

**CAL POLY POMONA FOUNDATION, INC.
CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**

FINANCE COMMITTEE

**Wednesday February 3, 2016
1:00pm – 2:30 pm
Building #55 – Executive Conference Room**

AGENDA

CONSENSUS ACTION ITEMS

PAGE

Consensus Action Items: Items in this section are considered to be routine and acted on by the committee in one motion. Each item of the Consent agenda approved by the committee shall be deemed to have been considered in full and adopted as recommended. Any committee member may request that a consent item be removed from the consent agenda to be considered as a separate action item. If no additional information is requested, the approval vote will be taken without discussion.

- | | | | |
|----|---|--------------|-------|
| 1. | Minutes November 20, 2015
ACTION: Approval | Ben Quillian | 1 - 3 |
|----|---|--------------|-------|

ACTION ITEMS

- | | | | |
|----|--|----------------|--------|
| 2. | Employee Handbook Update
ACTION: Approval | G. Paul Storey | 4 - 41 |
|----|--|----------------|--------|

DISCUSSION ITEMS

- | | | | |
|----|----------------------------|----------------|----|
| 3. | Startup Partnership Policy | G. Paul Storey | 42 |
|----|----------------------------|----------------|----|

INFORMATION ITEMS

The following items provide information and reports by management staff to the committee. Staff and committee may engage in discussion on any item if requested by committee member or staff member.

- | | | | |
|----|---|----------------------------------|---------|
| 4. | Technology Transfer Office and Industry Clinic Update | G. Paul Storey/
Marie Talnack | 43 - 63 |
| 5. | Financial Highlights 2nd Quarter 2015-16 | David Prenovost | 64 - 75 |
| 6. | Withdrawal of VEBA Funds | David Prenovost | 76 - 77 |
| 7. | Executive Director's Report | G. Paul Storey | |

OPEN FORUM

CAL POLY POMONA FOUNDATION, INC.
Finance Committee Meeting Minutes
November 20, 2015

Present: Rachel Dominguez, Julian Herrera, Darwin Labordo and Kathleen Street

Absent: Sylvia Alva, Sepehr Eskandari, John McGuthry, Bedford McIntosh, Benjamin Quillian and Oliver Santos

Visitors: Anne McLoughlin, Dennis Miller, Debra Poe, David Prenovost, Karen Sandoval and Paul Storey

CALL TO ORDER

Darwin Labordo called the meeting to order at 1:00pm on behalf of Chair Benjamin Quillian.

1. Approval of Minutes for May 11, 2015

The minutes for May 11, 2015 were approved by consent.

ACTION ITEMS

2. 2014-15 Income Tax Return Form 990 & 990T Review

David Prenovost presented an overview of the Foundation form, 990 and 990T tax returns to the Committee and all supporting schedules as required by Policy #124. The tax forms were also provided to the entire Board of Directors for review before finalizing and filing the Federal and State returns.

A motion was made by Kathleen Street to forward the resolution to the Board that the Foundation's Form 990 Tax return and all supporting schedules have been provided to all members of the Board of Directors before the return is filed. The motion was seconded by Julian Herrera and approved 4-Ayes, 0-Nays and 0-Abstentions.

3. 2016 Annual Healthcare Renewal

Dennis Miller presented Foundations recommendation of its monthly contribution toward the 2016 health plan premiums for employees based on the 5% annual increase cap previously approved by the Board of Directors. Employee (or Annuitant) is \$419 per month, Employee (or Annuitant) + 1 is \$794 per month, Employee (or Annuitant) + 2 or more Dependents is \$1,014 per month.

A motion was made by Rachel Dominguez to accept Foundation's contribution to the 2016 health plan premiums and be forwarded to the Board for approval. The motion was seconded by Kathleen Street and approved 4-Ayes, 0-Nays and 0-Abstentions.

4. Employee Flex Dollar Amendment

Dennis Miller explained the Flex Dollars Program provides eligible full time benefited employees a \$62.50 credit per month to be applied against the expense of healthcare premiums, parking fees or tuition reimbursement. The Foundation is requesting to increase the monthly Flex Dollars amount to \$70 to help offset increases on healthcare premiums and parking fees.

The total maximum annual cost of the program for 2015 is approximately \$128,000. The increase is about \$15,000, to a maximum annual amount of \$143,000.

A motion was made by Rachel Dominguez to accept the increase in the Flex Dollars Program and recommends the resolution be presented to the Board for approval. The motion was seconded by Kathleen Street and approved 4-Ayes, 0-Nays and 0-Abstentions.

5. 2015 Holiday Time Off

Dennis Miller explained that each year the University and the Foundation are closed for business between Christmas Day and New Year's Day. The governor usually issues a notice to state employees to take 4hours of paid time off the day before Christmas. The Foundation requests an additional 4 hours for a company paid holiday at a total cost of approximately \$24,000.

A motion was made by Julian Herrera to accept the time off plan of adding one paid Foundation holiday on December 24, 2015 and recommends the resolution be presented to the Board of Directors for approval. The motion was seconded by Kathleen Street and approved 4-Ayes, 0-Nays and 0-Abstentions.

DISCUSSION ITEMS

None

INFORMATION ITEMS

6. Financial Highlights 1st Quarter 2015-16

David Prenovost summarized the 1st Quarter 2015-16 financial highlights.

7. PCI-Penetration Testing, v3.1 Plan Update and Gap Assessment

Randy Townsend discussed the major payment card projects that began over the summer. A conversion from Bank of America to Wells Fargo was made to reduce transaction costs and improve card processing services. Implementation of Chip & Pin cards were made to improve fraud prevention and new card readers were installed to provide full transaction encryption capabilities. Consulting group 403 Labs, performed independent penetration testing, checking for internal and external vulnerabilities and a PCI gap assessment to determine where policies and procedures relating to the new PCI DSSv3.1 standard need to be updated.

8. Annual Risk Management/Insurance Report

David Prenovost presented the Foundation's schedule of insurance premiums, coverage, limits and deductibles for the fiscal year 2015-16. The coverage excludes earth quake insurance as it is not economically feasible to purchase. The Foundation participates in Auxiliary Organization Risk Management Alliance (AORMA) offered through Alliant Insurance Services, a Committee of the California State University Risk Management Authority (CSURMA), a joint powers authority. The Insurance Reserve was established to pay the deductible amounts greater than \$10,000 and has a current balance of \$100,000.

9. Administrative Fee Survey

David Prenovost presented an annual review of the administrative fees charged to various programs and a recent survey of other CSU auxiliary fees in an effort to determine if the fees are fair and equitable and to provide this Committee and Board with any recommended changes. Foundation Management is recommending a continuation of the current administrative fees/rates through the fiscal year ending June 30, 2016.

10. Dining Commons Replacement Project

Paul Storey stated the Foundation has been involved in discussions regarding the replacement of the Los Olivos Dining Commons. The campus plans to construct a new 680 seat, 35,000 GSF resident dining facility in conjunction with a new residence community consisting of 980 beds. This dining facility is planned to be located adjacent to both the new residence community and the current Suites. Completion of the facility is expected to occur during the summer of 2019.

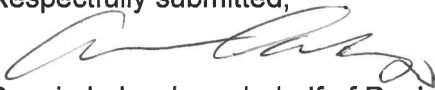
11. Executive Director's Report

1. The Financial and Employment Services Focus Group meeting is on Thursday, December 10, 2015 at Kellogg West Auditorium, 9:00 to 11:00am.
2. Dining Services is conducting a university wide dining survey and we encourage everyone to participate.

OPEN FORUM

Meeting was adjourned at 2:10pm

Respectfully submitted,



Darwin Labordo on behalf of Benjamin Quillian, Finance Committee, Chair

Memorandum



Date: February 2, 2016
To: Finance Committee
Cal Poly Pomona Foundation, Inc.
From: Dennis Miller, Chief Employment Officer
Cal Poly Pomona Foundation, Inc.
Subject: **Employee Handbook 2016**

Periodically, Foundation updates its Employee Handbook. Most often, the Employee Handbook is updated to clarify a policy or procedure, and about once a year there is a need to add updates due to changes in employment laws or regulations. In May 2015 Foundation last presented the Employee Handbook for review and approval by the Personnel Committee and subsequently it was provided to the Board of Directors as an information item.

However, a recent review of Foundation's policies by CalPERS triggered the need for the Board of Directors to formally approve Foundation's Employee Handbook. Therefore, attached is the revised Employee Handbook for your review and approval.

While the Employee Handbook should be reviewed in its entirety, it has only one material change from the time it was last revised in 2015 - titled "Pay Transparency Nondiscrimination Provision" which can be found on page 32.


PROPOSED ACTION:

The following resolution is recommended for approval:

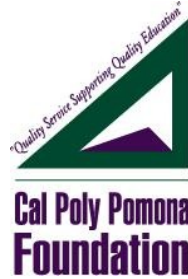
RESOLVED, that the Finance Committee of the Board of Directors approves the revised Employee Handbook.

BE IT FURTHER RESOLVED that upon approval of this resolution by the Board of Directors at their next scheduled meeting, the Executive Director of the Cal Poly Pomona Foundation is authorized and directed to take any and all action as may be necessary to effectuate this Resolution.

PASSED AND ADOPTED THIS 3rd DAY OF FEBRUARY 2016.



Dr. Benjamin F. Quillian, Chair
Finance Committee



Cal Poly Pomona Foundation Employee Handbook

Revised February 2, 2016

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This Employee Handbook is effective immediately and shall remain in place until superseded. This Handbook supersedes all prior Employee Handbooks.

SECTION 1

INTRODUCTORY POLICIES

INTRODUCTION

The Cal Poly Pomona Foundation, Inc., established in 1966, is an integral component of the educational mission of the California State Polytechnic University at Pomona. The Foundation exists to provide the highest level of services to the campus constituencies. As an employee of the Foundation, we are hopeful you will find your employment to be professionally rewarding and challenging in meeting the needs of the campus community. We are a non-profit, self-supporting 501(c)(3) auxiliary organization.

Because the quality of our employees is a key factor toward our success in performing our mission, we carefully select our new employees. In turn, we expect employees to recognize the service nature of the Foundation's mission and contribute to the success of our organization.

INTEGRATION CLAUSE AND THE RIGHT TO REVISE

The purpose of this Employee Handbook is to inform all employees about the policies, responsibilities, procedures, guidelines, benefits and work rules that apply to each employee of the Foundation.

This Handbook applies to all employees of the Foundation whether the employee is full time, part time, temporary, seasonal, or a student employee. This Handbook also applies to employees covered by the Management Compensation Plan, except where superseded by that Plan. The benefits provisions of this Handbook apply only to those employees who have been identified and are eligible for particular benefits, and generally, part time and student employees are not eligible to earn sick or vacation benefits, or health care insurance or pension benefits.

Please read this Handbook carefully - you are responsible for adhering to its contents. While you review this Handbook please keep in mind it is a guideline for employees and only highlights the Foundation's policies, practices, procedures, guidelines, rules and benefits. This Handbook is not intended to be a contract and should not be viewed as creating contractual obligations. Obviously, circumstances may require that the policies, practices, guidelines and benefits described in this Handbook change from time to time. The Foundation reserves the right to amend, supplement or rescind any of the provisions of this Handbook, other than its employment at will provisions, as it deems appropriate in its sole and absolute discretion. Change will be communicated as soon as practical. This Handbook is posted on the Foundation's website and is available at all times. Please ensure it is reviewed when considering employment related policy issues.

The Employment Services Department will be happy to answer any questions regarding the contents of this Handbook.

EQUAL EMPLOYMENT OPPORTUNITY POLICY

The Foundation is an equal opportunity employer and will not knowingly discriminate against any employee or applicant for employment in any unlawful manner. If an employee believes they have been subjected to any form of unlawful discrimination, they should inform the Employment Services Department. The Foundation will not retaliate or permit retaliation against any employee who complains of unlawful discrimination in the work place.

STATEMENT OF AT-WILL EMPLOYMENT STATUS

All employment with Cal Poly Pomona Foundation, Inc. is at-will and shall continue only upon the mutual consent of the Foundation and the employee. This means that an employee may terminate his or her employment with the Foundation at any time with or without cause or prior notice and the Foundation has similar rights. There is no promise that employment will continue for a set period of time, nor is there any promise that employment will terminate only under particular circumstances. No employee or representative of the Foundation has authority to make promises, representations or agreements inconsistent with this policy of at-will employment, other than the Foundation's Executive Director or the Chairperson of the Foundation Board of Directors, and the Executive Director and/or Chairperson may do so only pursuant to a written agreement signed by the employee and the Executive Director and/or Chairperson. This policy statement supersedes all written and oral representations that are in any way inconsistent with it and represents the complete and final policy of the Foundation on this subject matter.

SECTION 2

RECRUITMENT AND EMPLOYMENT PRACTICES

JOB OPENINGS

Full time benefited position openings ("Regular Benefited") are generally posted for a minimum of five working days on Foundation's website, and are listed in a range of public forums including places such as the State Employment Development Department. Notices to other organizations and advertising in other places shall be determined jointly by the hiring authority and Employment Services Department. All posted positions are filled on a competitive basis. Employees must meet the specified minimum qualifications and apply in accordance with the position announcement in order to be considered for a position. Positions filled through internal promotions, or positions within the same job family and within the specific unit do not require posting.

HIRING PROCEDURE

The Executive Director of the Foundation shall appoint a search committee to meet and interview qualified applicants and make recommendations for all management positions. Non-management positions require the selection approval of the hiring supervisor and the next higher level of supervision. Offers of employment for benefited positions must be approved by the Employment Services Department before an employment offer can be made. Appointment letters will be prepared by the Employment Services Department and must be approved by Executive Director of the Foundation or his designee.

IMMIGRATION LAW COMPLIANCE

The Foundation is committed to following all employment laws including immigration laws. Immigration laws require all individuals provide documents proving their identity and legal right to work in the United States. All offers of employment are conditioned upon the candidate's ability to satisfactorily provide the required documentation. Foundation practice requires the prospective employee to provide the required documentation prior to commencing work. Any falsification of documentation required by the immigration laws will result in immediate dismissal. Foundation participates in the E-Verify program for all newly hired employees.

REGULAR BENEFITED EMPLOYEES

Certain positions and/or classifications are identified as "regular benefited" status. Regular benefited employees are scheduled to work eight hours per day, 5 days per week. However, all work shifts are scheduled according to business needs and this status does not guarantee any employee a minimum number of hours of work per day or per week. "Regular benefited" status qualifies the employee for employee benefits such as medical, dental, and vision insurance; group life insurance; paid vacation, paid sick leave, and holiday pay; jury duty pay; education assistance program; paid bereavement leave; and other benefits and programs.

MANAGEMENT COMPENSATION PLAN (MCP)

The Foundation's Management Compensation Plan (MCP) is designed to cover specific Foundation employees who have been designated as directors or managers who have primary responsibility for the development and implementation of policies, procedures, practices, and/or guidelines which apply to the Foundation as a whole, or responsibility for a major operational unit of the Foundation.

PART TIME EMPLOYEES

Part time employees are generally those hired to work a limited number of hours per week (e.g. 20 hours per week or less) and are subject to lay off during seasonal business closures with no guarantee of being rehired. Part time employees are not eligible for employee benefits such as health insurance or paid time off. Part time employees are not guaranteed a minimum number of hours of work per day or week. Part time employees are not permitted to work more than 1000 hours in any fiscal year (July 1st through June 30th) per CalPERS regulations.

TEMPORARY EMPLOYEES

Temporary employees are those who are hired for specific project assignments of limited duration. They are not eligible for health insurance or paid time off benefits, and their length of employment shall be specified, not to exceed six months and are not guaranteed a minimum number of hours of work per day or per week. Temporary employees shall not work more than 1000 hours in any fiscal year (July 1st through June 30th).

STUDENT EMPLOYEES

Student employees are students who are attending California State Polytechnic University, Pomona, as undergraduate students enrolled in a minimum of 6.0 units each quarter, or graduate students enrolled in a minimum of 4.0 units each quarter, who may work as a Foundation employee with certain restrictions. Student employee positions are exempt from FICA and therefore do not make contributions to that program.

Student employees are allowed to work a maximum of 20 hours per week while school is in session. If the student has more than one job, the 20-hour rule applies to total hours worked in combination with all jobs on campus.

Student employees are allowed one quarter off during the college year (summer through spring). During the one-quarter off, student employees may work a maximum of 40 hours per week. Students who are only enrolled with College of Extended University or Open University do not qualify for student employment, but may be considered for other employment categories such as part time or temporary employment.

Students who are attending a school other than Cal Poly Pomona are not eligible to be classified as a student employee, but may be considered for employment as a part time or temporary employment.

Other restrictions may apply, and please contact Employment Services Department to discuss how the rules may apply to your specific situation.

Part time and temporary employees are limited to working an absolute maximum of 1000 hours per fiscal year.

WORK STUDY STUDENT EMPLOYEES

Students employed through the Federal College Work-Study Program are exempt from the above stated policies and practices. Contact the Financial Aid Office for work-study requirements.

GRANT/CONTRACT EMPLOYEES AND EMPLOYEES FUNDED THROUGH STATE OR UNIVERSITY SOURCES

Those employees hired under the provisions of grants, contracts, or other funding sources are employed only to the extent funds are available from the funding source and within the guidelines of the particular grant/contract or other funding source in coordination with Foundation's policies, procedures, and hiring practices. These employees may be classified as regular benefited, part-time (non-benefited), temporary, or student employee and do not guarantee any employee a minimum number of hours of work per day or per week. As stated elsewhere in this Employee Handbook, employment with the Foundation is at-will.

IDENTIFYING EXEMPT AND NONEXEMPT EMPLOYEES

Nonexempt employees are generally scheduled to work eight hours per day, five days per week and receive overtime for all hours worked in excess of eight hours per day or forty hours per week. Double time is paid for hours worked in excess of twelve hours per day and for all hours worked in excess of eight hours on the seventh day of work. Other wage rules may apply given the specific set of circumstances.

Exempt employees typically include executive, managerial, and certain professional/administrative staff, and are exempt from the California and Federal overtime requirements.

EMPLOYMENT OF RELATIVES

The Foundation will not hire or continue the employment of relatives where actual or potential problems may arise regarding supervision, security, safety or morale, or where potential conflicts of interest exist. An employee may not work under the direct supervision of a relative. Relatives are defined as spouses, domestic partners, children, sisters, brothers, mothers, fathers, or any persons who are closely related by birth, marriage or adoption, or persons with a close personal relationship. Relatives may be employed in the same department, but may not participate in any proceeding, evaluation, recommendation or action that affects the employment status of a relative.

Present employees who marry, who become related by marriage, or who enter into a close relationship may be permitted to continue employment only if their employment poses no difficulties for supervision, security, safety, morale, or potential conflicts of interest.

If employees who marry, who become related by marriage, or who have a close relationship do pose difficulties for supervision, security, safety, morale, or where potential conflicts of interest exist, the Foundation will attempt to reassign one of the employees to another position for which he or she is qualified, if such a position is available. If no such position is available, one of the employees may be required to leave the Foundation.

SECTION 3

JOB DUTIES AND CLASSIFICATIONS

POSITION DESCRIPTIONS

The essential duties and responsibilities of each position are described in the respective position description. Employees should request a copy of their position description when they first begin employment or whenever their work assignment changes.

Job responsibilities may change at any time during employment. From time to time, an employee may be asked to work on special projects, or assist with other work necessary and important to the Foundation. Cooperation and assistance from an employee in performing such additional work is expected.

The Foundation reserves the right, at any time, with or without notice, to alter or change job responsibilities, reassign or transfer job positions, or assign additional job responsibilities.

CLASSIFICATIONS

All employees are assigned a position classification consistent with their employment status. The position classifications are designed to describe the broad duties and responsibilities of the position.

RECLASSIFICATIONS

If the duties and responsibilities of a position change significantly, the employee or supervisor may request a position reclassification from the Employment Services Department. This action may result in a change to a higher or lower salary grade or a different classification, or no grade or classification change at all.

PROMOTIONS

All posted positions are filled on a competitive basis. Employees must meet the specified minimum qualifications and apply in accordance with the position announcement in order to be considered for a position involving a promotion to a position in another job family. Promotions to the next higher level position, within a job family and within an operating unit, do not require posting and may be made by the unit manager subject to review by the Employment Services Department.

TRANSFERS

Employees for similar positions may request transfers between units when appropriate openings exist. A transferred employee will normally retain the same classification and pay rate.

DEMOTIONS

A demotion is a change from one classification to a lower one. Demotions may result from classification studies, changes in staffing levels resulting in layoffs, a lack of qualifications for the current position and/or disciplinary action. An employee may request a demotion. A demoted employee will be assigned the rate of the lower classification, but may not receive more than the top grade maximum of the lower classification.

SECTION 4

WORKING HOURS AND SCHEDULES

WORK SCHEDULES

The Foundation administrative offices are typically open for business between the hours of 8:00 A.M. and 5:00 P.M. Monday through Friday, throughout the academic year. The work hours of Enterprise units are determined by the requirements of the respective Enterprise unit. Some Enterprise units are operational 24 hours a day, 7 days per week, while others are not, and therefore work schedules will reflect business needs.

Employees are expected to report to work on time as scheduled and ready to perform their work upon arrival.

The Foundation reserves the right, at any time, with or without notice, to alter or change job responsibilities, reassign or transfer job positions, alter or change work schedules, or assign additional job responsibilities. All employment with the Foundation is at-will and there is no guarantee any employee will receive a minimum number of hours of work per day or per week.

MEAL AND REST PERIODS

(Applicable to "Nonexempt" employees)

Supervisors will make available and shall schedule an unpaid meal period of at least 30-minutes on each workday for each nonexempt employee scheduled to work more than 5 consecutive hours for which they have supervisory responsibility. Meal periods are normally near the mid-point of the shift and may be at other times when necessary to fulfill the operational needs of the unit. However, a meal period may be scheduled at any time during the work day as long as it commences prior to the 5th hour of work.

Supervisor's will ensure their employees are not expected to perform any work during their meal period and supervisors are prohibited from discouraging or impeding employees from taking their meal period.

Employees are required to clock out and in for their scheduled meal periods. Employees are encouraged to use meal periods for the purpose of obtaining nourishment. However, it is recognized that in rare cases an employee may choose to clock out for their meal period and return to their work station and continue to work for some or all of their meal period. However, meal periods are not paid – even if the employee decides to remain at their desk to conduct company business. If an employee has questions about their meal period or breaks, or if an employee has been discouraged from taking their meal period or breaks, the employee must report such activity to Employment Services for disposition within 2 business days.

Employees are permitted a minimum ten-minute rest period for every four hours of work or major portion thereof (E.g. 2 rest periods per 8 hour shift). Rest period time may not be saved up for later use. Each employee is expected to observe their assigned working hours and the time allowed for meal and rest periods.

REQUIRED OVERTIME

(Applicable Only "Nonexempt" employees)

Where work activities require additional hours for completion, it may be necessary to work overtime. The Foundation will attempt to notify an employee at least one day in advance when overtime becomes required. Where the need for the overtime is not known one day in advance, an employee is still expected to work the overtime hours unless otherwise excused by the employee's immediate supervisor.

WORKWEEK AND WORKDAY

The workweek begins at 12:00 A.M. Sunday morning and continues for seven consecutive 24-hour periods, ending 11:59 P.M. Saturday night. The workday begins at 12:00 A.M. and continues for 24 consecutive hours ending 11:59 P.M.

**SECTION 5
COMPENSATION GUIDELINES**

MERIT INCREASES

Newly hired employees typically start at the minimum point of the salary grade. During the employee's annual performance evaluation and contingent on budget approval by the Board of Directors, the employee may be considered for a merit increase within his or her salary range. This will continue until he or she reaches the maximum limit of that grade. Merit increase amounts are based on the results of a completed performance evaluation. Wage increases for those employees hired under the provisions of grants, contracts, or other funding sources are subject to the available funding and within the guidelines of the particular grant/contract or other funding source.

Merit increases for part-time and temporary employees are based on service period and employment status and must be accompanied by a performance evaluation.

Student employees receive an hourly wage depending on their duties and according to the Student Salary Schedule. A completed Student Evaluation form must be submitted along with a merit increase request. Supervisors may obtain a copy of the Student Salary Schedule from the Foundation's website.

PAY PERIODS

Foundation employees are paid on a bi-weekly basis, every other Thursday. However, those employees enrolled in direct deposit typically receive their pay sooner than those who are not enrolled in direct deposit.

TIMEKEEPING REQUIREMENTS

The Foundation utilizes the Kronos Timekeeping System for all employees. All supervisors are responsible for accurate timekeeping records and are required to review Kronos punches before approving. All supervisors are required to review and approve effort / time recorded in Kronos for their respective employees no later than 10:00AM on the first Monday of a new pay period.

Nonexempt employees are required to report accurate working hours for each pay period they work (exact arrival and departure times) and when they depart and return from their meal period. Falsifying or making unauthorized changes to any timekeeping record can result in disciplinary action including termination of employment.

All employees who have logged effort / time for any work paid through Foundation are required to review and approve their time in Kronos no later than 9:00AM on the first Monday of a new pay period.

All time entry problems or errors should be reported immediately to your supervisor.

HOLIDAY PAY

(Regular Benefited Employees ONLY)

Holiday pay is paid at the employee's regular rate of pay. If a nonexempt employee is required to work on a day designated as a Foundation holiday, that employee will receive the holiday pay plus pay for hours actually worked at the regular rate of pay. Generally, an employee must work the last scheduled day before the holiday and the first scheduled day after the holiday to be eligible for holiday pay, unless the employee is on vacation, sick leave or personal holiday. Holiday time will not count toward hours used to determine overtime eligibility in the week of the holiday.

PERSONAL HOLIDAY PAY

(Regular Benefited Employees ONLY)

Personal holiday pay is paid at the employee's regular rate of pay. Personal holiday time will not count toward hours used to determine overtime eligibility in the week the personal holiday was taken.

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VACATION PAY
(Regular Benefited Employees ONLY)

Vacation pay is paid at the employee's regular rate of pay. Vacation time will not count toward hours used to determine overtime eligibility in the week the vacation time was taken.

SICK PAY

Sick pay is paid at the employee's regular rate of pay. Sick time will not count toward hours used to determine overtime eligibility in the week the sick time was taken.

Medical evidence of illness and/or medical certification of fitness to return to work may be required before an employee may return to work after an absence due to illness or injury. In cases where sick leave has been misused disciplinary action will be taken.

OVERTIME PAY

The Foundation provides compensation for all overtime hours worked by nonexempt employees in accordance with state and federal laws.

For purposes of determining which hours constitute overtime pay, only actual hours worked in a given work day (over 8 hours) or workweek (over 40 hours) will be counted. Other situations may trigger overtime and should be discussed with the Employment Services Department whenever a question arises. .

For purposes of defining eligibility for overtime each job classification is either nonexempt or exempt. See Section 3, Identifying Exempt vs. Nonexempt Employees.

ALL OVERTIME WORK BY A NONEXEMPT EMPLOYEE MUST BE APPROVED IN ADVANCE BY THE EMPLOYEES SUPERVISOR. EMPLOYEES WHO WORK UNAUTHORIZED OVERTIME ARE SUBJECT TO DISCIPLINARY ACTIONS.

JURY DUTY PAY
(Regular Benefited Employees ONLY)

The Foundation encourages employees to fulfill their civic responsibilities by serving jury duty when required. Benefited employees who have completed six months of service may request up to 20 days of paid jury duty in any one 24-month period. An employee should notify their supervisor of the need for time off for jury duty as soon as a notice or summons from the court is received. An employee reporting for jury duty is required to provide written verification from the court clerk of having served. If work time remains after any day of jury selection or jury duty, an employee is expected to return to work for the remainder of the work schedule. Part time, temporary and/or student employees do not qualify for jury duty pay.

ADVANCES

The Foundation does not permit advances for pay checks.

SECTION 6

EMPLOYEE BENEFITS

(Section 6 applies to Regular Benefited Employees only)

BENEFIT ELIGIBILITY

Eligibility for benefits depends upon employment status. THE RESPECTIVE APPOINTMENT LETTER MUST SPECIFICALLY DENOTE ELIGIBILITY FOR BENEFITS OR THE EMPLOYEE IS NOT CONSIDERED TO BE ELIGIBLE FOR BENEFITS. If an employee believes their status is incorrect, the employee should discuss this issue with their supervisor.

This Handbook only summarizes those benefits programs (e.g., health, dental and eye care) that are maintained pursuant to a benefit plan document. If statements in this Handbook conflict with or are otherwise inconsistent with the provisions of an applicable benefit Plan Document, the provisions of the Plan Document will control.

RETIREMENT PLANS

Benefited employees are automatically enrolled in the California Public Employees' Retirement System (CalPERS). Both the Foundation and employee contribute to the CalPERS retirement program. The employee's contribution is determined by the applicable benefits formula for the plan in which the employee has been enrolled, as determined primarily by the employee's hire date except when the employee has prior service covered by CalPERS. Employees seeking additional information on retirement benefits should contact Employment Services, or contact CalPERS directly.

To acquire a vested interest in the retirement plan, an employee must have at least five years of membership in CalPERS. Each member receives an annual statement of contributions, interest earned and years of service credit directly from CalPERS.

The minimum age for normal retirement is either 50 or 52 depending on the plan in which an employee has been enrolled, and only after the employee has at least five years of CalPERS service credit. Applications for retirement or further information on retirement can be obtained from Employment Services or the CalPERS website. Retirement applications must be submitted to CalPERS at least 90 days prior to the planned effective date. CalPERS members may obtain a retirement estimate on the CalPERS web site at www.calpers.ca.gov.

CalPERS also provides death benefits. These benefits are explained in the CalPERS Member Benefits Booklet which is available on the CalPERS website. Please contact Employment Services for additional information.

Should an employee leave Foundation employment prior to having at least 5 years of service, the employee will have the option to terminate CalPERS membership and withdraw funds, roll-over their contributions and interest to another qualified retirement plan, or leave funds on deposit with CalPERS.

MEDICAL, DENTAL, VISION COVERAGE

Coverage for medical, dental and vision insurance is effective the first day of the month following 31 days of full time employment. Typically, an employee will learn detailed information about these benefits during employee orientation and will also enroll at that time. An Employment Services Representative is available to assist employees with technical questions about their benefits programs.

FLEX DOLLARS

Flex Dollars provides eligible regular benefited employees with a monthly credit of \$62.50 that can be applied to buy down their healthcare premiums, parking fees, or to increase the amount they receive through the tuition reimbursement program. Check with Employment Services for additional details on this program.

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GROUP LIFE AND ACCIDENTAL DEATH AND DISMEMBERMENT INSURANCE

Term group life insurance is provided by and paid fully by the Foundation. The amount of coverage for each employee is based on the employee's annual basic earnings. The Employment Services Department can provide a copy of the Employee Benefits Insurance Certificate upon request or it can be found in Kronos Self-Service.

VACATION ACCRUAL

On the first day of the month following 31 days of employment, Regular Benefited employees will receive 80 hours of paid vacation time in their vacation accrual account. 12 months from that date, nonexempt employees will accrue a fractional part of paid vacation hours for each hour worked, and exempt employees will accrue a fractional part based on each 40 hour work week that is worked, up to a maximum accrual cap in accordance with the following schedule:

<u>Schedule/Service Time</u>	<u>Annual Amount</u>	<u>Per Hour</u>	<u>Per-Week</u>
<u>Exempt</u>		<u>Per</u>	<u>HourNonexempt</u>
Schedule A (01 month to 36 months)	10 Days	.03849	1.538
Schedule B (37 months to 72 months)	15 Days	.05769	2.307
Schedule C (73 months to 120 months)	17 Days	.06538	2.615
Schedule D (121 months to 180 months)	19 Days	.07307	2.923
Schedule E (181 months to 240 months)	21 Days	.08076	3.23
Schedule F (241 months to 300 months)	23 Days	.08846	3.538
Schedule G (301 months and more)	24 Days	.0923	3.692
MCP Employees	24 Days		3.692

Nonexempt employees may use vacation time in one hour increments when approved by their supervisor.

Generally, vacations may be requested after six months of active service and when work schedules permit. Vacation schedules must be coordinated with and approved by the employee's supervisor in advance. It should be recognized that in some cases vacations may have to be temporarily deferred, and in some cases, such as to ensure appropriate staffing levels, the scheduling of vacation may be determined by the employee's supervisor.

Employees on unpaid leave do not accrue vacation time. Recognized holidays occurring during a vacation period are paid as holidays and are not charged to vacation time. Generally, sick leave cannot be initiated within time frames an employee is on approved vacation.

All available vacation time must be used before any type of unpaid leave will be approved.

An employee who terminates employment after the first 12 months of employment will be paid all accrued but unused vacation time, consistent with the accrual limitations of this policy.

VACATION ACCRUAL MAXIMUM

Vacation hours accrue up to a maximum number of hours. If an employee has less than 10 years of service, the maximum accrual limit is 272 hours. If an employee has 10 years or more of service, the maximum accrual limit is 384 hours. Employees under the MCP Plan with fewer than 10 years of service are allowed a maximum accrual of 384 hours while MCP employees with more than 10 years of service are allowed a maximum accrual of 440 hours.

When an employee's vacation accrual reaches their maximum accrual, additional vacation hours will not continue to accrue until the employee uses vacation time to bring the total accruals below the maximum accrual. There is no retroactive grant of vacation accrual for the period of time the accrued vacation was at the maximum accrual.

SICK LEAVE

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Sick leave is a form of paid time off that is accumulated mainly for the purpose of providing wage replacement due to personal illness. Other approved uses are stated below. Sick leave is not an entitlement to be used for other purposes and misuse of sick leave will result in disciplinary action, including possible termination. Misuse of sick leave is when an employee uses or attempts to use sick leave in a manner not contemplated below.

Sick leave is approved for any of the following uses:

- Personal illness or injury that is incapacitating.
- To care for an immediate family member when the employee's presence is required and no alternate caretakers are available.
- The employee's own medical, eye and dental appointments.
- The employee's own pregnancy disability leave.
- Sick leave credits may be converted into coordination of payments within established guidelines while the employee is out of work due to a verified non-job related medical leave, or Workers Compensation leave, with prior approval from Employment Services.

Sick leave is not an entitlement to be used for purposes not identified above.

Misuse of sick leave will result in disciplinary action, including possible termination.

Sick leave credits are accrued based on an employee's classification as outlined below:

- Regular benefited employees. On the first day of the month following 31 days of employment, the employee will receive 96 hours of sick time in their paid sick leave account. 12 months from that date, nonexempt employees will begin to accrue a fractional part of a sick leave credit hour for every hour worked (.04615), and exempt employees will accrue 1.846 hours of sick leave credit for every full work week worked (40 hours).
- Overtime hours are not used to calculate sick leave credits for full time employees. However, sick leave credits are accrued for holiday pay, paid vacation time and paid sick time.
- Part time employees - including part time, seasonal, and temporary workers, (excludes student assistant's and University faculty who also work for Foundation part time on sponsored programs) earn sick leave credits at a rate of 1 hour for every 30 hours worked after the employee has worked a total of 240 hours from their initial start date after July 1, 2015.

Nonexempt employees may use sick leave in one hour increments when approved by their supervisor.

There is no maximum limit on the amount of sick leave that can be accrued for regular benefited employees.

The maximum limit that can be accrued for part time employees is 48 hours.

There is no pay for unused sick leave or pay in lieu of sick leave at termination for any classification of employee.

Our current contract with CalPERS provides an option to eligible employees for converting unused sick leave to service time upon retirement. Additionally, Foundation has a 457(b) Plan which permits eligible employees to convert a portion of their unused sick leave (and vacation) into cash and then deposit that cash into their 457 retirement plan. Contact Employment Services for additional information.

HOLIDAYS

Eligibility for holiday pay begins the first day of hire. The Foundation is a service unit to the campus community, and therefore, the holiday schedule is coordinated with the University's operating schedule. Typically, days designated as holidays by the University will also be observed by the Foundation. A schedule of paid holidays is issued at the beginning of each calendar year.

To be eligible for holiday pay, an employee must be scheduled to work on the day on which the holiday is observed and must work your regularly scheduled working days immediately preceding and immediately following the holiday. Please refer to the current holiday schedule posted on the Foundation's website or available in your unit.

PERSONAL HOLIDAY

Regular benefited employees receive one personal holiday each calendar year. One Personal Holiday must be taken each calendar year, and must be taken as a full day rather than in hourly increments. An employee will not earn an additional Personal Holiday until they have used their Personal Holiday from a prior year.

CONTINUATION OF MEDICAL, DENTAL AND VISION INSURANCE

At the beginning of a leave of absence, an Employment Services Representative will explain options for continuance of medical, dental and vision insurance. Refer to Section V, Coordination with Workers' Compensation or State Disability Insurance (SDI) payments.

Employees may elect to discontinue any of the insurance coverage during their leave. The employee will be reinstated to insurance coverage effective the first of the next month upon returning to work.

COBRA

COBRA provides eligible employees and certain family members the right to continue health care coverage at their expense under the Foundation's group health plans. The right to continue such coverage will arise when specific events occur that would normally result in the loss of coverage. Such qualifying events include the resignation, termination, divorce or legal separation, end of child dependent status, death of an employee, or a reduction in an employee's hours. Please discuss your specific situation with Employment Services.

SECTION 7

EMPLOYEE DEVELOPMENT

EDUCATION ASSISTANCE PROGRAM

Employees employed by the Foundation for at least twelve months in a benefited position are eligible to receive benefits under this program. Full time employees paid from contract or grant funds and campus programs are encouraged to participate in the Education Assistance Program **if** funds can be provided by the agency funding the individual contract, sponsored program or grant or if sufficient funds are available through the respective department.

Any employee who is eligible to receive benefits under this program may transfer their benefit to a qualifying dependent. For additional information please refer to Policy #207 on the Foundation's website.

SEMINARS, LECTURES, TRAINING PROGRAMS

It is often desirable for employees to attend training programs, seminars, conference, lectures, meetings or other outside activities for the benefit of the Foundation and/or the individual employees. Attendance at such activities may be required by the Foundation or requested by individual employees. However, attendance will not be considered an officially authorized activity unless prior written approval from the respective supervisor has been provided. To obtain written approval, employees wishing to attend an activity must submit a written request to their supervisor detailing all relevant information, including date, hours, location, cost, expenses, nature, purpose and justification for attendance.

Where attendance is authorized by the Foundation, customary and reasonable expenses will be reimbursed upon submission of proper receipts. Customary and reasonable expenses generally may include registration fees, materials, meals, transportation and parking. Reimbursement policies regarding these expenses should be discussed with your supervisor or Employment Services Representative in advance.

Employee attendance for authorized outside activities will be considered hours worked for nonexempt employees to the extent such hours coincide with normal work schedules, and such hours will be compensated in accordance with normal payroll practices.

While the Foundation encourages employees to improve their job skills and promotional qualifications, such activities are not subject to this program or reimbursement policy unless prior written approval is obtained as discussed above.

SECTION 8

PERFORMANCE EVALUATIONS

PERFORMANCE EVALUATIONS

Employees will receive performance evaluations according to their employment status. Supervisors will prepare evaluations and discuss the contents of those evaluations with the respective employee.

Regular benefited employees may be given their first performance evaluation at the completion of 90 days of service, and the second evaluation will normally be given at the end of the first year of employment. After one year of employment, performance evaluations will typically be conducted annually, on or about the anniversary date of employment with the Foundation, or the anniversary date of the most recent reclassification.

Part time and/or Student employees may receive performance evaluations at the end of the fiscal year or 30 days prior to the summer lay off. Temporary employees do not generally receive a performance evaluation due to the nature of their employment.

The purpose of the performance evaluation is to (1) evaluate and communicate the strengths and weaknesses of an employee's performance, (2) set future performance goals, and (3) to determine the appropriate amount of pay increase or decrease based on the Merit Scale. Positive performance is expected of Foundation employees.

If an employee disagrees with any aspect of the performance evaluation, the employee is provided the opportunity to place comments on the evaluation form, or request a review of the performance evaluation at the next higher level of supervision within the Foundation.

SECTION 9

TRAVEL ON FOUNDATION BUSINESS

TRAVEL

Written approval from the unit manager and concurrence from the Executive Director of Foundation or his/her designee is required in order to travel on Foundation business. Foundation Financial Services Department can provide the proper forms for reporting business related expenses or a copy of the Foundation Travel Policy and these forms and documents are conveniently located on the Foundation website.

Travel outside of California requires written prior approval from the Executive Director or his/her designee.

Briefly, the main areas of the travel policy are presented below.

USE OF PERSONAL VEHICLE

The Foundation insurance policy may not cover damage or liability to personal vehicles used for Foundation business. Whenever personal vehicles are used for Foundation business, the respective employee is required to have automobile insurance in accordance with California state laws and the employee is specifically prohibited from driving their personal vehicle for Foundation business without the required automobile insurance in place.

USE OF FOUNDATION VEHICLE

An employee's motor vehicle record must be checked and cleared through the Foundation insurance company prior to operating a Foundation owned vehicle. Employees with a poor driving record are ineligible to drive Foundation vehicles. State employees may receive authorization to drive Foundation owned vehicles.

COMMERCIAL TRANSPORTATION GUIDELINES

Transportation expenses consist of charges for commercial carrier fares, private car mileage allowance, overnight and day parking of vehicle, bridge and road tolls necessary taxi, bus or streetcar fares.

MEALS AND LODGING

Actual cost of lodging and no more than the allowable meal allowance as set by the State of California's Board of Control Office will be provided.

EXPENSE/TRIP REPORTS

An employee is eligible to claim appropriate per diem expenses for every 24-hour period of travel status if the travel is more than 25 miles from employee's headquarters. Otherwise, partial day travel allowance will apply.

Partial day travel allowances are permitted according to the Foundation Travel Policy. If an employee is traveling on behalf of a contract or grant and the granting agency specifies in the agreement that their travel policies differ from the Foundation's, the Foundation will adhere to those policies.

A travel advance must be cleared within thirty days after the traveler's return. No additional advance for travel will be made without the clearance of a prior advance. A travel claim must account for all items of expense by the necessary receipts or support in accordance with the allowance schedule.

SECTION 10
LEAVES OF ABSENCE

BEREAVEMENT LEAVE

An employee may request up to five days of paid leave due to the death of an immediate family member. Of those five days, the first day will be paid by the Foundation, and the other 4 days will be taken from the employees sick leave balance. An immediate family member is defined as a spouse, registered domestic partner, the spouse's mother, father, grandmother, grandfather, grandchildren, son, son-in-law, daughter, daughter-in-law, brother, sister.

PREGNANCY DISABILITY LEAVE (PDL)

An employee is eligible for Pregnancy Disability Leave (PDL) from her first day on the job. However, for an employee to take leave under the Family Medical Leave Act (FMLA) and/or California Family Rights Act (CFRA) immediately following PDL, she must have worked at least 1,250 hours in the past 12 months. Under PDL the disability period begins the first day the employee is unable to perform the regular or customary work – similar to FMLA and CFRA.

The Employment Services Department will explain eligibility and conditions of leave as well as how State Disability Insurance might be a benefit to an employee using PDL. There is also a briefing guideline on the Foundation's website along with the appropriate forms. In all cases, it is prudent to discuss your specific situation with the Employment Services Department.

FAMILY LEAVE (FMLA & CFRA)

Federal Family Medical Leave Act (FMLA) and the California Family Rights Act (CFRA) are unpaid leave of absences available for all employees who meet the minimum requirements. Although there are subtle differences in these two programs, leave under FMLA and CFRA run concurrently at the Foundation.

The primary benefits of taking FMLA/CFRA is that an employee's job is protected for a minimum of 12 weeks and the employee will remain eligible for health care insurance through the Foundation's group plans. A short description of the eligibility requirements and other relative information is presented below:

- In order to be eligible for leave under FMLA/CFRA, an employee must have worked for the Foundation for at least 12 months and must have provided at least 1,250 hours of service during that 12-month period prior to beginning their leave.
- Generally, approved reasons for FMLA/CFRA include (1) birth of a child or placement of a child with the employee for adoption or foster care; (2) to care for a spouse, child or parent who has a serious health condition; or (3) for the employee's own serious health condition if the employee is unable to perform the essential functions of his or her job.
- The maximum combined duration of FMLA/CFRA is 12 weeks in a 12-month period. Computation of the leave period starts with the first date covered after leaves begins.

The Foundation's Family and Medical Leave of Absence Policy explains additional eligibility and policy conditions, such as definition of spouse, child and parent; benefits during leave, coordination of benefits (vacation/sick leave); notice requirements, medical certification, and reinstatement. Contact the Employment Services Department for a complete copy of this Policy.

IMPORTANT NOTE: Any employee who does not return to work on or before the expiration of their FMLA, CFRA, or PDL leave will typically be separated from employment.

PAID FAMILY LEAVE (PFL)

Paid Family Leave (PFL) is a benefit provided through the California Employment Development Department. Benefits from this program are designed to assist an employee with balancing workplace demands and family care needs, and covers all employees who are covered by State Disability Insurance. PFL has qualifying requirements and does not offer job protection at the Foundation. This program pays a portion of the employee's weekly salary for up to six weeks within a 12-month period. Contact the Employment Services Department for more information on this program, or visit the EDD website.

VICTIM OF DOMESTIC VIOLENCE LEAVE

The Victims of Domestic Violence Employment Leave Act provides an unpaid leave of absence of up to 12 weeks for employees who are victims of domestic violence. In order for eligibility under this program, an employee must have been involved in a judicial action, such as obtaining restraining orders, or appearing in court to obtain relief to ensure the employee's health, safety, or welfare, or that of the employee's child.

To take leave under this policy an employee must provide notice and certification to the Employment Services Department by one of the following methods:

- a) a police report indicating that the employee was a victim of domestic violence
- b) a court order protecting or separating the employee from the perpetrator of an act of domestic violence
- c) other evidence from the court or prosecuting attorney that the employee appeared in court
- d) documentation from a medical professional, domestic violence advocate, health-care provider, or counselor indicating the employee was undergoing treatment for physical or mental injuries or abuse resulting in victimization from an act of domestic violence.

The Employment Services Department will explain eligibility and conditions of leave on an individual basis.

VICTIMS OF CRIME LEAVE

An employee who is a victim, or who is the family member of a victim, of a violent felony or serious felony may take time off from work under the following circumstances: the crime was a violent or serious felony (as defined by law), or when the employee is the victim of a crime, or when an employee is an immediate family member of a victim, a registered domestic partner of a victim, or the child of a registered domestic partner of a victim. An immediate family member is defined as a spouse, child, stepchild, brother, stepbrother, sister, stepsister, mother, stepmother, father or stepfather.

WITNESS SUBPOENA

If an employee is subpoenaed as a witness for The California State University System or the Cal Poly Pomona Foundation, Inc., the employee is paid his/her regular salary. All court fees (except travel and/or subsistence) received by the employee are to be reimbursed to the Foundation. When an employee is requested to appear in court for personal reasons, vacation leave must be used for the time off.

MILITARY LEAVE

The Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) provides rights to military personnel including the right to take military leave, and reemployment and benefit related rights. To verify eligibility under this program, an employee should provide a copy of the military orders and verification the active duty was served. Please contact Foundation Employment Services for complete information related to employer and employee requirements for military leave.

PERSONAL LEAVE

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A request for an unpaid personal (non-medical or non-work related) leave may be submitted in written form to the respective unit manager for consideration. Attendance records, length of employment, and needs of the department, among other factors, will be considered on a case-by-case basis in determining approval or denial of such requests. A completion of a "Request for Leave of Absence" form is required and all available vacation time must be used before any type of unpaid leave will be approved.

ORGAN OR BONE MARROW DONOR

An employee desiring to donate bone marrow or an organ to another person may have up to 5 days of paid sick or vacation time for bone marrow donations. Up to 30 paid days are available to an employee for an organ donation, of which the first 14 days will be deducted from any earned and unused sick or vacation time. Please discuss your specific situation with Employment Services prior to making any medical arrangements as restrictions do apply.

SECTION 11

TERMINATIONS AND REDUCTIONS IN WORK FORCE

All employment with the Foundation is at-will and can be terminated at any time, with or without cause or prior notice by either the employee or the Foundation.

LAYOFF (REDUCTIONS IN WORK FORCE)

Under some circumstances the Foundation may need to restructure or reduce its work force. If it becomes necessary to restructure our operations or reduce the number of employees, the Foundation will provide advance notice, if possible, to help minimize the impact on those affected. Generally, employees subject to layoff will be informed of the nature of the layoff and the foreseeable duration of the layoff.

In determining which employees will be subject to layoff, the Foundation will take into account, among other things, unit operational requirements, the skill of each individual impacted, their respective productivity, ability and past work performance, and where feasible, the employee's length of service.

The Foundation's Layoff Policy, Policy #208, outlines specific procedures to be followed. The Policy is designed to help provide stability of employment within the limits of projected financial resources and the service needs of the campus community. Complete information to this policy may be obtained from the Employment Services Department.

SEASONAL/TEMPORARY LAYOFF

During the summer, extended break periods and other times employees may be placed on "temporary layoff". These layoffs are based on work available, and the skills and qualifications needed for the available work, and length of service is also a factor considered.

Those employees eligible for medical, dental and eye care benefits will continue to be eligible for group coverage under the Foundations programs during the seasonal/temporary layoff. Employees are required to continue to pay their portion of any monthly premiums for continued coverage. Accrued vacation time and personal holiday will be used during periods of temporary layoff. Vacation time or sick leave does not accrue during periods of layoff.

JOB ABANDONMENT

Failure to report to work on any scheduled day or during any scheduled period is unacceptable, and unless later excused, will result in disciplinary action. An absence of 3 scheduled work days or more constitutes job abandonment and is considered a voluntary resignation.

All Foundation owned property, keys, uniforms, identification badges, parking permits, etc. must be returned immediately upon separation of employment.

RESIGNATIONS

The Foundation requests a written notice of resignation be provided to an employee's supervisor at least two weeks before their last day of work. The notice should state the last day the employee will be working and the reason for leaving.

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All Foundation owned property, keys, uniforms, identification badges, parking permits, etc., must be returned on the last day of employment or sooner if requested by the Foundation. A "Separation Clearance" Form should be completed and signed during the exit interview with the Employment Services Department.

SECTION 12

WORKPLACE CONSIDERATIONS

SMOKE FREE WORKPLACE

Smoking is prohibited in all Foundation facilities or vehicles. The University and other campus entities follow this smoke free workplace policy and smoking is generally prohibited within 25 feet of any building on campus.

ILLNESS AND INJURY PREVENTION PROGRAM

Every employee is responsible for the safety of him/herself as well as others in the workplace. To achieve our goal of maintaining a safe workplace, everyone must be safety conscious at all times. To help promote the concept of a safe workplace, the Foundation maintains an Injury and Illness Prevention Program. The Injury and Illness Prevention Program (IIPP) is available for review by employees in each work location and is posted under the Employment Services section of the Foundation's website.

Any work related injury, illness, or unsafe condition must be reported to the employee's supervisor immediately.

If injury occurs on the job, the employee must immediately report the injury to their supervisor. Unless it is an emergency, a "Medical Service Order" signed by the supervisor must be taken to the medical facility in order to receive treatment.

To return to work the employee must have a release from a physician and must follow any work restrictions until authorized to return to full duty. The employee is expected to keep the Employment Services Department informed of the progress of the injury.

DRUG AND ALCOHOL ABUSE PROGRAM

The Foundation is concerned about the use of alcohol, illegal drugs or controlled substances as it affects the workplace. Use of these substances, whether on or off the job, can adversely affect an employee's work performance, efficiency, safety and health and therefore seriously impair the employee's value to the Foundation. In addition, the use or possession of these substances on the job constitutes a potential danger to the welfare and safety of other employees and exposes the Foundation to the risks of property loss or damage or injury to other persons.

Furthermore, the use of certain prescription drugs and/or over-the-counter drugs also may affect an employee's job performance and seriously impair the employee's ability to contribute to the success of the Foundation.

The following rules and standards of conduct apply to all employees while on the Cal Poly campus or during the workday (including meals and rest periods). The following are strictly prohibited:

- Possession of, use of or being under the influence of alcohol, illegal drugs or controlled substance while on the job.
- Driving a Foundation vehicle while under the influence of alcohol, illegal drugs or controlled substance.
- Distribution, sale or purchase of an illegal or controlled substance while on the job.

Violation of the above rules and standards of conduct will not be tolerated. The Foundation also may bring the matter to the attention of appropriate law enforcement authorities.

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An employee's conviction on a charge of illegal sale or possession of any controlled substance while off Foundation property will not be tolerated because such conduct, even though off duty, reflects adversely on the Foundation.

Any employee who is using prescription or over-the-counter drugs that may impair the employee's ability to safely perform the job, or affect the safety or well-being of others, must notify a supervisor of such use immediately before starting or resuming work.

SOLICITATION AND DISTRIBUTION OF LITERATURE

In order to ensure efficient operation of our business and to prevent annoyance to employees, it is necessary to control solicitations and distribution of literature on the campus. The Foundation has established rules applicable to all employees governing solicitation, distribution of written material and entry onto the premises and work areas. All employees are expected to comply strictly with these rules. Any employee, who is in doubt concerning the application of these rules, should consult with his or her supervisor immediately.

No employee shall solicit or promote support for any cause or organization during his or her working time or during the working time of the employee or employees at whom such activity is directed.

Non-employees are not permitted to solicit or to distribute written material for any purpose on Foundation managed property unless approved by the Executive Director.

The above policy does not apply to activities permitted under the National Labor relations Act.

KEYS

Employees must follow security policies and procedures regarding all keys issued to them. The loss or misplacement of a key must be reported immediately. On the last day of employment, an employee must return all keys to the Employment Services Department.

PHOTO IDENTIFICATION

Unless otherwise notified, all employees are required to have a Cal Poly Identification Bronco Card. ID cards are useful for borrowing books or other materials from the library, purchasing discount tickets for various venues, and to cash personal checks. ID cards are issued by the Admissions and Outreach Department (Enrollment Services) located in the Building #98, Second Floor. Please contact Enrollment Services at extension 3422 for their current schedule.

PROPERTY, SECURITY, PRIVACY AND SEARCHES POLICY

Desks, storage areas, work areas, lockers, file cabinets, credenzas, all computer systems, office telephones, certain cell phones such as those provided by Foundation, , transmission radios, modems, facsimile machines, duplication machines, and Foundation owned vehicles are the Foundation's property and must be used and maintained according to this policy. All such areas and items must be kept clean and are to be used only for work purposes except as provided in this policy. The Foundation reserves the right, at all times, and without prior notice, to inspect and search any and all Foundation property for the purpose of determining whether this policy or any other Foundation policy has been violated or whether such inspection and investigation is necessary for purposes of promoting safety in the workplace or compliance with state and federal laws. Such inspections may be conducted during or after business hours and in the presence or absence of the employee. At least two employees must be present during any inspection.

The Foundation's computer systems and other technical resources, including any voice mail, E-mail, or Internet access, cell phones, , tablet's, smart devices, and the like, are provided for the use in the pursuit of the Foundation's business and are to be reviewed, monitored and used only in that pursuit, except as provided in this policy. As a result, computer data, voice mail and E-mail are readily available to numerous persons. If, during this course of your employment, you perform or transmit work on the Foundation's computer systems or

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other technical resources, your work may be subject to the investigation, search and review of others in accordance with this policy. In addition, any electronically stored communications that you either send to or receive from others may be retrieved and reviewed where such investigation serves the legitimate business interests and obligations of the Foundation.

The Foundation recognizes that employees may occasionally find it necessary to use the Foundation's telephones for personal business. Such calls must be kept to a minimum and must be made only during break or lunch periods. All personal calls out of the local zone area and out-of-state telephone calls must be reported to your supervisor in a timely manner and charges remitted promptly. Each individual unit may have more specific policies or procedures in addition to this general policy.

Employees of the Foundation are not permitted to use Foundation's equipment for non-Foundation purposes without permission from their direct supervisors. The employee has no right of privacy as to any information or file maintained in or on the Foundation's property or transmitted or stored through the Foundation's computer systems, voice mail, E-mail, Internet access or other technical resources. For purposes of inspecting, investigating or searching employee's computerized files or transmissions, voice mail, or E-mail, Internet access or any other technical resources, the Foundation may override any applicable passwords or codes in accordance with the best interests of the Foundation, its employees, its clients, customers, visitors, all Foundation documents and communications are the property of the Foundation and may be reviewed and used for purposes that the Foundation considers appropriate.

Only Foundation employees may access files or programs, whether computerized or not, that they have permission to enter. Prior authorization must be obtained before any Foundation property may be removed from the premises. Unauthorized review, duplication, dissemination, removal, damage or alteration of files, passwords, computer systems or programs, or other property of the Foundation, or improper use of information obtained by authorized or unauthorized means, may be grounds for disciplinary action, up to and including discharge.

SECURITY CAMERAS

Security cameras will be limited to uses that do not violate the reasonable expectation of privacy as defined by law. Security cameras are placed in various locations throughout Foundation and serve three main objectives:

1. Personal Safety: We capture video and store it on a remote device so that if something unsafe of inappropriate occurs, the video may capture details of the event and thereby assist toward understanding what transpired and/or to assist in an investigation.
2. Property Protection: We will capture video and store it on a remote device so that if property is reported stolen or damaged, the video may provide a record of events to assist in the investigation. Common examples of where security cameras will be placed include seating areas for customers, entryways, sales areas, and where cash is handled.
3. Routine monitoring: There may be live video stream in areas which may be monitored by an authorized staff member during operating hours.

Guidelines

- Information obtained from the cameras will be used for law enforcement purposes, University judicial functions, and customer insight and analytics.
- Cameras will be located to limit intrusions to personal privacy. No audio shall be recorded.
- Bathrooms and/or dressing rooms will not be monitored by security cameras.
- Cameras may be used to monitor cashiers and sales transactions.
- Typically, video camera installations will be visible.
- Areas being monitored will be identified with signs indicating that security camera monitoring and video recordings may be taking place.

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- All recording or monitoring of activities of individuals or groups will be conducted in a manner consistent with University policy, and state and federal law. All personnel with access to security cameras shall be trained in the effective, legal, and ethical use of monitoring equipment.
- Requests for video footage, and questions about this policy, should be directed to the respective unit Director.
- Breaches of this policy may result in disciplinary action, in accordance with applicable employment standards.

VOICEMAIL, E-MAIL AND COMPUTER DATA STORAGE SYSTEMS

The following are guidelines for all computer equipment including voice-mail, e-mail, computer systems usage and other electronic equipment, as well as an advisory concerning Foundation's access to and disclosure of messages and information stored on these systems.

All above listed equipment used by the Foundation are provided solely to further the Foundation's business operations in conjunction with California State Polytechnic University, Pomona. These systems and the information stored thereon are owned and belong to the Foundation. Although employee passwords may be used for company-oriented security reasons, the use of such passwords is not intended to assure employees that communications generated by or stored on these systems will be kept confidential. The Foundation maintains the right to access these systems and to retrieve information stored thereon at any time, and all employee passwords must be made known to the Foundation upon demand. Passwords/pass codes are the property of the Foundation and should be kept to appropriate language. These systems should not be used for personal communications.

Once again, employees should keep in mind that messages and all other data stored on the Foundation's voice-mail, e-mail and computer systems is subject to access by the Foundation at any time, and is not to be considered confidential or private. We ask you to exercise good judgment in using these systems.

The appropriate use of the Foundation's voice-mail, e-mail, computer systems and other electronic equipment are as follows:

- Voice-mail, e-mail messages, as well as other computer-stored data, are considered business records and can be subpoenaed (and electronically retrieved, even after you "delete" them). Therefore, nothing should be included in a voice-mail or e-mail message that you would not consider putting in a memo format.
- Employees should delete unwanted voice-mail and e-mail messages as soon as practical and should log off when not using the computer system.
- Employees should exercise good judgment in the use of e-mail distribution lists; these lists are developed for the convenience of the addresses and unnecessary or frivolous messages should not be sent, thereby cluttering up user screens.

Although it is not possible to provide an exhaustive list of all types of misuse of company property, the following are some examples in which company property **must not** be used:

- Any illegal, discriminatory, threatening, harassing, abusive or offensive comments.
- Anything in conjunction with an employee's outside business endeavors or sales of any product or outside service (home products, cosmetics, etc.) or any activity that is inconsistent with Foundation goals and mission statement.
- Anything in conjunction with commercial ventures, religious or personal causes or other similar non-job-related solicitations.

Cal Poly Pomona Foundation, Inc.

- Anything relating to such materials considered obscene, in poor taste, sexual, racial, pornographic, including downloading or forwarding of same.
- Messages relating to defamatory remarks.
- Messages related to political issues (i.e., encouraging or advocating a certain position, bill, etc.) unless there is a compelling business reason - prior approval for such messages (and their planned distribution list) must be obtained from the Executive Director of the Foundation.
- Messages or other communications violating a company policy or contrary to supervisory instructions.
- Gossip, including personal information about yourself or others, or forwarding messages under circumstances likely to embarrass the sender.
- Personal announcements (items for sale, requests for roommates, etc.), or other non-business related communications.

Any violations of these guidelines for use or other provisions of this policy may result in disciplinary actions, up to and including possible termination.

As previously noted, the Foundation's voice-mail, e-mail, computer systems and other electronic equipment are provided to facilitate the conduct of its business. All messages and other communications generated through and/or stored on these systems are considered business records. Employees who use the voice-mail, e-mail, and/or computer systems should understand that information stored on these systems cannot be considered confidential or private. Indeed, the Foundation reserves the right to access any voice-mail, e-mail and other computer-stored information at any time in the service of its legitimate business interests.

Employees should understand that the "delete" function of the Foundation's voice-mail, e-mail and/or computer systems does not necessarily "make the message or other information disappear." While deletions may occur at the user level, copies may remain on one of the system back-up files.

Under certain conditions, employees will need to communicate with clients and other external users via voice-mail, e-mail and/or on the Internet. Employees are cautioned to exercise an additional level of discretion and sound judgment when communicating with third parties via these systems.

UNIFORM AND EQUIPMENT ISSUANCE AGREEMENT

Uniform or equipment items are provided by the Foundation at no cost to the employee who is required to wear such uniforms or utilize such equipment as a condition of their employment. Such uniforms and/or equipment are maintained by the Foundation. It will be the employee's responsibility for the maintenance, laundry and/or care of these uniform items unless otherwise stated. All uniform items must be kept neat and clean at all times, and all equipment must be kept in working order.

Employee will be asked to review and sign the Uniform and Equipment Issuance Agreement upon receipt of uniform and/or equipment items. This Issuance Agreement explains procedures for replacement of lost, destroyed or damaged uniforms or equipment, replacing of normal wear and tear items, cleaning and caring of articles, and returning of items upon separation.

SECTION 13
STANDARDS OF CONDUCT

PERSONAL STANDARDS

Each employee is a representative of the Foundation. It is important for employees to use common sense in their dress and appearance and they are expected to present a positive and professional image at all times. Each employee must report to work properly groomed and wearing appropriate business clothing in a manner that is consistent with their responsibilities. Clothing should be neat and clean. Avoid clothing that might create a safety hazard, is a distraction in the work place, or is offensive to others.

Unit managers may develop more specific guidelines consistent with their operation.

If an employee reports to work with inappropriate attire or does not meet the grooming standards, unit managers have the obligation to take the necessary steps to correct those deficiencies. An example of a necessary step is for the manager to ask the employee to change into acceptable attire. In this example, an employee may be required to go back home, change into acceptable work attire, and then return to work.

If an employee is in dispute with the unit manager's determination, the employee may appeal to the Chief Employment Officer, or Executive Director or his/her designee for a final determination.

CUSTOMER RELATIONS

The Foundation exists to provide services to campus customers. All employees are expected to be polite, courteous, professional, prompt and attentive to every customer.

Our customers are defined as students, employees of the University, the general public and co-workers of the Foundation. When a situation arises where the employee does not feel comfortable or capable of handling any problems that might arise, the supervisor should be contacted immediately.

REPORTING ABSENCES OR TARDINESS

Generally, an employee's supervisor will provide instructions for reporting absences according to procedures established by the respective department. If an employee is unable to report to work, or when an employee expects to be more than 30-minutes late, that employee must notify their supervisor, or notify the person the supervisor has designated to receive such calls. Such notice should be given as far in advance as possible so that the supervisor can obtain a replacement or reschedule the department's work.

Employees also must inform their supervisor of the reason and expected duration of any absence. In those rare cases when an employee is unable to reach their immediate supervisor, they should contact their supervisor's boss, and when the employee cannot contact that person, the employee should immediately contact the Employment Services Department.

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Unforeseen absences due to emergency's or other uncontrollable circumstances must be reported as soon as possible along with an estimate on when the employee expects to return to work. In cases, where more than one day absence occurs, an employee is required to provide a daily status to their supervisor.

Planned absences must be arranged in advance and approved by your supervisor. All absences are subject to supervisory approval.

Instances of failure to call-in may be grounds for corrective discipline and can result in termination of employment. If an employee fails to report for work without any notification to the employee's supervisor for a period of three consecutive working days, the Foundation will consider that employee as resigned without notice as of the close of the business on the third day.

ATTENDANCE AND PUNCTUALITY

As an employee of the Foundation, each employee is expected to be punctual and to have regular attendance. Tardiness and unplanned absences cause problems for co-workers and may negatively impact the services we provide to our customers.

Employees are expected to report to work fully prepared for their job duties. Employees are also expected to remain at work for their entire work schedule, except for meal and rest periods or when required to leave on authorized Foundation business.

Late arrival, early departure or other absences from scheduled hours are disruptive and must be avoided.

Excessive absenteeism (unexcused) may be grounds for corrective discipline and/or up to and including termination of employment. Each situation of excessive absenteeism or tardiness shall be evaluated on a case-by-case basis.

CONFIDENTIALITY/TRADE SECRETS

Those employees having access to confidential information and trade secrets have an obligation to safeguard all such information obtained in connection with his/her employment. Each employee is responsible to safeguard such information and in no way reveal or divulge any such information except when it is necessary to do so in the performance of their job duties. Access to confidential information and trade secrets should be on a "need-to-know" basis and must be authorized by management. It is each individual's responsibility to take due care in securing confidential information and trade secrets. Any attempts of bribery must be reported immediately to the Employment Services Director or the Executive Director. Any breach of this practice can lead to disciplinary action including termination of employment.

CONFLICT OF INTEREST

Situations of actual or potential conflict of interest are to be avoided by all employees. Any type of involvement with a competitor, supplier or subordinate employee of the Foundation, which impairs an employee's ability to exercise good judgment on behalf of the Foundation, creates an actual or potential conflict of interest.

An employee involved in any of the types of relationships or situations described in this policy which creates a real or perceived conflict of interest should immediately and fully disclose the relevant circumstances to his/her immediate supervisor, or any other appropriate supervisor, for a determination as to whether a potential or actual conflict exists. If an actual or potential conflict is determined, the Foundation may take whatever corrective action appears appropriate according to the circumstances. Failure to disclose facts shall constitute grounds for disciplinary action including termination of employment.

PROHIBITED CONDUCT

Like all organizations, the Foundation requires order and discipline to succeed and to promote efficiency, productivity and cooperation among employees. For this reason, it may be helpful to identify some further examples of types of conduct that are impermissible and that may lead to disciplinary action, including termination of

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employment. Although it is not possible to provide an exhaustive list of all types of impermissible conduct and performance, the following are some common examples:

- Theft, dishonesty, including fraudulent or destructive use of Foundation or University property.
- Fraud in securing Foundation employment.
- Falsification of time records.
- Falsification of individual's application required by the Foundation.
- Conviction of any felony under Federal or California State Law.
- Unsatisfactory performance.
- Excessive or unauthorized absences or tardiness.
- Insubordination (failure to recognize or accept the authority of a manager or administrator).
- Fighting, intimidating, threatening other persons or provoking such action.
- Physical or mental unfitness for the position.
- Unsafe or hazardous work actions.
- Violation of unit or Foundation policies or procedures.
- Bearing of firearms or other weapons while on campus.
- Making threats or engaging in violent activities.
- Any action that affects the welfare of other employees or the service of the Foundation.

It should be remembered that employment continues only upon the mutual consent of the employee and the Foundation. Accordingly, either the employee or the Foundation can terminate the employment relationship at will, at any time, either with or without cause or advance notice.

DISCIPLINARY ACTION

Disciplinary action may consist of verbal warning, written warning, suspension and/or immediate discharge, or any combination of these steps, depending on the specific situation. For example, in one situation a verbal warning is appropriate and given to the employee, while in another situation, no verbal warning is given but instead, the employee is immediately suspended.

BUSINESS CONDUCT AND ETHICS

No employee may accept a personal gift or gratuity having a value of more than \$25 from any vendor, supplier or other person doing business with the Foundation as it may give the appearance of influence regarding their business decision, transaction or service. Employees who may receive premiums, samples or free specials as a result of buying or business activities is required to turn such items over to their unit manager for disposition.

Expenses paid by such persons, vendors or suppliers for business meals, trips or any other item of value should be discussed with Foundation senior management in advance of receipt.

Vendors, suppliers and all other persons doing business with the Foundation should be advised of this policy against the receipt of gifts or gratuities.

The Foundation's Ethics Policy is based on three fundamental elements: (1) to create and maintain a culture of honesty and high ethics, (2) to evaluate the risks of fraud and implement the processes, procedures and controls needed to eliminate or reduce the opportunities for fraud, and (3) to develop an appropriate oversight process. It is the responsibility of the entire Foundation management team to implement and monitor these activities. A complete copy of the Foundation's Ethics Policy may be obtained ~~by~~ viewing it on the Foundation's website.

WORKPLACE VIOLENCE

(Zero Tolerance)

The Foundation is dedicated in providing a safe workplace for all employees and the campus community. The Foundation and the University have a zero tolerance for all threats or acts of violence. To ensure a safe workplace and to reduce the risk of violence, all employees should review and understand all provisions of this workplace violence policy. The complete policy is available on the Foundation's website.

Any potentially dangerous situations must be reported immediately to a supervisor or the Employment Services Department. Reports can be made anonymously and all reported incidents will be investigated. Reports or

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incidents warranting confidentiality will be handled appropriately and information will be disclosed to others only on a need-to-know basis. The Foundation will actively intervene at any indication of a possibly hostile or violent situation.

Employment Services takes reasonable risk reduction measures by conducting background investigations and reference checks on new full time employees to help reduce the risk of hiring individuals with a history of violent behavior.

The Foundation participates in the University's proactive program in establishing a climate in which individuals know how and when to respond to the threat of violence.

Threats, threatening conduct, or any other acts of aggression or violence in the workplace will not be tolerated. Any employee determined to have committed such acts will be subject to disciplinary action, up to and including termination of employment, expulsion from the University, or civil or criminal prosecution, as appropriate. Non-employees engaged in violent acts on the campus will be reported to the proper authorities and fully prosecuted.

NO HARASSMENT OR DISCRIMINATION

(Zero Tolerance)

General Overview

Everyone deserves to be treated with respect. The Foundation takes unlawful harassment and unlawful discrimination seriously and encourages individuals to report any incidents to his or her supervisor or the Chief Employment Officer. No employee shall be discriminated or retaliated against in any way by the Foundation for reporting incidents of this nature.

If unlawful harassment or unlawful discrimination occurs, when possible, confront your harasser and try to persuade him/her to stop. If the person refuses to stop, report the complaint directly to the Chief Employment Officer at 869-2958.

Employment Services will investigate all such incidents and recommend necessary action, including discipline. The Board approved policies are 209 and 211 and are available on the Foundation's website.

NONDISCRIMINATION POLICY

The Foundation is committed to equal opportunity for all, regardless of race, color, national origin, gender, age, marital status, religion, disability, sexual preference, or veteran status. The Foundation's policy addresses equal opportunity in employment and recruitment. See Policy #209 for additional details.

The Foundation does not discriminate on the basis of race, color, national origin, gender, physical disability, sexual orientation, or veteran status in any of its programs or activities it conducts.

Persons who are aggrieved may pursue a complaint or seek information by contacting the Chief Employment Officer, 909.869.2958, or the Foundation Executive Director.

SEXUAL HARASSMENT

Sexual harassment refers to the unwanted imposition of sexual attention usually in the context of a relationship of unequal power, rank, or status, as well as the use of one's position of authority in the Foundation to bestow benefits or impose deprivations on another. This applies equally to all employees, students, and managers at the Foundation. Harassment includes verbal, nonverbal, and/or physical conduct that has the intent or effect of unreasonable interference with individuals' or groups' work performance. This may also include actions that create an intimidating, hostile, or offensive working environment. Both men and women can be the victims of sexual harassment. Discrimination on the basis of sex is prohibited by Title VII of the Civil Rights Act as well as California laws. Sexual harassment is a violation of Section 703 of Title VII. Review Policy #211 for additional information.

RACE, COLOR, NATIONAL ORIGIN

The Foundation complies with the requirements of Title VI and Title VII of the Civil Rights Act of 1964 as well as other applicable federal and state laws prohibiting discrimination. No person shall, on the basis of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to

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discrimination in any program of the Foundation.

DISABILITY

The Foundation does not discriminate on the basis of disability in treatment or employment in its programs and activities. Section 504 and 508 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, and various state laws prohibit such discrimination. The Chief Employment Officer has been designated to coordinate the efforts of the Foundation to comply with all relevant disability laws. Inquiries concerning compliance may be addressed to the Chief Employment Officer at 909-869-2958.

If any employee has special needs as addressed by the Americans with Disabilities Act (ADA), please contact the Chief Employment Officer at 869-2958; reasonable efforts will be made to accommodate your special needs.

Employees who believe they have been subject to unlawful harassment or unlawful discrimination under any of the above areas should contact the Chief Employment Officer, 909-869-2958, or the Foundation Executive Director.

WHISTLE BLOWER PROTECTION

Foundation employees are prohibited from engaging in any improper governmental activities or activities that create significant threats to the health and/or safety of the campus community in the performance of their work duties. Foundation employees and applicants for Foundation employment should be free to report waste, fraud, abuse of authority, violation of law, or threat to public health at the Foundation without fear of retribution. No individual who makes a protected disclosure or participates in an investigation concerning allegations of improper governmental activity or the existence of a condition that may significantly threaten the health or safety of employees or the public shall for that reason be subjected to personnel action in addition to any penalty or civil liability provided by law. Employees or applicants for employment who believe that they have suffered reprisal, retaliation, threats, coercion or similar acts for having made a protected disclosure may file a written retaliation complaint with their supervisor, manager or directly with the Foundation Employment Services Department at extension 2958, 2953, or 4378. The complaint alleging retaliation must be signed by the complainant and contain a sworn statement that the contents of the written complaint are true or believed by the complainant to be true, under penalty of perjury.

COOPERATION DURING AN INVESTIGATION

Although uncommon, it can become necessary for any employee to become involved in an internal investigation regarding a suspected policy violation. At all times, all Foundation employees have a "duty to cooperate" in any Foundation related investigation. In the unlikely event an employee fails to cooperate in any such investigation, or where an employee gives false or misleading information, or impedes the investigative process, the employee may become subject to disciplinary actions which could include a wide range of actions up to and including a separation from employment.

PAY TRANSPARENCY NONDISCRIMINATION PROVISION*

Foundation will not discharge or in any other manner discriminate against current employees or applicants because they have inquired about, discussed, or disclosed their own pay or the pay of another employee or applicant. However, employees who have access to the compensation information of other Foundation employees or applicants as a part of their essential job functions (such as those employees who have administrative privileges in Kronos; i.e.: employees working in Employment Services) cannot disclose the pay of other employees or applicants to individuals who do not otherwise have access to compensation information, unless the disclosure is (a) in response to a formal complaint or charge, (b) in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the Foundation, or (c) consistent with the Foundation's legal duty to furnish information.

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SECTION 14

CONFLICT RESOLUTION

The Conflict Resolution Policy, Policy #206 as posted on the Foundation's website, provides employees with a formal procedure for the resolution of problems arising in the course of their employment in a fair and orderly fashion if such problems cannot be resolved informally.

The employee should first discuss the problem with their immediate supervisor. If the meeting does not resolve the problem, the problem should be stated in writing to the immediate supervisor or unit manager. If the employee is not satisfied with the supervisor's written response, the employee may appeal in writing to higher levels of authority.

SECTION 15

PERSONNEL RECORDS

RIGHT TO REVIEW

Employees have a right to inspect certain documents in their personnel file - in the presence of a Foundation Employment Services Representative at a mutually convenient time. A written request should be presented to a representative of the Employment Services Department to review records. Copies of documents are not permitted with the exception of documents that have been previously signed by the employee. An employee may add their version of any disputed item to the personnel file.

EMPLOYEE REFERENCES OR VERIFICATIONS

All requests for references or employment verifications must be directed to the Employment Services Department. No other manager, supervisor or employee is authorized to release references or employment verifications for current or former employees.

Generally, the Foundation's practice relating to references or employment verification for current or present employees is to confirm the employee's name, position title, dates of employment, rate of pay, and whether or not the employee is eligible for re-hire.

This policy is not intended to interfere with the ability of a unit manager to issue letters of reference when requested by individual current or former employees. Letters of reference, if so written, are voluntary and should not be written on Foundation letterhead.

CHANGE OF PERSONAL RECORD INFORMATION

It is each employee's responsibility to update their personal information whenever a change of address, telephone number, or other important personal information has been changed. All active employees may access Kronos Self-Service to update their personal information.

SECTION 16

RECREATIONAL ACTIVITIES AND MISCELLANEOUS PROGRAMS

The Foundation or its insurer will not be liable for the payment of workers' compensation benefits for any injury that arises out of an employee's voluntary participation in any off-duty recreational, social or athletic activity that is not part of the employee's work-related duties.

403(b) TAX DEFERRED ANNUITIES

Employees may participate in the Foundation's 403(b) plan. Funds withheld in a 403(b) are not taxed as income until it is withdrawn (usually at retirement). If an employee is interested in participating in a 403(b), please contact Employment Services for more details.

PARS 457 PLAN (Public Agency Retirement Services)

PARS is a Deferred Compensation 457(b) Plan which provides a supplemental retirement benefit to eligible employees. Eligible employees (which excludes grant funded employees) are able to convert certain amounts of accrued and unused vacation and/or sick leave to cash, and then deposit that cash into the 457(b) plan - within certain restrictions.

However, ALL Foundation employees (except student employees) are permitted to elect pre-tax payroll contributions at their discretion as soon as they become employed with Foundation.

For a complete Plan Summary and eligibility requirements, please contact the Employment Services Department.

AFLAC

(Regular Benefited Employees ONLY)

The AFLAC program allows eligible employees to enroll in two Flexible Spending Accounts and a variety of supplemental employee benefits plans. AFLAC's Flex One cafeteria plan (un-reimbursed medical expenses) allows an employee to set aside pre-tax dollars to use for specific un-reimbursed medical, dental and vision expenses. Additionally, the Flex Spending Account provides for a dependent care account to permit an employee to set aside pre-tax dollars to use for dependent care expenses.

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AFLAC also offers eligible employees other supplemental plans including Personal Accident Expense Plan, Personal Short-Term Disability Plan, Personal Cancer Indemnity Plan, Personal Hospital Intensive Care Plan, Voluntary Indemnity Plan, Life Assurance, and Specified Health Event Policy. Open enrollment is held during the month of November each year and plans are effective January through December. For a complete description of AFLAC Plans, please contact the Employment Services Department.

USE OF CAMPUS FACILITIES

Employees may use the dining facilities located at the Campus Center Marketplace, Bronco Student Center, Los Olivos Dining Commons, various Cafés, and Kellogg West Restaurant (an employee discount is available at the Kellogg West dining room).

The University's physical education facilities are primarily used for instructional purposes, however, they are available for use by employees, as designated by the Health, Physical Education and Recreation Department. Library services are also available to all employees who provide appropriate identification.

CREDIT UNION (Cal Poly Federal Credit Union)


All Foundation employees are eligible to join the Cal Poly Federal Credit Union. When an employee becomes a member of the Credit Union all family members of that employee then become eligible for membership. Please contact the Credit Union directly at 909/598-6548 for further information.

Memorandum



Date: January 28, 2016

To: Finance Committee
Cal Poly Pomona Foundation, Inc.

From: G. Paul Storey 
Executive Director

Subject: Cal Poly Pomona Foundation Investments in Start-up Companies

Discussion: Should the Cal Poly Pomona Foundation develop a policy that provides an opportunity to invest in start-up companies in which a Cal Poly Pomona faculty and/or students is involved, including start-up companies at CTTi?

While we believe that these types of considerations are within the overall mission of the Cal Poly Pomona Foundation, there are financial risks and potential conflicts of interest. Such investment would need to be approved by the Board of Directors.


Management is requesting feedback with input on the level of interest.

Memorandum



Date: January 25, 2016

To: Finance Committee
Cal Poly Pomona Foundation, Inc.

From: G. Paul Storey 
Executive Director

Subject: Overview of the Technology Transfer and Industry Clinic

As part of the 2012-13 Budget – The President’s Public Relations/Designated Gifts request included a \$150,000 award for the startup of the Center for Technology Transfer and Industry Clinic (TT/IC) to fund a director position. The Cal Poly Pomona Foundation Board of Directors has continued to approve an equal amount in the 2013-14 and 2014-15 budget years as part of the President’s request.

In June of 2013 the TT/IC was established and Dr. Marie Talnack was hired as the Director. No funding to date has been required of the Foundation as the TT/IC has received a startup and operating donation from the City of Industry.

Dr. Talnack will provide an overview of the TT/IC.

An Overview of the Technology Transfer and Industry Clinic

www.cpp.edu/~research/tto

CPP_TTIC

Mission Statement:

In June, 2013 CalPoly, Pomona established a Technology Transfer Office/Industry Clinic as part of its mission to develop new research and innovation capabilities at the University. The Office will identify, protect, and manage intellectual property (IP) and market the University's technologies to industry via licensing and new business development opportunities.

Objectives:

The role of the Technology Transfer Office is to support researcher's innovative works by identifying funding resources, managing the protection and commercialization of any resulting technological advances and intellectual property, and developing a network of industry partners to assist in commercializing the research. The establishment of such an Office is to not only provide this type of support but to lay a foundation for continued future research. Specifically, it will strive to meet the following goals:

- Establish the Technology Transfer Office to provide technology commercialization support and identify resources for new and on-going research programs in collaboration with the Office of Research.
- Educate faculty, staff and students as to the benefits and requirements (e.g. compliance with the Bayh-Dole Act and other legislation) of technology transfer.
- Develop and manage an Industry Clinic to help train Cal Poly Pomona (CPP) students to work on industry problem-solving projects through an internship program. Funding for the TTO is provided out of a donation from the City of Industry.
- Build technology transfer capabilities in protecting technologies, identifying licensing, grant funding, and industrial partnering opportunities, while building a positive image of the TT/IC program in collaboration with other Cal State University (CSU) system TTO offices.
- Develop a national industry network supportive of our research efforts and capable of commercializing technologies with us.
- Create a "community outreach" program to inform local and national businesses and organizations of our research capabilities and technology transfer activities.

To date the following are some of the Accomplishments of the Technology Transfer Office and Industry Clinic:

Establish the Technology Transfer Office/Industry Clinic to support the University's mission.

2015 Cal Poly Pomona Technology Transfer and Industry Clinic Activities

-The TTO in coordination with the Office of Sponsored Research and Projects now includes intellectual property issues on the Office's pre-submission checklist for grant proposals. The TTO also reviews grant awards as the contract with other research institutions or industry partners is finalized. Standard intellectual property clauses covering patents, copyrights, and mutual invention disclosure between the contracting parties is now included in all contracts.

This review process provides an opportunity for the faculty member to meet with the TTO Director to discuss filing an Invention Disclosure, patentability, copyright protection, etc. These meetings allow for one-on-one education with faculty regarding intellectual property in the context of their own research. During these sessions, a patent search is conducted for the faculty member to show what is already patented in their field, by whom, and research sponsors. Faculty find this process very valuable as a snapshot of what is happening in their respective fields of research. The software search on patented research is also useful to faculty in compiling a bibliography for their grant applications. 40 such patent searches for faculty and student inventors have been conducted since acquiring the software in November, 2013.

-From 2013-2015 the TTO has built a University patent portfolio through the following:

- No. and type of grant proposals reviewed: 120
- No. Invention Disclosures: 20
- No. provisional patent applications: 18
- No. full patents: 3
- No. of Collaborative Research Memos of Understanding with Industry: 7
- No. of Cooperative Research Agreements: 2 STTR's (Cornerstone, Irvine Sensors)

-The TTO works with various Colleges within the University to not only protect any intellectual property but to encourage outreach to industry collaboration. Below are some of the activities of the TTO to support the different Colleges:

College of Engineering:

Water Research Center (underway)-research project with Metropolitan Water District and potential projects for the 2015 CSU5 collaborative research initiative.

Advanced Coatings Lab, worked with faculty and their industry partner to file three Invention Disclosures and subsequently 2 Provisional Patent applications, TTO provided the team with additional \$5k to complete testing needed for the patent filings. Coordinated with faculty on their successful grant funding to purchase a Scanning Electron Microscope.

-UAV Lab and application for a Center, Invention Disclosure pending. Worked with faculty to apply for a Dept. of Labor/Dept. of Education TAACCT grant with the AMPSoCal. MOU with Metropolitan Water District and use of their land as a test site. Application for a FAA COA designation as a license for industry collaborative research and testing. Coordination with NASA Armstrong and MWD for additional test site at their facilities.

College of Business:

CyberSecurity/Information Systems Center included in a TAACCT grant with the AMPSoCal. Also worked with CyberSecurity program regarding their successful grant from National Science Foundation for CyberSecurity scholarships, UAV/CyberSecurity Conference, and County of Los Angeles job fair and recruitment strategy/website to fill 300+ IT positions for the County.

Served on the Planning Committee/Business Plan Reviewer for the 2014 Bronco Challenge along with the School of Business Administration and the student-lead PolyFounders.

Judge for the first annual student-led Cal Poly Pomona Hackathon, January 2014.

College of Science:

Invention Disclosure and Provisional Patent filing January 15, 2014 for Treatment of Huntington's Disease, Dr. Andrew Voss and Dr. Robert Talmadge. Converted provisional patent to a full patent application on January 15, 2015.

Invention Disclosure and patent search for Dr. Tim Cochran regarding three advanced microscope inventions.

Invention Disclosure and patent search for Dr. Olive Li for Method of Extruding and Treating Olive Pomace for Human and Animal Food Production.

Invention Disclosure and patent search for Dr. Shelton Murinda for Shiga Toxin-producing *E. coli* Detection Using Recombinase Polymerase Amplification.

Apparel Merchandising Program:

Assistance with formation of a regional apparel manufacturing partnership. 2014-2015 launched the new Apparel and Lifestyle Industry Council jointly with the Los Angeles Economic Development Council (LAEDC). As follow-up to the Industry Council, presently coordinating with the LAEDC and Mayor Garcetti's Office to coordinate the apparel merchandising programs from the LA-based CSU's and community colleges for application to the announced Obama Administration NMMI Center for Revolutionary Textiles.

College of ENV:

Coordinated and assisted legal counsel within the Chancellor's Office on the license agreement for the student design "Wedge" cabin project.

Educate faculty, staff and students as to the benefits of technology transfer.

The TTO from September-November, 2013 made presentations to the following: College of Engineering, College of Agriculture, College of Science, College of Business, and Apparel Merchandising. In addition, the TTO Director has made presentations to two College of Business classes on intellectual property to educate the students on this topic. Each Fall it makes presentations at New Faculty Orientation. The TTO also has developed materials for posting onto the TTO website that describe the discovery process in research, filing an invention

disclosure (along with a downloadable and electronic filing process from the website), and how to work with industry/industry how to work with us. New materials are posted periodically and updated.

Develop and manage an Industry Clinic for Cal Poly Pomona students.

The TTO developed an Industry Clinic form to have faculty, students, and companies complete a brief description of the types of technical assistance projects they would want to work on. This is posted on the TTO website. It has also been discussed in the newspaper articles, City of Industry newsletter, class presentations, and when meeting with faculty one-on-one. This is supported by the City of Industry's Manufacturing Council under the direction of Mr. Don Sachs. In 2014 the TTO worked with Mr. Sachs to create a marketing survey that went out to 60 companies in the Manufacturing Councils' database. This provided leads for Industry Clinic projects conducted during the Fall Quarter, 2014 and Winter Quarter, 2015. These projects included two market research projects, one with the Bolt Products Company, President James Stone, with 245 survey participants and the other for Battery Tech, President Nick Chu, with 180 survey participants. Student teams are enrolled into credit hour classes where they collect survey data and learn data analysis techniques. These projects have been under the direction of a professor of marketing within the College of Business Administration.

The TTO has also worked with the Director for the University's Co-op and Internship program. The TTO provided standard intellectual property language in the updated Co-op Agreement with industry. Besides the existing agreements with such partners as Northrop Grumman and NASA/JPL, the TTO and the Co-op program is working on new agreements with Metropolitan Water District and the County of Los Angeles.

The TTO began building an Advisory Board for the Office in 2013 and held its first Advisory Board meeting in December, 2013. It has held semi-annual meetings of the Board in May, 2014, January, 2015 and May, 2015. Currently, the TTO Advisory Board includes the following:

-University Provost, Associate VP of Research and Deans of the College of Engineering, College of Science and College of Business. Also from our campus, Executive Director of the Cal Poly Pomona Foundation.

-From the Non-Profit Sector: City of Industry Manufacturers Council, the Milken Institute, the Small Business Administration, the TTO at Caltech/JPL, Children's Hospital of LA, and others.

-From the Private Sector: Lubka and White LLC, SpaceX, and Irvine Sensors,

-From the Venture Capital and Entrepreneurial Support Sector: Maverick Angeles, Greycroft Venture Capital, Pasadena Angeles.

The Board is currently assisting the TTO with mentoring student entrepreneurs, support for the recent Advanced Manufacturing initiative, models for incubators and accelerators, economic development and technology transfer expertise.

Build technology transfer capabilities in protecting technologies, identifying licensing and industrial partnering opportunities, and effectively transferring technology.

The TTO website provides a listing of Available Technologies and there are six listed at present. The website provides a means for industry inquiry into our licensable technologies. However, website postings are passive forms of marketing University technologies. At present, the TTO is marketing University capabilities to industry while continuing to identify patentable research results from on-going faculty research. In this manner, industry is involved from the beginning of the research process and a license agreement is the result of a successful research program with industry. Also, attending conferences such as the IP100 held in February, 2014 and presentations through membership in the Licensing Executives Society (October, 2014) provides exclusive and relevant licensing leads.

Develop a national industry network supportive of our research efforts and capable of commercializing University technologies.

Currently, the TTO is working with the Bureau of Reclamation and Metropolitan Water District providing assistance with their needs for UAV's and trained operators of the craft. Both of these agencies have vast land and water assets that they must continuously monitor and secure. They also have an interest in our water research laboratory to address issues with water conservation, water quality, and sediment. This is an example of relationships with non-profit and federal agencies. An example of relationship building with small business is Irvine Sensors, a 30 year old company in Irvine, CA. that is very research oriented and has consistently won SBIR and STTR awards from DARPA, DoD, and NASA. They have been on-campus to meet with our faculty in both the College of Engineering and College of Science for collaborative research in optics, sensors, and materials research. They also are a vendor to the federal agencies that have provided research funding to develop specific products for the military and have a line of commercial products.

Create a "community outreach" program to promote the University's research capabilities and technology transfer activities.

In April of 2014 the five campuses of the CSU system located in LA County formed the CSU5 (C5 Guides) to collaborate on research opportunities, policy, articulation and economic development. Our first meeting was held in May, 2014 with monthly follow-on meetings since then. We are establishing a website and blog to communicate and post information as well as e-mail distribution list for correspondence: here is the link:
<http://list.csulb.edu/scripts/wa.exe?SUBED1=CSU5&A=1>

Other economic development and University research commercialization activities include the following:

-Represent California State Polytechnic University, Pomona in the Advanced Manufacturing Partnership Southern California, AMP SoCal, a regional aerospace and advanced manufacturing regional partnership. Member of the AMP SoCal Executive Committee and Chairman of the Infrastructure and Site Development Pillar Committee.

-Work with the Los Angeles Economic Development Council to promote the University's capabilities and interests in economic development. Serve on the LAEDC's Jobs Defense Council and Workforce Development Committee and newly formed Fashion and Lifestyle.

-Coordinated in October of 2014 a panel presentation on the AMP SoCal federal IMCP designation along with the CSU5 initiative before the University Economic Development Association. Followed-up by submitting a winning proposal to have the CSU5 host the 2017 national conference for the UEDA in Long Beach, CA.

-Develop the Cybersecurity and Unmanned Aerial Vehicles conference co-sponsored with the LAEDC. It was held December 12, 2014 at Kellogg West and is planned for October, 2015.

Regional Partnerships Points of Contact:

- 1.) For AMPSoCal regional aerospace and defense manufacturing partnership/IMCP:
Dion Jackson, MBA, MRED, MPI Associate
USC Center for Economic Development
Adjunct Associate Professor, Price School of Public Policy
(310) 704-3679
- 2.) JoAnne Golden-Stewart | Senior Director, Strategic Initiatives & Cluster Development
Los Angeles County Economic Development Corporation
444 S. Flower Street, 37th Floor, Los Angeles CA 90071
T: 213.236.4837 F: 213.622.7100 | www.laedc.org
- 3.) Glyn Milburn, Office of Economic Development
LA Mayor Eric Garcetti
200 N. Spring St., Suite 1300 (13th floor)
Los Angeles, CA 90012
glyn.milburn@lacity.org
(213) 978-0781
- 4.) Mr. Don Sachs,
City of Industry, Manufacturer's Council
dsachs@cityofindustry.org
- 5.) CSU5 Guides:

Marie Talnack

California State Polytechnic University, Pomona

J. Kim McNutt

California State University, Dominguez Hills

Ömer S. Benli

California State University, Long Beach

Ashish Vaidya

California State University, Los Angeles

Julia Potter

California State University, Northridge

NEXT STEPS AND NEW INITIATIVES:

City of Industry: The Industry Clinic mentioned above has completed two extensive marketing projects for companies located within the City of Industry. This was an objective of the donation to fund the Technology Transfer Office by the City of Industry. In addition, the TTO has participated in the regional IMCP partnership which is known as the AMP for SoCal. As part of the AMPSoCal regional partnership, the IMCP designation has contributed to the City of Industry's recent TIGER grant from the Dept. of Transportation to fund re-configuration of the congested interchange of the 57/60 freeways. The TTO has also contributed to the City of Industry by supporting the location of a light manufacturing and assembly plant for all-electric Proterra buses within the City of Industry. The University provided a letter of support to Proterra as part of their successful application to the California Energy Commission. Award of the grant from the CEC has helped the company with the establishment of the plant in the City of Industry.

AERO Institute/NASA Armstrong Flight Research Center: TTO has assisted the College of Engineering's UAV (Unmanned Aerial Vehicles) program in obtaining a Center of Excellence MOA agreement to use their test facility to fly University UAV's.

Metropolitan Water District: MWD has several areas of opportunity and collaboration with Cal Poly Pomona including the following: they were a co-sponsor for the December, 2014 UAV/CyberSecurity conference and as follow-up will be hosting a TechFest here on our campus inviting not only industry but our students and faculty. They have provided booths to CPP. In addition, they are renewing and expanding the Co-op Agreement with Cal Poly Pomona to include hiring up to 8 students to assist with the MWD's new UAV program. We are working on a joint agreement whereby MWD would provide access to their sites for our UAV flights in exchange for advisement on how to build a fleet of UAV's for their use.

Regional Partnerships

Apparel Merchandising: The Technology Transfer Office has supported and been active players in the formation of a new Apparel and Lifestyle Industry Council with the Los Angeles Economic Development Corporation. This newest of LAEDC's six industry councils was officially launched in January, 2015 and represents a regional collaboration to attract, retain and expand apparel manufacturing efforts locally. The council, with support by the City of Los Angeles Mayor's Office and the LAEDC is comprised of industry leaders and academic

institutions, which include the California Fashion Association, Fashion Business Inc., The Reef (formerly known as The LA Mart) and Cal Poly Pomona.

The main goals of the Apparel and Lifestyle Council are to strengthen and to maintain the growth of the fashion industry cluster. Cluster data reveals that the fashion cluster, ranks #2 in Los Angeles County in terms of regional concentration and employed 68,500 in 2010. See: www.laedc.org/industries/fashion.

There are two federal grant initiatives we here at Cal Poly Pomona are poised to lead and/or participate in, one with the EDA (Economic Development Agency) and the other through the Dept. of Defense:

EDA: Cluster Grant Funding opportunity due June, 2015: This will be a grant opportunity that requests federal funding from the EDA to provide technical assistance to the fashion industry including incubators, educational programs, and companies in the Los Angeles Promise Zone service region. This proposal will most likely be led by Cal Poly Pomona in conjunction with other partners including but not limited to the LAEDC and Mayor Garcetti's Office.

DOD: Recently, the Obama Administration announced competition for a New Textiles-Focused Manufacturing Innovation Institute in the amount of \$150 million. Through the Department of Defense the competition is open to leading manufacturers, universities, and non-profits to form new manufacturing hubs focused on "Revolutionary Fibers and textiles technologies". We are coordinating all of the apparel manufacturing programs in the CSU5 and regional community colleges to participate in this federal funding program along with Mayor Garcetti's office, LAEDC and others in the area.

Program Development and Certifications:

The TTO assists in programs development and certification programs as part of the Cal Poly Pomona commitment to the regional partnerships. This would include certifications in workforce development, training, apprenticeships, etc. For example, the Extended University is creating a certificate program in UAV (unmanned aerial vehicles) Pilot Training. This certification program was a direct result of the UAV/CyberSecurity conference held here on campus when participants listed this as one of the needs in their industry. Cal Poly Pomona is capable of teaching the required pilot training as an extension of our on-going UAV curriculum in the College of Engineering.

We are also assisting Extended University with developing an aerospace manufacturing inspection apprenticeship program with support from the Department of Labor, a private software company and a non-profit workforce training organization. This program will focus on mathematics, blueprint reading and digital metrology software training for Veterans.

Technology Transfer Office and Industry Clinic at Cal Poly Pomona

Dr. Marie Talnack,
Director, Technology Transfer Office and
Industry Clinic

Establishing the CPP TTO

- ▶ The role of the Technology Transfer Office is to support researcher's innovative works by identifying funding resources, managing the protection and commercialization of technological advances and intellectual property, and developing a network of industry partners to assist in collaborative commercialization of the research, creating regional economic impact.

TTO and the Industry Clinic

- ▶ The Tech Transfer and Industry Clinic Office at the University was established in June, 2013 through a donation by the City of Industry's Manufacturer's Council. The donation allowed the formation of the University's TTO as well as an Industry Clinic to assist local manufacturers to collaborate with the University to solve industry problems.

Update on the Industry Clinic

- ▶ To date the Industry Clinic has accomplished the following:
- ▶ Developed criteria and application process for identifying university–industry projects.
- ▶ Marketed the Industry Clinic to 60 companies within the City of Industry.
- ▶ Completed two market research projects for companies that surveyed 425 participants.
- ▶ Supported the location of Proterra Bus to the City of Industry creating 65 jobs in 2015.

Role of the TTO at the University

- ▶ Inform faculty and students as to the benefits and requirements of technology transfer.
- ▶ Build technology transfer capabilities in protecting technologies, identifying research, and industrial partnering opportunities.
- ▶ Create a “community outreach” program to inform local and national businesses and organizations of our research capabilities and technology transfer activities.

Accomplishments: 2013–2015

- ▶ No. of grant proposals reviewed: 120
- ▶ No. Invention Disclosures: 20
- ▶ No. provisional patent applications: 18
- ▶ No. full patents: 3
- ▶ No. of Collaborative Research Memos of Understanding with Industry: 7
- ▶ No. of Cooperative Research Agreements: 2

Support to University Colleges

- ▶ **College of Engineering:** Water Research Center and collaboration with Metropolitan Water District, Advanced Coatings Lab–filed 3 Invention Disclosures and 2 patents, UAV Lab application for a FAA COA designation and coordination with NASA Armstrong and MWD for additional test sites at their facilities.
- ▶ **College of ENV:** Coordinated and assisted on the license agreement for the student design “Wedge” cabin project.

Support to University Colleges:

- ▶ **College of Science:** Filing invention disclosures and patents for faculty.
- ▶ **College of Business:** Support of CyberSecurity program in their award of an NSF scholarship program, coordinated with the LAEDC to hold the first UAV/CyberSecurity conference.
- ▶ **College of Agriculture:** Filing patents as well as assisting with the formation of a regional apparel manufacturing partnership with the LAEDC and Mayor Garcetti's Office.

Regional Partnerships

- ▶ CPP partnership in the federally–designated AMPSoCal, a four county aerospace and defense partnership with 88 partners.
- ▶ CPP participation in the CSU5 collaboration among five LA–based CSU campuses.
- ▶ Los Angeles Economic Development Council partnership on the Jobs Defense Council and the new Fashion and Lifestyle council.
- ▶ University Industry Economic Development Assn.–national summit in S. California 2017.

TTO's Commercialization Partners

- ▶ TTO Advisory Board formed in 2013–16 members including JPL, SBA, CMTC, etc.
- ▶ CSU5 Guides for collaborative research such as Advanced Materials, Revolutionary Textiles, Clean Energy NMMI grants.
- ▶ AMPSoCal in Aerospace and Defense initiatives–Executive Council, Infrastructure and Site Development Pillar Committee, etc.
- ▶ LAEDC–A/D conferences, Red Carpet Service, UAV/CyberSecurity Conference, Eddy Awards.

Next Steps:

- ▶ Research collaborations in the region: Proterra, Irvine Sensors, MWD, NASA, etc.
- ▶ San Gabriel Valley Economic Development Partnership collaborations for the area.
- ▶ Public–Private partnerships to expand research facilities: Lanterman, prototyping labs and incubator/makerspaces.
- ▶ Follow–on and new research conferences, seminars, and webcasts to inform and collaborate in building core capabilities.

Contact Information

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Technology Transfer Office/Industry Clinic
Research Building 1, Room 222
(909) 869-3771 / ext. #3771

gmtalnack@cpp.edu

- ▶ *TTO Twitter: CPP_TTIC*
- ▶ *TTO website: www.cpp.edu/~research/tto*

Memorandum



Date: January 25, 2016

To: Finance Committee
Cal Poly Pomona Foundation, Inc.

From: *David F. Prenovost*
David F. Prenovost,
Senior Managing Director/CFO

Subject: FINANCIAL HIGHLIGHTS – DECEMBER 2015

Following are the year-to-date financial statement Surplus/(Deficit) amounts that have been reviewed in detail by the Finance Committee:

	Budget	Actual	Variance
General Activities	\$ 268,205	\$ (920,149)	\$ (1,188,354)
Enterprise Activities	(161,611)	(232,501)	(70,890)
Use of Designated Funds	(595,573)	(337,982)	257,591
Other Activities	422,390	1,268,575	846,185
Restricted Activities & Trnsfr Assets	2,820,130	(7,285,079)	(10,105,209)
Total Surplus (Deficit)	\$ 2,753,541	\$ (7,507,136)	\$ (10,260,677)

For the fiscal quarter ended December 2015 revenues of \$30.8 million are 76% or \$10.0 million short of budget mainly due to Investment losses. If we ignore investment losses and budgeted investment gains, revenues of \$37.6 million exceed budget by 2.4% or \$869,300. Expenditures of \$38.3 million exceed budget by \$333,000 or 0.88% (88 basis points). The variances are explained in the following analysis of each activity.

GENERAL ACTIVITIES

	Budget	Actual	Variance
Administration	\$ (559,993)	\$ (52,843)	\$ 507,150
Real Estate Development	117,878	232,521	114,643
Investments	673,200	(1,151,778)	(1,824,978)
Building Rental	37,120	51,951	14,831
Total General Fund	\$ 268,205	\$ (920,149)	\$ (1,188,354)

General activities generated a deficit versus a budgeted surplus mainly due to the unrealized losses in equities of the general investment portfolio. Administration generated less of a deficit due to deferred inflows of resources mainly comprised of actual earnings greater than projected earnings on pension plan investments that is amortized over several years.

ENTERPRISES ACTIVITIES

	Budget	Actual	Variance
Surplus/(Deficit)	\$ (161,611)	\$ (232,501)	\$ (70,890)

Enterprise revenues of \$15.9 million are 96% or \$694,155 short of budget mainly due to Dining Services, specifically board activities; expenditures of \$16.1 million are 96% or \$623,265 short of budget resulting in a deficit slightly greater than budget. Following is the summary of each Enterprise Activities:

BOOKSTORES

	Budget	Actual	Variance
Surplus/(Deficit)	\$ (79,033)	\$ 70,549	\$ 149,582

Bookstore revenues are 25% of Enterprise Activities and are 95% or \$222,583 short of budget mainly due to new and used textbook sales and hardware and software sales. Cost of goods is 70% versus 71%; expenditures are 28% versus 30% of budget generating a surplus of 2% versus a deficit of 2% budgeted. We continue to focus on used and rental books as well as digital textbook options to reduce the increasing costs for textbooks. The Presidential Order also continues to support the sales in the bookstore.

DINING SERVICES

	Budget	Actual	Variance
Surplus/(Deficit)	\$ 123,373	\$ (474,919)	\$ (598,292)

Dining Service revenues are 47% of Enterprise Activities and are 95% or \$388,842 short of budget, cost of goods is 34% versus 33% of budget and payroll and expenditures are 72% versus 65% of budget.

Retail Operations - This reporting unit includes the retail units at Campus Center Marketplace and Bronco Student Center, convenient stores, vending, Kellogg West Catering/Conference Foods and commission vending. Revenues are 98% or \$116,037 short of budget and are 99% or \$57,480 short of prior year; cost of goods is 33% versus 34% of budget, expenditures are 31% versus 28% of budget and payroll benefits are 42% versus 38% of budget generating a deficit of \$312,157 versus a budgeted deficit of \$16,688 and prior year deficit of \$35,923.

Board Operations - This reporting unit includes the Board Operations at Los Olivos, Denny's Diner and Vista Cafe. Revenues are 91% or \$272,806 short of budget and 86% or \$439,254 short of prior year as board revenues are 93% or \$134,082 short of budget and 85% or \$322,951 short of prior year due to the decrease in freshman and increase in transfer students this year; costs goods are 34% versus 31% of budget, payroll and benefits are 33% versus 30% and expenditures are

39% versus 33% of budget generating a deficit of \$155,264 versus a budgeted surplus of \$145,705 and prior year surplus of \$156,938.

KELLOGG WEST

	Budget	Actual	Variance
Surplus/(Deficit)	\$ (21,797)	\$ 12,949	\$ 34,746

Kellogg West Conference Center & Hotel This unit includes room and conference center activities. Kellogg West revenues are 5% of Enterprise Activities and exceed budget by 6% or \$45,318 and are 89% or \$86,282 short of prior year; payroll and expenditures are 98% versus 103% of budget generating a surplus versus a budgeted deficit.

UNIVERSITY VILLAGE

	Budget	Actual	Variance
Surplus/(Deficit)	\$ (184,154)	\$ 158,920	\$ 343,074

University Village - Revenues are 23% of Enterprise Activities and are 97% or \$128,047 short of budget. As we begin the winter quarter occupancy is at 98% versus 98% budgeted. We continue to increase our outreach to area colleges and universities as well. Payroll and expenditures are 75% versus 105% budgeted resulting in a surplus versus a budgeted deficit.

DESIGNATED FUND

	Budget	Actual	Variance
Surplus/(Deficit)	\$ (595,573)	\$ (337,982)	\$ 257,591

Designated fund expenditures include development, alumni affairs, public relations, publications, athletics and other and generated a deficit less with budgeted.

OTHER ACTIVITIES

	Budget	Actual	Variance
Sponsored Research	22,700	32,576	9,876
Agriculture-Aid-to-Instruction	219,407	210,982	(8,425)
Continuing Education	180,277	957,172	776,895
Campus Programs-Unrestricted	6	67,845	67,839
Total Other Activities	\$ 422,390	\$ 1,268,575	\$ 846,185

Sponsored Research has generated a year to date surplus greater than budget due to year to date indirect revenues exceeding budget by 20.8% or \$109,472 and direct grant expenditures exceed budget by 11.28% or \$599,396 generating an effective rate of 10.75% versus the budgeted rate of 11.5%.

Agriculture-Aid-to-Instruction year to date revenues exceed budget by 1.9% or \$39,712 and exceed prior year revenues by 43% or \$638,947, costs of goods are 21.6% versus 15.7% of budget and payroll and expenditures are 70% versus 74% of budget generating a year to date surplus less than budgeted surplus due to Beef Program, Arabian Horse Center, Ornamental Horticulture, Fruit Industries, Vet Clinic, offset by Pine Tree Ranch, Agronomy Farm, Farm Store, Sheep Program and Pumpkin Festival.

Continuing Education year to date revenues exceed budget by 9% or \$274,870; payroll and expenditures are 72% versus 94% of budget mainly due to additional revenues and savings in advertising, rent/commissions, services, supplies, travel, bank fees, salaries and benefits generating a year to date surplus greater than budgeted.

Foundation Programs-Unrestricted includes the activities that are not third party donor imposed stipulations. Year to date revenues exceed budget by 4% or \$11,498 in spite of prior fiscal year indirect cost recoveries allocation between unrestricted and restricted programs; expenditures (excluding Transfers to the University # 7344) are 80% or \$56,378 short of budget generating a year to date surplus versus a zero budget.

Endowment/Investment - unrealized investment losses are \$8.7 million; donations are 37% or \$318,400 short of budget, expenditures are 91% or \$153,649 short of budget.

Foundation Programs-Restricted - revenues exceed budget by 6% or \$313,282, expenditures exceed budget by 39% or \$1.4 million.



CAL POLY POMONA FOUNDATION, INC.
Statement of Activities
 For period ending December 31,2015 and 2014

Description	REVENUES			EXPENSES			SURPLUS/(DEFICIT)			FY 14-15 Actual	FY 15-16 Budget	YTD Budget (Not) Realized
	FY 14-15 YTD Actual	FY 15-16 YTD		FY 14-15 YTD Actual	FY 15-16 YTD		FY 14-15 YTD Actual	FY 15-16 YTD				
		Budget	Actual		Budget	Actual		Budget	Actual			
General Activities:												
Administration	2,108,246	2,115,593	2,066,553	2,582,370	2,675,586	2,119,396	(474,124)	(559,993)	(52,843)	(902,074)	(1,012,316)	959,473
Real Estate	1,427,117	1,327,507	1,621,412	979,869	1,209,629	1,388,891	447,248	117,878	232,521	518,937	(57,314)	289,835
Investments	(421,772)	719,869	(1,101,447)	43,833	46,669	50,331	(465,605)	673,200	(1,151,778)	(490,997)	1,084,583	(2,236,361)
Building Rentals	393,533	399,048	399,052	352,943	361,928	347,101	40,590	37,120	51,951	73,667	78,033	(26,082)
TOTAL GENERAL	3,507,124	4,562,017	2,985,570	3,959,015	4,293,812	3,905,719	(451,891)	268,205	(920,149)	(800,467)	92,986	(1,013,135)
Enterprise Activities:												
Bookstores	4,079,515	4,139,450	3,916,867	4,135,603	4,218,483	3,846,318	(56,088)	(79,033)	70,549	583,469	317,399	(246,850)
Campus Center (Carl's/ Salad Bar/Taco)	349,636	383,476	363,650	310,807	340,001	336,944	38,829	43,475	26,706	166,821	142,735	(116,029)
Panda Express	68,827	41,262	46,035	5,222	2,868	4,675	63,605	38,394	41,360	124,416	110,367	(69,007)
Cstore (Starbucks,SCE,Einstein,cba,Pol)	1,852,891	1,982,629	1,964,270	1,819,927	1,872,260	2,028,355	32,964	110,369	(64,085)	457,490	580,568	(644,653)
Vending & Carts	48,675	57,056	52,562	44,725	50,637	41,359	3,950	6,419	11,203	20,536	21,149	(9,946)
Los Olivos	2,472,295	2,322,009	2,096,359	2,205,261	2,096,449	2,161,981	267,034	225,560	(65,622)	981,852	698,760	(764,382)
Vista Café	451,035	455,425	458,829	490,236	465,693	497,967	(39,201)	(10,268)	(39,138)	41,998	52,878	(92,016)
Denny's	301,462	280,909	230,349	372,357	350,496	280,852	(70,895)	(69,587)	(50,503)	(52,032)	(66,953)	16,450
Bronco Student Center	1,111,231	1,105,229	1,107,771	986,090	936,634	943,484	125,141	168,595	164,287	327,445	377,058	(212,771)
FS Mgt/Overhead				501,961	543,577	600,204	(501,961)	(543,577)	(600,204)	(1,034,073)	(1,051,993)	451,789
<i>Total Dining Services</i>	<i>6,656,052</i>	<i>6,627,995</i>	<i>6,319,825</i>	<i>6,736,586</i>	<i>6,658,615</i>	<i>6,895,821</i>	<i>(80,534)</i>	<i>(30,620)</i>	<i>(575,996)</i>	<i>1,034,453</i>	<i>864,569</i>	<i>(1,440,565)</i>
Catering/Conference Foods	1,368,609	1,288,414	1,207,742	1,169,720	1,134,421	1,106,665	198,889	153,993	101,077	386,276	147,332	(46,255)
KW Conference Center	816,186	684,586	729,904	768,916	706,383	716,955	47,270	(21,797)	12,949	113,589	12,349	600
University Village	3,550,782	3,862,484	3,734,436	3,660,417	4,046,638	3,575,516	(109,635)	(184,154)	158,920	1,482,737	1,331,210	(1,172,290)
TOTAL ENTERPRISE	16,471,144	16,602,929	15,908,774	16,471,242	16,764,540	16,141,275	(98)	(161,611)	(232,501)	3,600,524	2,672,859	(2,905,360)
TOTAL GEN & ENTERPRISE	19,978,268	21,164,946	18,894,344	20,430,257	21,058,352	20,046,994	(451,989)	106,594	(1,152,650)	2,800,057	2,765,845	(3,918,495)
Uses of Designated Funds:												
Development				33,497	46,746	29,282	(33,497)	(46,746)	(29,282)	(81,343)		
Alumni Affairs				25,267	24,996	15,170	(25,267)	(24,996)	(15,170)	(45,791)		
Public Relations	8,186		470	553,385	370,890	223,797	(545,199)	(370,890)	(223,327)	(916,154)		
Publications			110	56,248	94,896	71,841	(56,248)	(94,896)	(71,731)	(130,393)		
Athletics				3,577	37,500	3,891	(3,577)	(37,500)	(3,891)	(75,336)		
Other	3,672		800	103,309	20,545	(4,619)	(99,637)	(20,545)	5,419	(263,002)		
TOTAL DESIGNATED USES	11,858	-	1,380	775,283	595,573	339,362	(763,425)	(595,573)	(337,982)	(1,512,019)	(1,339,650)	1,001,668
Other Activities:												
Research Office	525,941	525,941	635,413	501,862	503,241	602,837	24,079	22,700	32,576	36,656	45,454	(12,878)
Agriculture	1,491,220	2,090,455	2,130,167	1,803,234	1,871,048	1,919,185	(312,014)	219,407	210,982	(117,217)	42,676	168,306
Continuing Education	2,435,513	3,122,324	3,397,194	1,917,199	2,942,047	2,440,022	518,314	180,277	957,172	296,551	245,943	711,229
FDN Program-Unrestricted	254,500	287,502	299,000	322,769	287,496	231,155	(68,269)	6	67,845	(191,702)	12	67,833
TOTAL OTHER	4,707,174	6,026,222	6,461,774	4,545,064	5,603,832	5,193,199	162,110	422,390	1,268,575	24,288	334,085	934,490
TOTAL SURPLUS (DEFICIT)	24,697,300	27,191,168	25,357,498	25,750,604	27,257,757	25,579,555	(1,053,304)	(66,589)	(222,057)	1,312,326	1,760,280	(1,982,337)
LO-Housing Distribution										(58,679)		0
TOTAL FOUNDATION Net	24,697,300	27,191,168	25,357,498	25,750,604	27,257,757	25,579,555	(1,053,304)	(66,589)	(222,057)	1,253,647	1,760,280	(1,982,337)



CAL POLY POMONA FOUNDATION, INC.
Statement of Activities
 For period ending December 31,2015 and 2014

Description	REVENUES			EXPENSES			SURPLUS/(DEFICIT)			FY 14-15 Actual	FY 15-16 Budget	YTD Budget (Not) Realized
	FY 14-15	FY 15-16 YTD		FY 14-15	FY 15-16 YTD		FY 14-15	FY 15-16 YTD				
	YTD Actual	Budget	Actual	YTD Actual	Budget	Actual	YTD Actual	Budget	Actual			
Restricted:												
Endowments/Investments	5,618,592	3,243,815	(5,731,827)	4,668,672	1,829,345	1,675,695	949,920	1,414,470	(7,407,522)	3,022,558	4,046,154	(11,453,676)
Foundation Programs	7,698,287	4,981,957	5,264,209	5,335,748	3,576,297	4,953,961	2,362,539	1,405,660	310,248	6,927,046	2,417,452	(2,107,204)
TOTAL RESTRICTED	13,316,879	8,225,772	(467,618)	10,004,420	5,405,642	6,629,656	3,312,459	2,820,130	(7,097,274)	9,949,604	6,463,606	(13,560,880)
Grants and Contracts	5,312,034	5,312,044	5,911,441	5,312,034	5,312,044	5,911,441	0	0	0	110,507	0	0
Transfers to the University	-	-	-	423,460	0	187,805	(423,460)	0	(187,805)	(2,314,625)	0	0
TOTAL FOUNDATION NET	43,326,213	40,728,984	30,801,321	41,490,518	37,975,443	38,308,457	1,835,695	2,753,541	(7,507,136)	8,999,133	8,223,886	(15,543,217)



CAL POLY POMONA FOUNDATION, INC.

STATEMENTS OF FINANCIAL POSITION

for period ended December 31, 2015

	Unrestricted					Restricted				Current Year Total	June 30, 2015 Total
	General Fund	Designated Fund	Foundation Programs Fund	Auxiliary Activities Fund	Total Unrestricted	Sponsored Programs Fund	Foundation Programs Fund	Endowment Fund	Total Restricted		
CURRENT ASSETS:											
Cash:											
On hand and in commercial accounts	(428,705)	1,400	1,300	54,954	(371,051)	0	9,400	0	9,400	(361,651)	(1,337,102)
Due to/(from)	(86,847,806)	20,603,614	2,807,404	28,872,331	(34,564,457)	3,198,174	31,302,578	63,705	34,564,457	0	0
Investments	37,178,251	182,062	0	0	37,360,313	0	354,035	652,650	1,006,685	38,366,998	45,381,198
Marketable securities	11,566,639	0	0	0	11,566,639	0	1,239,307	83,155,939	84,395,246	95,961,885	102,497,628
Total cash and cash equivalent	(38,531,621)	20,787,076	2,808,704	28,927,285	13,991,444	3,198,174	32,905,320	83,872,294	119,975,788	133,967,232	146,541,724
Receivables:											
Accounts and notes receivable	2,438,412	1,683	(101,338)	1,901,380	4,240,137	805,645	4,500,648	0	5,306,293	9,546,430	11,322,054
Interfund loans (net)	1,701,664	0	0	0	1,701,664	0	50,000	0	50,000	1,751,664	2,064,240
	4,140,076	1,683	(101,338)	1,901,380	5,941,801	805,645	4,550,648	0	5,356,293	11,298,094	13,386,294
Less-Allowance for doubtful accounts	0	0	0	(100,043)	(100,043)	0	(52,894)	0	(52,894)	(152,937)	(139,513)
Total receivables	4,140,076	1,683	(101,338)	1,801,337	5,841,758	805,645	4,497,754	0	5,303,399	11,145,157	13,246,781
Inventories	563,684	0	0	3,240,388	3,804,072	0	85,844	0	85,844	3,889,916	2,211,684
Prepaid expenses and deferred charges	192,851	34,198	0	70,589	297,638	500	0	0	500	298,138	172,566
Total current assets	(33,635,010)	20,822,957	2,707,366	34,039,599	23,934,912	4,004,319	37,488,918	83,872,294	125,365,531	149,300,443	162,172,755
FIXED ASSETS											
Land	14,530,168	1,700	0	212,000	14,743,868	0	1,642,219	0	1,642,219	16,386,087	16,386,087
Buildings and improvements	15,346,059	0	532,412	52,310,177	68,188,648	0	1,613,426	0	1,613,426	69,802,074	70,004,818
Equipment, furniture and fixtures	2,389,710	0	27,408	12,462,469	14,879,587	0	606,234	0	606,234	15,485,821	15,346,167
Orchards	0	0	0	131,863	131,863	0	0	0	0	131,863	131,863
Construction in progress	488,556	0	0	1,756,852	2,245,408	110,507	5,605,649	0	5,716,156	7,961,564	2,409,017
	32,754,493	1,700	559,820	66,873,361	100,189,374	110,507	9,467,528	0	9,578,035	109,767,409	104,277,952
Less-Accumulated depreciation	(11,865,054)	0	(424,499)	(39,102,852)	(51,392,405)	0	(668,619)	0	(668,619)	(52,061,024)	(50,078,250)
Total fixed assets	20,889,439	1,700	135,321	27,770,509	48,796,969	110,507	8,798,909	0	8,909,416	57,706,385	54,199,702
Restricted Funds	0	0	0	0	0	138,564	303,061	0	441,625	441,625	640,504
Total assets	(12,745,571)	20,824,657	2,842,687	61,810,108	72,731,881	4,253,390	46,590,888	83,872,294	134,716,572	207,448,453	217,012,961
DEFERRED OUTFLOWS OF RESOURCES:											
Unamortized loss on debt refunding				447,372	447,372					447,372	466,759
Net pension obligations - contributions	886,069				886,069					886,069	886,069



CAL POLY POMONA FOUNDATION, INC.

STATEMENTS OF FINANCIAL POSITION

for period ended December 31, 2015

	Unrestricted					Restricted				Current Year Total	June 30, 2015 Total
	General Fund	Designated Fund	Foundation Programs Fund	Auxiliary Activities Fund	Total Unrestricted	Sponsored Programs Fund	Foundation Programs Fund	Endowment Fund	Total Restricted		
LIABILITIES:											
Accounts payable	314,888	16,122	12,125	816,655	1,159,790	68,449	65,606	0	134,055	1,293,845	2,406,168
Accrued liabilities	352,267	(1,581,024)	2,449	738,389	(487,919)	118,049	20,628	70,114	208,791	(279,128)	1,148,128
Receipts in excess of expenditures on specific sponsored programs	0	0	0	0	0	3,956,385	0	0	3,956,385	3,956,385	2,568,121
Deferred income	1,165,560	0	5,000	1,115,458	2,286,018	0	8,206	0	8,206	2,294,224	1,474,493
Deposits held in custody for others	0	0	0	0	0	0	690,579	0	690,579	690,579	697,895
Inter-fund loans	1,701,664	0	0	0	1,701,664	0	50,000	0	50,000	1,751,664	2,064,240
Total current liabilities	3,534,379	(1,564,902)	19,574	2,670,502	4,659,553	4,142,883	835,019	70,114	5,048,016	9,707,569	10,359,045
Long-term liabilities:											
Notes and contracts payable	0	0	0	0	0	0	300,902	0	300,902	300,902	397,466
Unitrust liability	0	0	0	0	0	0	786,210	0	786,210	786,210	790,944
Lease obligations	2,507,928	0	0	24,524,205	27,032,133	0	0	0	0	27,032,133	27,970,614
Pension liability	4,998,351	0	0	0	4,998,351	0	0	0	0	4,998,351	4,998,351
Total long-term liabilities	7,506,279	0	0	24,524,205	32,030,484	0	1,087,112	0	1,087,112	33,117,596	34,157,375
Total liabilities	11,040,658	(1,564,902)	19,574	27,194,707	36,690,037	4,142,883	1,922,131	70,114	6,135,128	42,825,165	44,516,420
DEFERRED INFLOWS OF RESOURCES:											
Net pension obligation	2,825,289				2,825,289				0	2,825,289	3,210,794
Net Assets Beginning	(23,446,813)	21,368,457	2,755,269	34,190,515	34,867,428	110,507	45,444,855	90,215,784	135,771,146	170,638,574	162,261,501
<i>change in net Assets</i>	(2,278,638)	1,021,102	67,845	872,258	(317,433)	0	(776,101)	(6,413,604)	(7,189,705)	(7,507,138)	8,377,074
Total liabilities and Net Assets	(11,859,504)	20,824,657	2,842,688	62,257,480	74,065,321	4,253,390	46,590,885	83,872,294	134,716,569	208,781,890	218,365,789

**REAL ESTATE
SURPLUS/(DEFICIT) BUDGET COMPARISON SUMMARY
FOR THE FISCAL YEAR**

DESCRIPTION	2013-14 Actual	2013-14 Forecast	2013-14 Approved Budget	2014-15 Actual	2014-15 Forecast	2014-15 Approved Budget	2015-16 YTD Actual 12/31/15	2015-16 YTD Approved Budget
REAL ESTATE DEVELOPMENT								
220080 Center for Training Technology & Incubation	(117,114)	(188,284)	(112,799)	(110,213)	(121,425)	(121,170)	91,669	82,234
220010 Innovation Village	378,650	388,246	454,211	531,785	257,262	442,702	275,291	220,260
220050 Innovation Village/American Red Cross	(3,926)	-	-	(3,132)	-	-	12,253	-
220052 Innovation Village/Tramel Crow	(769)	-	-	(604)	-	-	2,221	-
220070 Innovation Village Common Areas	-	-	4	-	-	4	(50,958)	(75,467)
220250 Trammel Crow/I.V. Phase IV	9,723	-	-	(490)	-	-	1,462	-
459540 Spadra Solar Farm	(65,291)	-	-	65,291	-	15,300	(350)	-
460760 Real Estate Campus Improvement	-	-	-	-	-	-	-	-
461890 Innovation Village Phase V	-	-	-	(101,245)	-	-	74,094	-
461900 Innovation Village Phase VI	-	-	-	-	-	-	-	-
462140 Support for Lanterman Operations	-	-	-	(30,022)	-	-	(362,717)	(250,000)
Total Real Estate Development	201,273	199,962	341,416	351,370	135,837	336,836	42,965	(22,973)
RENTAL Buildings								
200660 Building # 66 - Classrooms & Offices	121,124	107,804	108,356	98,689	102,904	97,368	58,680	46,384
190970 Building # 97 - Offices	128,034	127,718	121,002	121,792	116,623	127,986	60,499	59,736
200220 CTTi Building # 220A - College of ENV Studio	(112,592)	(109,510)	(102,476)	(146,815)	(146,376)	(117,676)	(67,228)	(69,000)
190330 Downtown Pomona Building	-	-	-	-	-	-	-	-
Total Rental Buildings	136,566	126,012	126,882	73,666	73,151	107,678	51,951	37,120
FACULTY/STAFF HOUSING								
Fund 11 Faculty/Staff Housing	63,351	(8,030)	(77,085)	167,569	179,934	(10,523)	189,555	140,851
Total Faculty/Staff Housing	63,351	(8,030)	(77,085)	167,569	179,934	(10,523)	189,555	140,851
GRAND TOTAL REAL ESTATE	401,190	317,944	391,213	592,605	388,922	433,991	284,471	154,998

**AGRICULTURE FUNDS
SURPLUS/(DEFICIT) BUDGET COMPARISON SUMMARY
FOR THE FISCAL YEAR**

DESCRIPTION	2013-14			2014-15			2015-16	2015-16
	Actual	Forecast	Approved Budget	Actual	Forecast	Approved Budget	YTD Actual 12/31/15	YTD Approved Budget
016200 Agronomy Farms	2,230	70,148	27,706	(93,798)	149,919	16,038	72,799	59,476
260200 Arabian Horse Show	(125,415)	(2,930)	7,742	(48,409)	(5,930)	(3,538)	(64,758)	149,172
020010 Beef Unit	16,007	13,155	6,692	(41,031)	18	10,095	(8,442)	144
022500 Beef Show Sale Project	-	-	-	-	-	-	-	-
027190 Consignment Sales	-	-	-	-	-	-	-	-
340010 Fruit Industry	18,563	1,244	1,800	1,353	1,244	3,284	4,566	13,926
300010 Meat Lab	(1,027)	(500)	2,722	(804)	(500)	9,305	(537)	(11)
320300 Ornamental Horticulture	15,770	3,406	2,212	3,467	3,406	2,274	(28,475)	(8,446)
193040 Pine Tree Ranch	85,138	33,504	19,214	101,676	33,504	1,996	182,510	(418)
420010 Sheep Unit	(4,631)	8,598	(3,024)	(56,356)	542	8,005	5,374	2,048
430010 Swine Unit	(6,147)	(4,185)	(5,324)	(15,421)	2,334	5,089	2,002	4,872
260220 Farm Store at Kellogg Ranch	27,669	11,426	15,081	1,234	59,301	5,195	17,790	(11,706)
460360 Danny's Farm	(2,825)	-	-	(6,819)	-	-	4,375	-
350810 Truck and Trailer	(3,000)	-	-	-	-	-	-	-
428460 Vet Clinic	2,218	7,068	727	(3,061)	1,088	4,249	5,861	13,867
350820 Pomona Organics St Project	-	-	-	-	-	-	-	-
462300 Pumpkin Festival	-	-	-	-	-	-	17,917	(3,516)
Total	24,550	140,934	75,548	(157,969)	244,926	61,992	210,982	219,408

**CONTINUING EDUCATION PROGRAMS
SURPLUS/(DEFICIT) BUDGET COMPARISON SUMMARY
FOR THE FISCAL YEAR**

DESCRIPTION	2013-14	2013-14	2013-14	2014-15	2014-15	2014-15	2015-16	2015-16
	Actual	Forecast	Approved Budget	Actual	Forecast	Approved Budget	YTD Actual 12/31/15	YTD Approved Budget
COLLEGE OF EXTENDED UNIVERSITY - Programs								
283500 Administration	582,097	120,093	327,553	399,877	259,045	225,790	145,381	71,890
283071 Computer Programs	-	-	-	-	-	-	-	-
283072 Certificate Programs	(3,801)	-	-	-	-	-	-	-
283080 English Language Inst.	48	-	-	-	-	-	-	-
283600 CEU International Training	-	-	-	-	-	-	-	-
283610 Int'l Workshop and Training	-	-	-	-	-	-	-	-
283620 Six Sigma Program	3,616	(179)	35,886	10,600	5,435	5,161	21,715	(1,815)
283630 Professional Project Management Program	5,318	10,776	10,836	4,726	8,515	9,916	6,220	9,565
283790 On Site Training Programs	12,607	5,331	8,480	3,808	10,055	2,016	6,379	(5)
283060 Start-Up Programs	-	-	-	-	-	-	-	-
283076 Technical Programs	9,991	23,971	9,228	9,173	20,800	22,760	(5,440)	15,565
283073 Test Prep Programs	18,012	21,572	3,646	8,032	21,888	13,680	15,485	6,369
460280 SUMMER SUPPORT @ CEU	(1,604)	(2,514)	-	(243)	(602)	(525.00)	-	(7,696)
460920 Business Comm & Grant Writing	(278)	-	286	-	-	-	-	-
460930 Accounting & Finance	-	-	223	(612)	5,036.00	555	(1,234)	7,681
460940 Math & Science	3,536	(2,976)	1,685	155	(6,269)	2,444	(1,702)	(3,536)
460950 Hospitality & Service Industry	5,904	9,513	2,480	5,431	4,257	6,211	27,269	310
460960 Supply Chain Management	157	1,197	612	(1,350)	(4,475)	10,900	(110)	(2,693)
460970 Human Resources Management	8,760	(4,834)	3,540	6,642	4,589	1,800	6,176	2,217
460980 Building & Construction Management	14,667	(1,522)	9,216	13,857	10,446	17,152	13,127	14,074
460990 Ed2Go	(26,691)	(244,108)	(90,440)	(12,396)	(10,770)	(245,808)	7,144	(6,065)
461000 Art, Media, & Design	-	-	2,236	(1,003)	1,642	-	(1,110)	-
461010 Global Ed Programs Standard	(122,777)	(54,460)	11,783	7,257	(35,437)	13,898	292,832	226,020
461020 Global Ed Programs Camps	14,791	-	-	-	-	-	58,076	-
461030 CPELI Camps	98,815	84,798	119,503	28,471	1	81,931	22,547	82,691
461040 CPELI Standard	905,194	487,834	436,292	47,151	131,082	303,815	215,055	(54,023)
461820 Program Development	(212,112)	-	-	(201,843)	(281,455)	-	(106,110)	(190,335)
461840 Summer Camps	-	-	-	(3,666)	-	-	(2,396)	-
461950 IT, Web & Social Media	-	-	-	-	-	-	1,498	-
462120 CEU CPP Aviation Hospitality	-	-	-	-	-	-	228,252	12,810
Total College of Extended Univ Programs	1,316,250	454,492	893,045	324,067	143,783	471,696	949,054	183,024

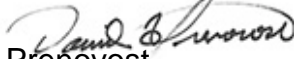
**CONTINUING EDUCATION PROGRAMS
SURPLUS/(DEFICIT) BUDGET COMPARISON SUMMARY
FOR THE FISCAL YEAR**

DESCRIPTION	2013-14 Actual	2013-14 Forecast	2013-14 Approved Budget	2014-15 Actual	2014-15 Forecast	2014-15 Approved Budget	2015-16 YTD Actual 12/31/15	2015-16 YTD Approved Budget
COLLEGE OF ENGINEERING								
381500 Non-Credit Learning Admin	1,182	30	48	(8,927)	49	30	892	-
381675 Civil Engineering Review	5,088	4,446	4,333	(10,156)	5,632	4,446	1,436	3,032
Total College of Engineering	6,270	4,476	4,381	(19,083)	5,681	4,476	2,328	3,032
COLLEGE OF SCIENCE								
406440 Chemistry Agilent Project	(2,032)	4,624	16,333	(1,807)	4,623	2,383	-	(5,778)
Total College of Science	(2,032)	4,624	16,333	(1,807)	4,623	2,383	-	(5,778)
COLLEGE OF LETTERS, ARTS, AND SOCIAL SCIENCES								
362030 GIS Certificate Program	10,841	-	-	(9,728)	-	-	5,785	-
Total College of Letters, Arts, and Social Sciences	10,841	-	-	(9,728)	-	-	5,785	-
COLLEGE OF ENVIRONMENTAL DESIGN								
460200 CCLAWS CERTIFICATE L+RS	(4,077)	-	-	(3,472)	-	-	-	-
Total College of Environmental Design	(4,077)	-	-	(3,472)	-	-	-	-
GRAND TOTAL CONTINUING EDUCATION	1,327,252	463,592	913,759	289,977	154,087	478,555	957,167	180,278

Memorandum

Date: January 25, 2016

To: Finance Committee
Cal Poly Pomona Foundation, Inc.

From: 
David F. Prenovost
Senior Managing Director/CFO



Subject: WITHDRAW VEBA FUNDS FOR MEDICARE ELIGIBLE RETIREE PREMIUMS

As we did in prior year, the Foundation plans on withdrawing \$392,879 in February from the Auxiliaries Multiple Employer VEBA (Voluntary Employees' Beneficiary Association) to reimburse the Foundation for insurance premiums paid for Medicare eligible retirees and their dependents for health and welfare benefits paid in the calendar year 2015.

The balance of the Foundation's sub-account in the VEBA at December 31, 2015 was \$6,325,705.

Months	Kaiser SA	UHC MAPD	UHC SUPPLEMENTAL +PDP	2015 Medicare Total
January	\$11,985.00	\$8,329.00	\$12,637.00	\$32,951.00
February	\$11,985.00	\$8,329.00	\$12,637.00	\$32,951.00
March	\$11,985.00	\$8,329.00	\$12,637.00	\$32,951.00
April	\$11,985.00	\$8,329.00	\$12,245.00	\$32,559.00
May	\$11,985.00	\$8,329.00	\$12,245.00	\$32,559.00
June	\$11,985.00	\$8,329.00	\$12,245.00	\$32,559.00
July	\$11,985.00	\$8,329.00	\$12,245.00	\$32,559.00
August	\$12,505.00	\$8,329.00	\$12,273.00	\$33,107.00
September	\$12,505.00	\$8,948.00	\$12,245.00	\$33,698.00
October	\$12,766.00	\$8,948.00	\$11,853.00	\$33,567.00
November	\$13,026.00	\$8,948.00	\$12,245.00	\$34,219.00
December	\$13,286.00	\$8,948.00	\$12,245.00	\$34,479.00

Total Billing per Year	\$147,983.00	\$102,424.00	\$147,752.00	\$398,159.00
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Total Premiums for Medicare	\$398,159
Estimated Retiree Contributions	<u>\$5,280</u>
Foundation Expense for 2015	\$392,879.00