364,768	364,768	201,279	218,053	419,332	Campus support services (FAS)
Computer Refresh	59,700	41,644	16,850	5,150	22,000	
Campus Relations	0	32,500	32,500		32,500	
Indirect Shareback-Sponsored Projects	374,787	374,787	0	186,888	186,888	Net Sponsored Projects Revenue Transferred to Campus/Provost
Total Expenditures	**1,951,633**	**1,916,873**	**887,998**	**972,130**	**1,860,128**	
Net Income (Loss)	**$ 152,298**	**$ 5,537**	**$ 96,281**	**$ -**	**$ 96,281**	

UNIVERSITY
AUXILIARY AND RESEARCH SERVICES
CORPORATION
at California State University San Marcos

OPERATING BUDGET RESOLUTION
FISCAL YEAR 2015-2016

The University Auxiliary and Research Services Corporation operates on a fiscal year beginning July 1 and ending June 30, and

The University Auxiliary and Research Services Corporation Board of Directors approves the operating budget for each fiscal year,

The Board of Directors of the University Auxiliary and Research Services Corporation approved the attached operating budget for the 2015-2016 fiscal year, effective July 1, 2015 and ending June 30, 2016, and

Through her signature below, University President, Karen S. Haynes, signifies her approval of said budget and authorizes University Auxiliary and Research Services Corporation management to proceed with implementation effective July 1, 2015.

_____ _____

Karen S. Haynes, Ph.D.
University President

Date

I hereby certify the attached operating budget for 2015-2016 was adopted by the Board of Directors of the University Auxiliary and Research Services Corporation at a regular meeting held on May 28, 2015, at San Marcos, California.

_____ _____

Bella Newberg
Secretary

Date

ATTACHMENT D

Form 990 Tax Return FY 14/14 Ratification

EXTENDED UNTIL MAY 15, 2015

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.

▶ Information about Form 990 and its instructions is at www.irs.gov/form990

OMB No. 1545-0047

2013

Open to Public Inspection

A For the 2013 calendar year, or tax year beginning JUL 1, 2013 and ending JUN 30, 2014

B Check if applicable:
- ☐ Address change
- ☐ Name change
- ☐ Initial return
- ☐ Terminated
- ☐ Amended return
- ☐ Application pending

C Name of organization
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Doing Business As

Number and street (or P.O. box if mail is not delivered to street address) | Room/suite
435 E. CARMEL STREET

City or town, state or province, country, and ZIP or foreign postal code
SAN MARCOS, CA 92078

F Name and address of principal officer: BELLA NEWBERG
SAME AS C ABOVE

D Employer identification number
33-0397688

E Telephone number
760-750-4700

G Gross receipts $ 10,342,486.

H(a) Is this a group return for subordinates? ☐ Yes ☒ No

H(b) Are all subordinates included? ☐ Yes ☐ No
If "No," attach a list. (see instructions)

H(c) Group exemption number ▶

I Tax-exempt status: ☒ 501(c)(3) ☐ 501(c) ( ) ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527

J Website: ▶ WWW.CSUSM.EDU/UARSC

K Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶

L Year of formation: 1990 **M** State of legal domicile: CA

Part I Summary

1	Briefly describe the organization's mission or most significant activities: TO PROVIDE FINANCIAL AND PROGRAM ADMINISTRATIVE SUPPORT TO CALIFORNIA STATE UNIVERSITY SAN MARCOS.		
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)	3	13
4	Number of independent voting members of the governing body (Part VI, line 1b)	4	9
5	Total number of individuals employed in calendar year 2013 (Part V, line 2a)	5	587
6	Total number of volunteers (estimate if necessary)	6	56
7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.
b	Net unrelated business taxable income from Form 990-T, line 34	7b	0.

		Prior Year	Current Year
8	Contributions and grants (Part VIII, line 1h)	7,527,060.	7,442,507.
9	Program service revenue (Part VIII, line 2g)	1,526,200.	2,356,413.
10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	47,360.	29,928.
11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	515,643.	419,534.
12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	9,616,263.	10,248,382.
13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)	94,662.	8,214.
14	Benefits paid to or for members (Part IX, column (A), line 4)	0.	0.
15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	6,351,516.	6,582,578.
16a	Professional fundraising fees (Part IX, column (A), line 11e)	0.	0.
b	Total fundraising expenses (Part IX, column (D), line 25) ▶ 0.		
17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	4,020,152.	4,188,681.
18	Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	10,466,330.	10,779,473.
19	Revenue less expenses. Subtract line 18 from line 12	-850,067.	-531,091.

		Beginning of Current Year	End of Year
20	Total assets (Part X, line 16)	19,374,852.	20,745,961.
21	Total liabilities (Part X, line 26)	11,004,132.	12,876,403.
22	Net assets or fund balances. Subtract line 21 from line 20	8,370,720.	7,869,558.

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 — Date

▶ GREG SVATORA, FINANCE DIRECTOR
Type or print name and title

Paid Preparer Use Only

Print/Type preparer's name: CHRISTOPHER M. PEKULA | Preparer's signature: Christopher M. Pekula | Date: 05/01/15 | Check ☐ if self-employed | PTIN: P00734965

Firm's name ▶ MCGLADREY LLP | Firm's EIN ▶ 42-0714325

Firm's address ▶ 515 S. FLOWER STREET, 41ST FLOOR
LOS ANGELES, CA 90071 | Phone no. 213-330-4800

May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No

Part III Statement of Program Service Accomplishments

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

1 Briefly describe the organization's mission:
SEE SCHEDULE O

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 $ 6,216,828. including grants of $ _____) (Revenue $ _____)
ADMINISTRATION OF RESEARCH AND TRAINING GRANTS AWARDED TO THE CAMPUS FACULTY FROM VARIOUS FEDERAL, STATE, AND OTHER GOVERNMENTAL AGENCIES AND PRIVATE FOUNDATIONS. FEDERAL GRANT REVENUES TOTALED $6.1 MILLION WHILE STATE AND LOCAL GOVERNMENT AGENCY GRANT REVENUES TOTALED $853,000. GRANTS AND AWARDS FROM PRIVATE FOUNDATIONS AND OTHER NON-GOVERNMENTAL ENTITIES TOTALED $499,000.

4b (Code: _____) (Expenses $ 1,436,632. including grants of $ 8,214.) (Revenue $ 2,356,413.)
PROVIDE FINANCIAL AND ADMINISTRATIVE SUPPORT SERVICES TO VARIOUS CAMPUS PROGRAMS AND ACTIVITIES INCLUDING STUDENT HOUSING AND ASSOCIATED STUDENTS ORGANIZATIONS. OTHER CAMPUS PROGAMS FOR WHICH SERVICES WERE PROVIDED INCLUDE FACULTY RESEARCH DEVELOPMENT AND VARIOUS COMMUNITY OUTREACH PROGRAMS.

4c (Code: _____) (Expenses $ 1,327,230. including grants of $ _____) (Revenue $ _____)
OPERATION OF THE CAMPUS FOOD SERVICE AND BOOKSTORE ACTIVITIES FOR THE STUDENTS, FACULTY, AND STAFF OF CALIFORNIA STATE UNIVERSITY SAN MARCOS.

4d Other program services (Describe in Schedule O.)
(Expenses $ _____ including grants of $ _____) (Revenue $ _____)

4e Total program service expenses ▶ 8,980,690.

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	X	
2	Is the organization required to complete *Schedule B, Schedule of Contributors*?	2	X	
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		X
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		X
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		X
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		X
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		X
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? *If "Yes," complete Schedule D, Part III*	8		X
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		X
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		X
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	X	
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		X
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		X
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		X
e	Did the organization report an amount for other liabilities in Part X, line 25? *If "Yes," complete Schedule D, Part X*	11e	X	
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)? *If "Yes," complete Schedule D, Part X*	11f	X	
12a	Did the organization obtain separate, independent audited financial statements for the tax year? *If "Yes," complete Schedule D, Parts XI and XII*	12a	X	
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	X	
13	Is the organization a school described in section 170(b)(1)(A)(ii)? *If "Yes," complete Schedule E*	13		X
14a	Did the organization maintain an office, employees, or agents outside of the United States?	14a		X
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		X
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		X
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		X
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*	17		X
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		X
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		X
20a	Did the organization operate one or more hospital facilities? *If "Yes," complete Schedule H*	20a		X
b	If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?	20b		

Part IV Checklist of Required Schedules *(continued)*

			Yes	No
21	Did the organization report more than $5,000 of grants or other assistance to any domestic organization or government on Part IX, column (A), line 1? *If "Yes," complete Schedule I, Parts I and II*	21		X
22	Did the organization report more than $5,000 of grants or other assistance to individuals in the United States on Part IX, column (A), line 2? *If "Yes," complete Schedule I, Parts I and III*	22	X	
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	X	
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		X
b	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b		
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		
d	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d		
25a	**Section 501(c)(3) and 501(c)(4) 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		X
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		X
26	Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? If so, complete Schedule L, Part II	26		X
27	Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? *If "Yes," complete Schedule L, Part III*	27		X
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, or key employee? *If "Yes," complete Schedule L, Part IV*	28a		X
b	A family member of a current or former officer, director, trustee, or key employee? *If "Yes," complete Schedule L, Part IV*	28b		X
c	An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? *If "Yes," complete Schedule L, Part IV*	28c		X
29	Did the organization receive more than $25,000 in non-cash contributions? *If "Yes," complete Schedule M*	29		X
30	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? *If "Yes," complete Schedule M*	30		X
31	Did the organization liquidate, terminate, or dissolve and cease operations? *If "Yes," complete Schedule N, Part I*	31		X
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		X
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? *If "Yes," complete Schedule R, Part I*	33		X
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	X	
35a	Did the organization have a controlled entity within the meaning of section 512(b)(13)?	35a		X
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		
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		X
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		X
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	X	

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	271		
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		X	
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	587		
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	2b		X	
	Note. If the sum of lines 1a and 2a is greater than 250, you may be required to *e-file* (see instructions)				
3a	Did the organization have unrelated business gross income of $1,000 or more during the year?	3a			X
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			
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			X
b	If "Yes," enter the name of the foreign country: ▶				
	See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.				
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a			X
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b			X
c	If "Yes," to line 5a or 5b, did the organization file Form 8886-T?	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			X
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			X
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			X
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			X
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f			X
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 and section 509(a)(3) supporting organizations.** Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?	8			
9	**Sponsoring organizations maintaining donor advised funds.**				
a	Did the organization make any taxable distributions under section 4966?	9a			
b	Did the 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?	12a			
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?	13a			
	Note. See the instructions for additional information the organization must report on Schedule O.				
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			X
b	If "Yes," has it filed a Form 720 to report these payments? *If "No," provide an explanation in Schedule O*	14b			

Part VI Governance, Management, and Disclosure *For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 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 X

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	1a	13		
	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	1b	9		
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			X
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			X
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4			X
5	Did the organization become aware during the year of a significant diversion of the organization's assets?	5			X
6	Did the organization have members or stockholders?	6			X
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			X
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			X
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:				
a	The governing body?	8a		X	
b	Each committee with authority to act on behalf of the governing body?	8b		X	
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			X

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		X
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	X	
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	X	
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	X	
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	X	
13	Did the organization have a written whistleblower policy?	13	X	
14	Did the organization have a written document retention and destruction policy?	14	X	
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	X	
b	Other officers or key employees of the organization	15b	X	
	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		X
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

18 Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.

X Own website ☐ Another's website X 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, physical address, and telephone number of the person who possesses the books and records of the organization: ▶

GREG SVATORA, FINANCE DIRECTOR - 760-750-4719

435 E. CARMEL STREET, SAN MARCOS, CA 92078

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, and 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.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☐ 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 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) LINDA HAWK	1.00									
DIRECTOR	39.00	X						0.	194,538.	55,655.
(2) GRAHAM OBEREM	1.00									
DIRECTOR	39.00	X						0.	199,252.	56,952.
(3) CAMILLE SCHUSTER	1.00									
DIRECTOR - FORMER	39.00	X						0.	113,815.	30,955.
(4) MATTHEW J. CEPPI	1.00									
DIRECTOR	39.00	X						0.	161,068.	41,834.
(5) ANN BERSI	3.00									
DIRECTOR/CHAIR	0.00	X						0.	0.	0.
(6) TRES CONRIQUE	1.00									
DIRECTOR	0.00	X						0.	0.	0.
(7) DIMITRIS MAGEMENEAS	1.00									
DIRECTOR	0.00	X						0.	0.	0.
(8) DAWNMARIE MYERS	1.00									
DIRECTOR	0.00	X						0.	0.	0.
(9) BRANDON LOSEY	1.00									
DIRECTOR	0.00	X						0.	0.	0.
(10) SHARON WHITEHURST-PAYNE	1.00									
DIRECTOR	0.00	X						0.	0.	0.
(11) SUSAN SCHNEPF	1.00									
DIRECTOR	0.00	X						0.	0.	0.
(12) ERNEST ZOMALT	1.00									
DIRECTOR/VICE CHAIR	0.00	X						0.	0.	0.
(13) DAVID CHANG	1.00									
DIRECTOR	0.00	X						0.	0.	0.
(14) DORA KNOBLOCK	40.00									
SECRETARY - FORMER	0.00			X				0.	125,262.	45,570.
(15) GREG SVATORA	40.00									
TREASURER/FINANCE DIRECTOR	0.00			X				0.	124,889.	45,008.
(16) BELLA NEWBERG	20.00									
INTERIM EXECUTIVE DIRECTOR	20.00			X				0.	117,142.	44,859.
(17) GRANT HUBBARD	40.00									
DIRECTOR SPONSORED PROJECTS	0.00					X		106,876.	0.	40,613.

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 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			
1b Sub-total ▶								106,876.	1,035,966.	361,446.
c Total from continuation sheets to Part VII, Section A ▶								0.	0.	0.
d Total (add lines 1b and 1c) ▶								106,876.	1,035,966.	361,446.

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

		Yes	No
3 Did the organization list any **former** officer, director, or trustee, key employee, or highest compensated employee on line 1a? *If "Yes," complete Schedule J for such individual*	3		X
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? *If "Yes," complete Schedule J for such individual*	4	X	
5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? *If "Yes," complete Schedule J for such person*	5		X

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
NONE		

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 ▶ 0

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	6,943,300.			
	f	All other contributions, gifts, grants, and similar amounts not included above	1f	499,207.			
	g	Noncash contributions included in lines 1a-1f: $					
	h	**Total.** Add lines 1a-1f		7,442,507.			
Program Service Revenue			Business Code				
	2a	CAMPUS PROGRAMS	900099	2,356,413.	2,356,413.		
	b						
	c						
	d						
	e						
	f	All other program service revenue					
	g	**Total.** Add lines 2a-2f		2,356,413.			
Other Revenue	3	Investment income (including dividends, interest, and other similar amounts)		29,928.			29,928.
	4	Income from investment of tax-exempt bond proceeds					
	5	Royalties					
			(i) Real	(ii) Personal			
	6a	Gross rents	137,445.				
	b	Less: rental expenses	94,104.				
	c	Rental income or (loss)	43,341.				
	d	Net rental income or (loss)		43,341.			43,341.
			(i) Securities	(ii) Other			
	7a	Gross amount from sales of assets other than inventory					
	b	Less: cost or other basis and sales expenses					
	c	Gain or (loss)					
	d	Net gain or (loss)					
	8a	Gross income from fundraising events (not including $ _____ of contributions reported on line 1c). See Part IV, line 18	a				
	b	Less: direct expenses	b				
	c	Net income or (loss) from fundraising events					
	9a	Gross income from gaming activities. See Part IV, line 19	a				
	b	Less: direct expenses	b				
	c	Net income or (loss) from gaming activities					
	10a	Gross sales of inventory, less returns and allowances	a				
	b	Less: cost of goods sold	b				
	c	Net income or (loss) from sales of inventory					
		Miscellaneous Revenue	Business Code				
	11a	COMMISSIONS - BOOKSTORE	900099	376,193.			376,193.
	b						
	c						
	d	All other revenue					
	e	**Total.** Add lines 11a-11d		376,193.			
	12	**Total revenue.** See instructions.		10,248,382.	2,356,413.	0.	449,462.

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 governments and organizations in the United States. See Part IV, line 21				
2	Grants and other assistance to individuals in the United States. See Part IV, line 22	8,214.	8,214.		
3	Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16				
4	Benefits paid to or for members				
5	Compensation of current officers, directors, trustees, and key employees				
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	5,183,156.	4,288,898.	894,258.	
8	Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	207,328.	166,669.	40,659.	
9	Other employee benefits	886,458.	690,289.	196,169.	
10	Payroll taxes	305,636.	270,001.	35,635.	
11	Fees for services (non-employees):				
a	Management				
b	Legal				
c	Accounting	64,300.		64,300.	
d	Lobbying				
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 Sch O.)	497,787.	483,740.	14,047.	
12	Advertising and promotion				
13	Office expenses	446,604.	436,245.	10,359.	
14	Information technology				
15	Royalties				
16	Occupancy	148,665.	51,728.	96,937.	
17	Travel	347,843.	344,905.	2,938.	
18	Payments of travel or entertainment expenses for any federal, state, or local public officials				
19	Conferences, conventions, and meetings	207,068.	203,406.	3,662.	
20	Interest				
21	Payments to affiliates	349,369.	62,002.	287,367.	
22	Depreciation, depletion, and amortization	474,809.	474,809.		
23	Insurance	64,699.		64,699.	
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	STIPENDS/HONORARIA	606,054.	606,054.		
b	PROGRAM EXPENSES	426,859.	425,569.	1,290.	
c	SERVICE FEES	393,113.	314,587.	78,526.	
d	EQUIPMENT/FURNISHINGS	153,574.	153,574.		
e	All other expenses	7,937.		7,937.	
25	**Total functional expenses.** Add lines 1 through 24e	10,779,473.	8,980,690.	1,798,783.	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 X ☐

				(A) Beginning of year		(B) End of year
Assets	1	Cash - non-interest-bearing		450,438.	1	1,271,915.
	2	Savings and temporary cash investments		8,251,374.	2	7,999,145.
	3	Pledges and grants receivable, net			3	
	4	Accounts receivable, net		1,549,672.	4	1,118,134.
	5	Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L			5	
	6	Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instr). Complete Part II of Sch L			6	
	7	Notes and loans receivable, net			7	
	8	Inventories for sale or use			8	
	9	Prepaid expenses and deferred charges		44,658.	9	42,636.
	10a	Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a 10,875,727.			
	b	Less: accumulated depreciation	10b 3,907,548.	5,780,559.	10c	6,968,179.
	11	Investments - publicly traded securities		3,237,070.	11	3,284,871.
	12	Investments - other securities. See Part IV, line 11			12	
	13	Investments - program-related. See Part IV, line 11			13	
	14	Intangible assets			14	
	15	Other assets. See Part IV, line 11		61,081.	15	61,081.
	16	**Total assets.** Add lines 1 through 15 (must equal line 34)		19,374,852.	16	20,745,961.
Liabilities	17	Accounts payable and accrued expenses		1,574,669.	17	1,255,021.
	18	Grants payable			18	
	19	Deferred revenue		418,104.	19	1,862,725.
	20	Tax-exempt bond liabilities			20	
	21	Escrow or custodial account liability. Complete Part IV of Schedule D			21	
	22	Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L			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		9,011,359.	25	9,758,657.
	26	**Total liabilities.** Add lines 17 through 25		11,004,132.	26	12,876,403.
Net Assets or Fund Balances		**Organizations that follow SFAS 117 (ASC 958), check here ▶ ☒ and complete lines 27 through 29, and lines 33 and 34.**				
	27	Unrestricted net assets		8,370,720.	27	7,869,558.
	28	Temporarily restricted net assets			28	
	29	Permanently restricted net assets			29	
		Organizations that do not follow SFAS 117 (ASC 958), check here ▶ ☐ and complete lines 30 through 34.				
	30	Capital stock or trust principal, or current funds			30	
	31	Paid-in or capital surplus, or land, building, or equipment fund			31	
	32	Retained earnings, endowment, accumulated income, or other funds			32	
	33	Total net assets or fund balances		8,370,720.	33	7,869,558.
	34	Total liabilities and net assets/fund balances		19,374,852.	34	20,745,961.

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	10,248,382.
2	Total expenses (must equal Part IX, column (A), line 25)	2	10,779,473.
3	Revenue less expenses. Subtract line 2 from line 1	3	-531,091.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	8,370,720.
5	Net unrealized gains (losses) on investments	5	29,929.
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	0.
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	7,869,558.

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?	2a		X
	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			
b	Were the organization's financial statements audited by an independent accountant?	2b	X	
	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			
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?	2c	X	
	If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.			
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?	3a	X	
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	3b	X	

SCHEDULE A (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

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.**

▶ **Information about Schedule A (Form 990 or 990-EZ) and its instructions is at** www.irs.gov/form990.

OMB No. 1545-0047

2013

Open to Public Inspection

Name of the organization	Employer identification number
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION	33-0397688

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 11, 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.)

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 organization that normally receives: (1) more than 33 1/3% 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 33 1/3% 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.)

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

11 ☐ 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 that describes the type of supporting organization and complete lines 11e through 11h.

a ☐ Type I b ☐ Type II c ☐ Type III - Functionally integrated d ☐ Type III - Non-functionally integrated

e ☐ By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2).

f If the organization received a written determination from the IRS that it is a Type I, Type II, or Type III supporting organization, check this box ☐

g Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?

		Yes	No
(i)	A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization?	11g(i)	
(ii)	A family member of a person described in (i) above?	11g(ii)	
(iii)	A 35% controlled entity of a person described in (i) or (ii) above?	11g(iii)	

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

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-9 above or IRC section (see instructions))	(iv) Is the organization in col. (i) listed in your governing document?		(v) Did you notify the organization in col. (i) of your support?		(vi) Is the organization in col. (i) organized in the U.S.?		(vii) Amount of monetary support
			Yes	No	Yes	No	Yes	No	
Total									

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 fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	7932102.	9060395.	7789329.	7527060.	7442507.	39751393.
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	7932102.	9060395.	7789329.	7527060.	7442507.	39751393.
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.						39751393.

Section B. Total Support

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
7 Amounts from line 4	7932102.	9060395.	7789329.	7527060.	7442507.	39751393.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	481,100.	176,548.	183,024.	193,040.	167,373.	1201085.
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 IV.)						
11 **Total support.** Add lines 7 through 10						40952478.

12 Gross receipts from related activities, etc. (see instructions)	12	15,197,311.

13 **First five 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 2013 (line 6, column (f) divided by line 11, column (f))	14	97.07 %
15 Public support percentage from 2012 Schedule A, Part II, line 14	15	96.33 %

16a **33 1/3% support test - 2013.** 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 - 2012.** 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 - 2013.** 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 IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization ▶ ☐

b **10% -facts-and-circumstances test - 2012.** 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 IV 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 III Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 9 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) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(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) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(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 IV.)						
13 **Total support.** (Add lines 9, 10c, 11, and 12.)						

14 **First five 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 2013 (line 8, column (f) divided by line 13, column (f))	15	%
16 Public support percentage from 2012 Schedule A, Part III, line 15	16	%

Section D. Computation of Investment Income Percentage

17 Investment income percentage for **2013** (line 10c, column (f) divided by line 13, column (f))	17	%
18 Investment income percentage from **2012** Schedule A, Part III, line 17	18	%

19a **33 1/3% support tests - 2013.** 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 - 2012.** 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 **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; and Part III, line 12. Also complete this part for any additional information. (See instructions).

** PUBLIC DISCLOSURE COPY **

Schedule B (Form 990, 990-EZ, or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

▶ Attach to Form 990, Form 990-EZ, or Form 990-PF.
▶ Information about Schedule B (Form 990, 990-EZ, or 990-PF) and its instructions is at www.irs.gov/form990 .

OMB No. 1545-0047

2013

Name of the organization
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number
33-0397688

Organization type (check one):

Filers of:	Section:
Form 990 or 990-EZ	[X] 501(c)(3) (enter number) organization
	[ ] 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation
	[ ] 527 political organization
Form 990-PF	[ ] 501(c)(3) exempt private foundation
	[ ] 4947(a)(1) nonexempt charitable trust treated as a private foundation
	[ ] 501(c)(3) taxable private foundation

Check if your organization is covered by the **General Rule** or a **Special Rule.**
Note. Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

[ ] For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, $5,000 or more (in money or property) from any one contributor. Complete Parts I and II.

Special Rules

[X] For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi) and received from any one contributor, during the year, a contribution of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h, or (ii) Form 990-EZ, line 1. Complete Parts I and II.

[ ] For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than $1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III.

[ ] For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not total to more than $1,000. If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc., purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received *nonexclusively* religious, charitable, etc., contributions of $5,000 or more during the year ..... ▶ $ _____

Caution. An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

Name of organization	Employer identification number
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION	33-0397688

Part I **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1		$ 626,314.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
2		$ 211,097.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
3		$ 1,682,785.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
4		$ 2,228,466.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
5		$ 1,809,419.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)
6		$ 154,240.	Person [X] Payroll [ ] Noncash [ ] (Complete Part II for noncash contributions.)

Name of organization	Employer identification number
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION	33-0397688

Part II Noncash Property (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (see instructions)	(d) Date received
		$	

Name of organization
UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number
33-0397688

Part III *Exclusively* religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations that total more than $1,000 for the year. Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of **$1,000 or less** for the year. (Enter this information once.) ▶ $

Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held

(e) Transfer of gift

Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee

SCHEDULE D (Form 990)

Department of the Treasury
Internal Revenue Service

Supplemental Financial Statements

▶ Complete if the organization answered "Yes," to Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.
▶ Attach to Form 990.
▶ Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990

OMB No. 1545-0047

2013

Open to Public Inspection

Name of the organization UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number 33-0397688

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

		(a) Donor advised funds	(b) Funds and other accounts
1	Total number at end of year		
2	Aggregate contributions to (during year)		
3	Aggregate 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" to 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)
☐ Protection of natural habitat
☐ Preservation of open space
☐ Preservation of an historically important land area
☐ Preservation of a certified historic structure

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 Tax Year
a	Total number of conservation easements	2a
b	Total acreage restricted by conservation easements	2b
c	Number of conservation easements on a certified historic structure included in (a)	2c
d	Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register	2d

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, and enforcing conservation easements during the year ▶ _____

7 Amount of expenses incurred in monitoring, inspecting, 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" to Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116 (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 SFAS 116 (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) Revenues included in 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 SFAS 116 (ASC 958) relating to these items:

a Revenues included in 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" to 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:

		Amount
c Beginning balance	1c	
d Additions during the year	1d	
e Distributions during the year	1e	
f Ending balance	1f	

2a Did the organization include an amount on Form 990, Part X, line 21? ☐ 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" to 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 Temporarily restricted endowment ▶ _____ %

The percentages in 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:

		Yes	No
(i) unrelated organizations	3a(i)		
(ii) related organizations	3a(ii)		
b If "Yes" to 3a(ii), are the related organizations listed as required on Schedule R?	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" to 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				
b Buildings		4,385,743.	502,826.	3,882,917.
c Leasehold improvements		4,366,823.	2,031,062.	2,335,761.
d Equipment		1,996,945.	1,373,660.	623,285.
e Other		126,216.		126,216.
Total. Add lines 1a through 1e. *(Column (d) must equal Form 990, Part X, column (B), line 10(c).)* ▶				6,968,179.

Part VII Investments - Other Securities.

Complete if the organization answered "Yes" to 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)		
(B)		
(C)		
(D)		
(E)		
(F)		
(G)		
(H)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 12.) ▶		

Part VIII Investments - Program Related.

Complete if the organization answered "Yes" to 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
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
Total. (Col. (b) must equal Form 990, Part X, col. (B) line 13.) ▶		

Part IX Other Assets.

Complete if the organization answered "Yes" to Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 15.)* ▶	

Part X Other Liabilities.

Complete if the organization answered "Yes" to 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	
(2) POST RETIREMENT BENEFITS	1,682,563.
(3) DUE TO SAN MARCOS FOUNDATION	8,076,094.
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
Total. *(Column (b) must equal Form 990, Part X, col. (B) line 25.)* ▶	9,758,657.

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 [X]

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

Complete if the organization answered "Yes" to Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements			1	11,132,535.
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:				
a	Net unrealized gains on investments	2a	29,929.		
b	Donated services and use of facilities	2b	760,120.		
c	Recoveries of prior year grants	2c			
d	Other (Describe in Part XIII.)	2d			
e	Add lines 2a through 2d			2e	790,049.
3	Subtract line 2e from line 1			3	10,342,486.
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	-94,104.		
c	Add lines 4a and 4b			4c	-94,104.
5	Total revenue. Add lines 3 and 4c. *(This must equal Form 990, Part I, line 12.)*			5	10,248,382.

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

Complete if the organization answered "Yes" to Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements			1	11,633,697.
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:				
a	Donated services and use of facilities	2a	760,120.		
b	Prior year adjustments	2b			
c	Other losses	2c			
d	Other (Describe in Part XIII.)	2d	94,104.		
e	Add lines 2a through 2d			2e	854,224.
3	Subtract line 2e from line 1			3	10,779,473.
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	0.
5	Total expenses. Add lines 3 and 4c. *(This must equal Form 990, Part I, line 18.)*			5	10,779,473.

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.

PART X, LINE 2:

EXPLANATION: THE ORGANIZATION IS A QUALIFIED NONPROFIT ORGANIZATION THAT IS GENERALLY EXEMPT FROM FEDERAL AND STATE INCOME TAXES UNDER SECTION 501(C)(3) OF THE INTERNAL REVENUE CODE AND SECTION 23701(D) OF THE CALIFORNIA REVENUE AND TAXATION CODE. THIS EXEMPTION IS FOR ALL INCOME TAXES EXCEPT FOR THOSE ASSESSED ON UNRELATED BUSINESS INCOME (UBI), IF ANY. IN ORDER TO MAINTAIN THAT STATUS, THE ORGANIZATION IS PRECLUDED FROM MAKING CERTAIN EXPENDITURES, PRINCIPALLY IN SUPPORT OF POLITICAL PARTIES. MANAGEMENT BELIEVES THAT NO SUCH EXPENDITURES HAVE BEEN MADE. THE ORGANIZATION IS NOT A PRIVATE FOUNDATION.

THE ORGANIZATION ADOPTED ACCOUNTING GUIDANCE RELATING TO ACCOUNTING FOR

Part XIII Supplemental Information *(continued)*

UNCERTAINTY IN INCOME TAXES, WHICH IS PRIMARILY CODIFIED IN FINANCIAL ACCOUNTING STANDARDS BOARD (FASB) ACCOUNTING STANDARDS CODIFICATION (ASC) 740. THE ORGANIZATION FILES A FORM 990 (RETURN OF ORGANIZATION EXEMPT FROM INCOME TAX) ANNUALLY. WHEN THESE RETURNS ARE FILED, IT IS HIGHLY CERTAIN THAT SOME POSITIONS TAKEN WOULD BE SUSTAINED UPON EXAMINATION BY THE TAXING AUTHORITIES, WHILE OTHERS ARE SUBJECT TO UNCERTAINTY ABOUT THE MERITS OF THE TAX POSITION TAKEN OR THE AMOUNT OF THE POSITION THAT WOULD ULTIMATELY BE SUSTAINED. EXAMPLES OF TAX POSITIONS COMMON TO THE ORGANIZATION INCLUDE SUCH MATTERS AS THE TAX-EXEMPT STATUS OF THE ENTITY AND VARIOUS POSITIONS RELATIVE TO POTENTIAL SOURCES OF UBI. UBI IS REPORTED ON FORM 990-T, AS APPROPRIATE. THE BENEFIT OF TAX POSITION IS RECOGNIZED IN THE FINANCIAL STATEMENTS IN THE PERIOD DURING WHICH, BASED ON ALL AVAILABLE EVIDENCE, MANAGEMENT BELIEVES IT IS MORE LIKELY THAN NOT THAT THE POSITION WILL BE SUSTAINED UPON EXAMINATION, INCLUDING THE RESOLUTION OF APPEALS OR LITIGATION PROCESSES, IF ANY.

TAX POSITIONS ARE NOT OFFSET OR AGGREGATED WITH OTHER POSITIONS. TAX POSITIONS THAT MEET THE MORE-LIKELY-THAN-NOT RECOGNITION THRESHOLD ARE MEASURED AS THE LARGEST AMOUNT OF TAX BENEFIT THAT IS MORE THAN 50 PERCENT LIKELY TO BE REALIZED ON SETTLEMENT WITH THE APPLICABLE TAXING AUTHORITY. THE PORTION OF THE BENEFITS ASSOCIATED WITH TAX POSITIONS TAKEN THAT EXCEEDS THE AMOUNT MEASURED AS DESCRIBED ABOVE IS REFLECTED AS A LIABILITY FOR UNRECOGNIZED TAX BENEFITS IN THE ACCOMPANYING STATEMENTS OF FINANCIAL POSITION, ALONG WITH ANY ASSOCIATED INTEREST AND PENALTIES THAT WOULD BE PAYABLE TO THE TAXING AUTHORITIES UPON EXAMINATION. AS OF JUNE 30, 2014 AND 2013, THE ORGANIZATION HAS ADDRESSED UNCERTAINTY IN ITS INCOME TAX POSITION UNDER THE GUIDANCE, AND THERE ARE NO UNRECOGNIZED/DERECOGNIZED TAX BENEFITS REQUIRING AN ACCRUAL.

Part XIII Supplemental Information *(continued)*

FORMS 990 AND 990-T FILED BY THE ORGANIZATION ARE SUBJECT TO EXAMINATION BY THE INTERNAL REVENUE SERVICE UP TO THREE YEARS FROM THE EXTENDED DUE DATE OF EACH RETURN. MANAGEMENT BELIEVES FORMS 990 AND 990-T HAVE BEEN FILED APPROPRIATELY. FORMS 990 AND 990-T FILED BY THE ORGANIZATION ARE NO LONGER SUBJECT TO EXAMINATION FOR THE FISCAL YEARS ENDED JUNE 30, 2010 AND PRIOR.

PART XI, LINE 4B - OTHER ADJUSTMENTS:

RENT EXPENSE - NETTED TO REVENUE	-94,104.

PART XII, LINE 2D - OTHER ADJUSTMENTS:

RENT EXPENSE - NETTED TO REVENUE	94,104.

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" to Form 990, Part IV, line 21 or 22.

▶ **Attach to Form 990.**

▶ **Information about Schedule I (Form 990) and its instructions is at** *www.irs.gov/form990*

OMB No. 1545-0047

2013

Open to Public Inspection

Name of the organization UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number 33-0397688

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? ..... [X] Yes [ ] No

2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

Part II Grants and Other Assistance to Governments and Organizations in the United States. Complete if the organization answered "Yes" to 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.

1 (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 non-cash assistance	(h) Purpose of grant or assistance

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

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

LHA **For Paperwork Reduction Act Notice, see the Instructions for Form 990.** **Schedule I (Form 990) (2013)**

332101
10-29-13

Part III **Grants and Other Assistance to Individuals in the United States.** Complete if the organization answered "Yes" to 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 non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance
CAL STATE SAN MARCOS STUDENT SCHOLARSHIPS	17	8,214.	0.	CASH VALUE	

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

PART I, LINE 2:

EXPLANATION: GRANTS GIVEN TO CSUSM ARE FOR STUDENT SCHOLARSHIPS AND THE UNIVERSITY MONITORS THE FUNDS GIVEN TO EACH STUDENT. THE FINANCIAL AID OFFICE OF THE UNIVERSITY QUALIFIES APPLICANTS FOR SCHOLARSHIPS BASED ON CRITERIA OVER WHICH UARSC HAS NO CONTROL. EXPENDITURES ON GRANTS AND CONTRACTS ARE CLOSELY MONITORED BY THE UARSC STAFF TO COMPLY WITH SPONSOR REQUIREMENTS.

SCHEDULE J (Form 990)

Department of the Treasury
Internal Revenue Service

Compensation Information

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

▶ **Complete if the organization answered "Yes" on Form 990, Part IV, line 23.**
▶ **Attach to Form 990.** ▶ **See separate instructions.**
▶ **Information about Schedule J (Form 990) and its instructions is at** *www.irs.gov/form990*

OMB No. 1545-0047

2013

Open to Public Inspection

Name of the organization: UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number: 33-0397688

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 in 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 indemnification and gross-up payments	☐ Health or social club dues or initiation fees		
	☐ Discretionary spending account	☐ Personal services (e.g., maid, chauffeur, chef)		
b	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	**1b**		
2	Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked in line 1a?	**2**		
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 in 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?	**4a**		X
b	Participate in, or receive payment from, a supplemental nonqualified retirement plan?	**4b**		X
c	Participate in, or receive payment from, an equity-based compensation arrangement?	**4c**		X
	If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.			
	Only section 501(c)(3) and 501(c)(4) organizations must complete lines 5-9.			
5	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:			
a	The organization?	**5a**		X
b	Any related organization?	**5b**		X
	If "Yes" to line 5a or 5b, describe in Part III.			
6	For persons listed in 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?	**6a**		X
b	Any related organization?	**6b**		X
	If "Yes" to line 6a or 6b, describe in Part III.			
7	For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III	**7**		X
8	Were any amounts reported in 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	**8**		X
9	If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?	**9**		

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 in 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 reported as deferred in prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
(1) LINDA HAWK	(i)	0.	0.	0.	0.	0.	0.	0.
DIRECTOR	(ii)	194,538.	0.	0.	40,435.	15,220.	250,193.	0.
(2) GRAHAM OBEREM	(i)	0.	0.	0.	0.	0.	0.	0.
DIRECTOR	(ii)	199,252.	0.	0.	41,397.	15,555.	256,204.	0.
(3) MATTHEW J. CEPPI	(i)	0.	0.	0.	0.	0.	0.	0.
DIRECTOR	(ii)	161,068.	0.	0.	33,490.	8,344.	202,902.	0.
(4) DORA KNOBLOCK	(i)	0.	0.	0.	0.	0.	0.	0.
SECRETARY - FORMER	(ii)	125,262.	0.	0.	25,994.	19,576.	170,832.	0.
(5) GREG SVATORA	(i)	0.	0.	0.	0.	0.	0.	0.
TREASURER/FINANCE DIRECTOR	(ii)	124,889.	0.	0.	25,860.	19,148.	169,897.	0.
(6) BELLA NEWBERG	(i)	0.	0.	0.	0.	0.	0.	0.
INTERIM EXECUTIVE DIRECTOR	(ii)	117,142.	0.	0.	24,347.	20,512.	162,001.	0.
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							
	(i)							
	(ii)							

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.

PART I, LINE 3:

EXPLANATION: THE OFFICERS LISTED ON SCHEDULE J ARE EMPLOYEES OF THE RELATED ORGANIZATION, CALIFORNIA STATE UNIVERSITY SAN MARCOS. THE RELATED ORGANIZATION HAS POLICIES IN PLACE WHICH ARE USED TO DETERMINE COMPENSATION. COMPENSATION FOR THE BOARD'S OFFICERS IS REVIEWED ON AN ANNUAL BASIS. THE REVIEW OF CURRENT SALARY LEVELS FOR EACH EXECUTIVE EMPLOYEE IS PERFORMED BY ANALYZING EXECUTIVE COMPENSATION OF OTHER SIMILAR AUXILIARY ORGANIZATIONS WITHIN THE CALIFORNIA STATE UNIVERSITY SYSTEM, AS WELL AS SURVEYS OF OTHER NON-PROFIT CHARITABLE ORGANIZATIONS OF SIMILAR ASSET SIZE AND FUNCTIONS. THE RECOMMENDED SALARY IS THEN INCLUDED WITH THE ORGANIZATION'S FISCAL YEAR OPERATING BUDGET, WHICH IS REVIEWED AND APPROVED BY THE BOARD OF DIRECTORS.

SCHEDULE O (Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990

OMB No. 1545-0047

2013

Open to Public Inspection

Name of the organization: UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number: 33-0397688

FORM 990, PART III, LINE 1, DESCRIPTION OF ORGANIZATION MISSION:

THE UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION IS A NON-PROFIT TAX EXEMPT ORGANIZATION ESTABLISHED TO PROVIDE ADMINISTRATIVE AND OTHER BUSINESS SERVICES TO CALIFORNIA STATE UNIVERSITY SAN MARCOS. SERVICES INCLUDE THE ADMINISTRATION OF RESEARCH AND TRAINING GRANT AWARDS TO CAMPUS FACULTY, AND OPERATION OF VARIOUS CAMPUS COMMERCIAL OPERATIONS INCLUDING THE BOOKSTORE AND FOOD SERVICES. OTHER SERVICES PROVIDED INCLUDE FINANCIAL MANAGEMENT SUPPORT TO OTHER CAMPUS ENTITIES AND PROGRAMS.

FORM 990, PART VI, SECTION B, LINE 11:

EXPLANATION: AN ELECTRONIC FORM OF THE 990 IS EMAILED TO EACH BOARD MEMBER PRIOR TO FILING. THE FORM 990 IS ALSO REVIEWED BY THE EXECUTIVE DIRECTOR PRIOR TO FILING.

FORM 990, PART VI, SECTION B, LINE 12C:

EXPLANATION: AT THE BEGINNING OF EACH FISCAL YEAR ALL MEMBERS OF THE AUXILIARY'S BOARD OF DIRECTORS ARE REQUIRED TO SIGN A CONFLICT OF INTEREST STATEMENT. THIS POLICY ALSO APPLIES TO ALL DIRECTOR LEVEL POSITIONS, INCLUDING THE EXECUTIVE DIRECTOR, AND ALL OTHER POSITIONS THAT HAVE SIGNIFICANT EXPOSURE AND/OR DECISION MAKING AUTHORITY TO WARRANT REGULAR MONITORING OF THE CONFLICT OF INTEREST ACTIVITIES.

FORM 990, PART VI, SECTION B, LINE 15:

EXPLANATION: THE ORGANIZATION'S OFFICERS ARE EMPLOYEES OF THE RELATED ORGANIZATION, CALIFORNIA STATE UNIVERSITY SAN MARCOS. THE RELATED

Name of the organization UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number 33-0397688

ORGANIZATION HAS POLICIES IN PLACE WHICH ARE USED TO DETERMINE COMPENSATION. COMPENSATION FOR THE BOARD'S OFFICERS IS REVIEWED ON AN ANNUAL BASIS. THE REVIEW OF CURRENT SALARY LEVELS FOR EACH EXECUTIVE EMPLOYEE IS PERFORMED BY ANALYZING EXECUTIVE COMPENSATION OF OTHER SIMILAR AUXILIARY ORGANIZATIONS WITHIN THE CALIFORNIA STATE UNIVERSITY SYSTEM, AS WELL AS SURVEYS OF OTHER NON-PROFIT CHARITABLE ORGANIZATIONS OF SIMILAR ASSET SIZE AND FUNCTIONS. THE RECOMMENDED SALARY IS THEN INCLUDED WITH THE ORGANIZATION'S FISCAL YEAR OPERATING BUDGET, WHICH IS REVIEWED AND APPROVED BY THE BOARD OF DIRECTORS.

FORM 990, PART VI, SECTION C, LINE 19:

EXPLANATION: THE GOVERNING DOCUMENTS, CONFLICT OF INTEREST POLICY, FINANCIAL STATEMENTS, AND FORMS 990 (FROM THE PREVIOUS THREE YEARS) ARE AVAILABLE FOR INSPECTION OR COPYING AT THE ORGANIZATION'S MAIN OFFICE DURING NORMAL BUSINESS HOURS WITHOUT INQUIRING AS TO THE REASON FOR THE PUBLIC INSPECTION REQUEST.

SCHEDULE R (Form 990)

Department of the Treasury Internal Revenue Service

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. ▶ See separate instructions.

▶ Information about Schedule R (Form 990) and its instructions is at www.irs.gov/form990

OMB No. 1545-0047

2013

Open to Public Inspection

Name of the organization: UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

Employer identification number: 33-0397688

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

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	(g) No
CALIFORNIA STATE UNIVERSITY SAN MARCOS - 33-0535371, 333 S. TWIN OAKS VALLEY ROAD, SAN MARCOS, CA 92096	CALIFORNIA STATE UNIVERSITY - HIGHER EDUCATIONAL INSTITUTION	CALIFORNIA	115	GOVERNMENT	TRUSTEES OF CALIFORNIA STATE UNIVERSITY		X
SAN MARCOS UNIVERSITY CORPORATION - 33-0971982, 333 S. TWIN OAKS VALLEY RD., SAN MARCOS, CA 92096	ON-CAMPUS PROGRAM MANAGEMENT	CALIFORNIA	501(C)(3)	LINE 5	TRUSTEES OF CALIFORNIA STATE UNIVERSITY		X
ASSOCIATED STUDENTS, INC CALIFORNIA STATE UNIVERSITY SAN MARCOS - 33-0556915, 333 S. TWIN OAKS VALLEY RD., SAN MARCOS, CA 92096	STUDENT LEADERSHIP, ACTIVITIES, & RECREATION	CALIFORNIA	501(C)(3)	LINE 5	TRUSTEES OF CALIFORNIA STATE UNIVERSITY		X
CALIFORNIA STATE UNIVERSITY SAN MARCOS FOUNDATION - 80-0390564, 333 S. TWIN OAKS VALLEY RD., SAN MARCOS, CA 92096	FUNDRAISING & GRANTS ADMINISTRATION	CALIFORNIA	501(C)(3)	LINE 5	TRUSTEES OF CALIFORNIA STATE UNIVERSITY		X

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? Yes	(h) No	(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner? Yes	(j) No	(k) Percentage ownership

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	(i) No

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

			Yes	No
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	1a		X
b	Gift, grant, or capital contribution to related organization(s)	1b	X	
c	Gift, grant, or capital contribution from related organization(s)	1c	X	
d	Loans or loan guarantees to or for related organization(s)	1d		X
e	Loans or loan guarantees by related organization(s)	1e		X
f	Dividends from related organization(s)	1f		X
g	Sale of assets to related organization(s)	1g		X
h	Purchase of assets from related organization(s)	1h		X
i	Exchange of assets with related organization(s)	1i		X
j	Lease of facilities, equipment, or other assets to related organization(s)	1j	X	
k	Lease of facilities, equipment, or other assets from related organization(s)	1k		X
l	Performance of services or membership or fundraising solicitations for related organization(s)	1l	X	
m	Performance of services or membership or fundraising solicitations by related organization(s)	1m		X
n	Sharing of facilities, equipment, mailing lists, or other assets with related organization(s)	1n		X
o	Sharing of paid employees with related organization(s)	1o	X	
p	Reimbursement paid to related organization(s) for expenses	1p	X	
q	Reimbursement paid by related organization(s) for expenses	1q	X	
r	Other transfer of cash or property to related organization(s)	1r		X
s	Other transfer of cash or property from related organization(s)	1s		X

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)			
(2)			
(3)			
(4)			
(5)			
(6)			

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.

(a) Name, address, and EIN of entity	(b) Primary activity	(c) Legal domicile (state or foreign country)	(d) Predominant income (related, unrelated, excluded from tax under section 512-514)	(e) Are all partners sec. 501(c)(3) orgs.? Yes	(e) No	(f) Share of total income	(g) Share of end-of-year assets	(h) Disproportionate allocations? Yes	(h) No	(i) Code V-UBI amount in box 20 of Schedule K-1 (Form 1065)	(j) General or managing partner? Yes	(j) No	(k) Percentage ownership

Schedule R (Form 990) 2013

Part VII Supplemental Information

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

ATTACHMENT E

Compensation Administration Guidelines
Sponsored Projects

UNIVERSITY AUXILIARY AND RESEARCH SERVICES CORPORATION

COMPENSATION ADMINISTRATION GUIDELINES

Effective July 1, 2015 – June 30, 2016

The UARSC Board approves the following wage increase guidelines for UARSC Regular Sponsored Project employees[1] subject to Principal Investigator approval and the availability of project funds (grant and contract funded employees only). The UARSC Board further approves the following wage increase guidelines for UARSC Regular non-Sponsored Project employees[1] subject to Executive Director approval and funding availability (non-Sponsored Projects employees only).

1.) Salary adjustments are available for UARSC Regular Sponsored Project employees subject to the following guidelines (Wage increase not to exceed 5.0 percent and items a – e below).

Wage increase not to exceed 5.0 percent

a. All adjustments will be calculated as a percentage of current annual gross wages and must be submitted on an Employment Authorization Form (EAF).

b. Increases will not be granted without the completion of an annual performance appraisal in the past year. Annual performance appraisals are completed either on a fiscal year basis, project year basis, or position anniversary date. The annual performance appraisal schedule will be decided by the Principal Investigator or Department Director and will communicate this schedule to the UARSC Director, Human Resources and Payroll Services.

c. Employees with a score of less than 3.00 (below expectations) on their annual performance appraisal will not be eligible for a performance based adjustment.

d. Employees with less than 6 months of service during the performance appraisal period will not be eligible for a wage increase. This will only apply to annual performance appraisals completed on a fiscal year or project year basis.

e. Any employee determined to be significantly above the market rate for their position (15% or greater), will be excluded from receiving a wage increase.

---

[1] The following categories are not covered by these guidelines: Student Assistant, Graduate Assistant, and University Faculty.

2.) Salary adjustments are available for UARSC Regular non-Sponsored Project employees subject to the following guidelines (Wage increase not to exceed 2.0 percent and items a - e below). Salary adjustments for all UARSC Regular positions funded by the San Marcos University Corporation (UCorp) or Associated Students Incorporated (ASI) are subject to each auxiliary's Board approvals.

Wage increase not to exceed 2.0 percent

a. All adjustments will be calculated as a percentage of current annual gross wages and must be submitted on an Employment Authorization Form (EAF).

b. Increases will not be granted without the completion of an annual performance appraisal in the past year. Annual performance appraisals are completed either on a fiscal year basis, project year basis, or position anniversary date. The annual performance appraisal schedule will be decided by the Principal Investigator or Department Director and will communicate this schedule to the UARSC Director, Human Resources and Payroll Services.

c. Employees with a score of less than 3.00 (below expectations) on their annual performance appraisal will not be eligible for a performance based adjustment.

d. Employees with less than 6 months of service during the performance appraisal period will not be eligible for a wage increase. This will only apply to annual performance appraisals completed on a fiscal year or project year basis.

e. Any employee determined to be significantly above the market rate for their position (15% or greater), will be excluded from receiving a wage increase.

All forms are available on UARSC's website at www.csusm.edu/uarsc.

UARSC COMPENSATION GUIDELINES SINCE FY 2005-06

	2005 - 06		2006 - 07		2007 - 08		2008 - 09	2009 - 10
	GSI	Perf.	GSI	Perf.	GSI	Perf.	All Performance	Performance
UARSC Admin/Commercial	2.5	0.0%	2.7%	0.0%	2.5%	0.0%	Up to 5.0%	Up to 5.0%
Projects/Grants	2.5	0.0%	2.7%	0.0%	2.5%	0.0%	Up to 5.0%	Up to 5.0%

	2010 - 11	2011 - 12	2012 - 13	2013 - 14		2014-15	
	Performance	Performance	Performance	GSI	Perf.	GSI	Perf.
UARSC Admin/Commercial	0.0%	0.0%	0.0%	3.0%	0.0%	3.0%	0.0%
Projects/Grants	Up to 5.0%	Up to 5.0%	Up to 5.0%	0.0%	Up to 5.0%	0.0%	Up to 5.0%