CAL POLY POMONA FOUNDATION, INC.

"Quality Services Supporting Quality Education"

GRANTS
&
CONTRACTS

POST AWARD PROJECT ADMINISTRATION MANUAL

April 2019

CAL POLY POMONA FOUNDATION, INC.

"Quality Services Supporting Quality Education"

OFFICE OF GRANTS AND CONTRACTS

PROJECT ADMINISTRATION MANUAL

This Grants and Contracts Project Administration Manual is designed to inform principal investigators, project directors and their associates, and post award project administration staff about Cal Poly Pomona Foundation, Inc., and its procedures relating to grant and contract accounts.

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www.foundation.cpp.edu/grants-contracts/

TABLE OF CONTENTS

CAL POLY POMONA FOUNDATION, INC.

"Quality Services Supporting Quality Education"

OFFICE OF GRANTS AND CONTRACTS

Cal Poly Pomona Foundation, Inc. was created to provide services and to augment procedures which aid the educational process at California State Polytechnic University, Pomona. The purpose of the Foundation is to "eliminate the undue difficulty that would otherwise arise under the usual governmental budgetary, purchasing, and other fiscal controls". The Foundation is the fiscal agent authorized by the University to administer all externally funded activities. The services Foundation provides include review of contracts for consistency with established internal policy, agency regulations, and external governing law. Following acceptance of a contract, we provide full-fiscal support utilizing our accounting and reporting system; preparation of fiscal reports for all project directors and funding agencies; collection and disbursement of funds for research and educational projects; monitoring to assure programmatic reports are submitted to the agency; and immediate and continuing assistance to project directors in interpreting rules of funding agencies and contract specifications. Full-fiscal support for external projects includes administration, payroll, and Employment Services.

Mission statement

The mission of the Office of Grants and Contracts is to contribute to the integrity of the Foundation and the University by maintaining the highest standards in financial and administrative support services for sponsored programs. The Office of Grants and Contracts is committed to providing personalized services, generating goodwill, and providing support that enhances the effectiveness of programs and the development of new opportunities.

GOALS:

- Provide excellent services to our customers.
- Maintain the highest ethical, professional, and financial standards.
- Promote an environment that is conductive to efficiency and effectiveness.
- Maintain positive and productive working relations with the Foundation and with our customers.
- Develop new opportunities and support the expansion of existing programs.
- Be identified as an integral part of the Foundation and the University.
- Contribute to the financial wellbeing of the Foundation.

Staff

If you have any questions regarding policies regarding externally funded agreements, our staff will be happy to assist you.

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CAL POLY POMONA FOUNDATION, INC.

"Quality Service Supporting Quality Education"

GRANT AND CONTRACT ADMINISTRATION

Cal Poly Pomona Foundation, Inc. is the fiscal agent authorized by the University to administer all externally funded activity. The services Foundation provides include:

- Monitors project performance to assure compliance with federal and state regulations including but not limited to federal regulations, agency specific regulations, and University and Foundation policies and procedures related to grants and contracts and assumes full liability for meeting all the specification of a contract.

- Monitors the post-award administration of grants and contracts from notice of award to initiation of project through termination and subsequent audit requirements.

- Assist project directors in fiscal, personnel, payroll, purchasing and other administrative matters. Direct monitoring of expenditures for compliance with sponsor and Foundation/University regulations and procedures. Ensures that there is adequate documentation to support all fiscal transactions.

- Maintains systems to monitor and maintain overall effectiveness of sponsored program accounts including cost-share reporting, timely completion and receipt of all project and fiscal reports, and notification regarding status of accounts to project directors and deans. Monitors that project requirement are completed and closed-out in a timely basis.

- Meets individually with Project Directors to introduce them into the grants and contracts administration area and provide one-on-one personalized service.

- Develops, maintains, and revises Project Administration Guide to assist project personnel in carrying out the basic administrative and financial functions required to utilize the funds made available for the project including updating Foundation web site for changes in policies and procedures.

- Develop and communicate changes in policies and procedures via a monthly newsletter to all grant and contract account holders.

- Acts as departmental liaison for all sponsored program audits including annual single audit and agency program/compliance audits.

- Reviews and concurs with University grant and contract proposals to ensure budgets are correct and sufficiently detailed. Identifies potential administrative issues prior to formal proposal approval by the Executive Director of Foundation. In addition, reviews project contracts for terms and conditions to assure the Foundation is not at risk.

- Responsible for prudent cash management of grant and contract accounts including timely administration of letters of credit programs, invoicing agencies based on cash outflows, and accounts receivable collection follow-up for costs advanced on projects. In addition, assure all quarterly/annual financial reports have been submitted to funding agencies.

- Develops and presents workshops on sponsored program administration and fiscal procedures for project directors and their administrative personnel.

GRANT AND CONTRACT ADMINISTRATION

- Monitors all subrecipient and subcontracting activity to ensure compliance with audit and reporting requirements.

- Supervision of equipment inventory relating to grant and contract accounts including tagging fixed assets purchased, conduct two-year inventory observation, and notifying University Procurement of fixed assets on closed grant/contract accounts.

- Quarterly reconciliation of grants and contracts fund including expenditure activity and indirect cost recovery expenditure calculation.

- Monitors all cash match activity including assuring adequate documentation to support matching expenditures, ensuring matching activity complies with the agency rules and regulations, assuring matching activity is occurring at the same level as grant reimbursed expenditures, and communicating to project directors and deans regarding status of matching activity every two months.

- Assist external consulting firm with preparation of the indirect cost recovery rate proposal for the Department of Health and Human Services.

- Prepare annual calculations of space utilization for reimbursement of space costs to the University's General Fund per Chancellor's Office Guidelines for Auxiliary Organizations.

- Communicate important safety information to account holders as it relates to sponsored projects.

- Review and approve University release time documentation including submitting a quarterly reminder to Dean's Offices regarding timely submission of forms.

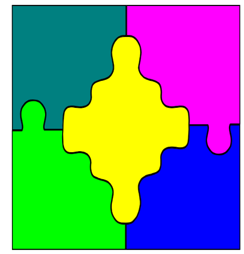
- Assists in the required single audit which is reported to all federal agencies. Per 2 CFR 200.512 (a)(1), the audit reporting package must be submitted to the Federal Audit Clearinghouse within 30 days after the auditors issue their final report.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM



DATE: October 14, 2000

TO: Grant and Contract Recipients

FROM: Debbie Linthicum
Director, Grants and Contracts

RE: Why Does Foundation Administer Externally Funded Projects

The California State University provides the citizens of California with a full range of academic and related experiences that benefit the largest single university system in the world. The state, while recognizing the need for an extensive network of services to complement the core academic mission and to provide the full range of educational experiences, has chosen a unique form to furnish some of these needs. The state has adopted a framework whereby some essential services are to be provided by other entities called auxiliary organizations. These non-profit organizations are organized by the respective campus as separate legal entities under the parameters outlined in special legislation contained in the Education Code. They operate in association with campuses or the headquarters office pursuant to special written agreements and are chartered solely for the purpose of performing functions that contribute to the educational mission of the university. The Board of Trustees of the CSU and campus presidents has oversight and general supervisory responsibility to assure compliance with CSU policy. Most auxiliary organizations are incorporated. All have a governing board that has close campus linkages and responsibilities defined by an interconnected and over-arching framework of education code statutes and trustee and campus policies.

These organizations are also governed by applicable laws and regulations of the federal and state governments. In addition, they operate within the policies established by the Board of Trustees, the chancellor and campuses. Most of these organizations can be grouped into major functional categories. One of the functions auxiliary organizations perform includes the administration of special educational projects. These organizations administer projects, which have a direct relationship to the educational process of the campuses and are funded by numerous sources. Major sources of support come from federal, state and private grants and contracts. Projects are designed to meet the needs of the program sponsor and campus programs.

The California Contract Code, Section 10340, stipulates that state agencies may contract with an auxiliary organization of the California State University without a competitive bid process. This enables them to contract directly with the Foundation, in lieu of utilizing Interagency Agreements with the University.

Cal Poly Pomona Foundation, Inc. is the recipient of all grants and contracts awarded on behalf of California State Polytechnic University, Pomona. As a result, the Foundation assumes legal and financial responsibility and accountability both for the funds awarded and the performance of the grant-supported activity. The Foundation has ultimate responsibility for the conduct of all projects and for the results achieved. All projects must be monitored to assure the adherence to performance goals, time schedules, and/or other requirements per the terms and conditions of the grant/contract. There is also the responsibility to administer all grants/contracts in accordance with the applicable provisions of the federal compliance regulations, and other agency-specific guidelines, including the prudent management of all expenditures and actions affecting the project.

The Foundation provides administrative, support, and financial services to assist in the responsibility of grants and contracts, and has established procedures for meeting agency, University, and Foundation administrative requirements.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: September 1 2017

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Office of Research and Sponsored Programs

The Foundation is the post-award administrator of University sponsored projects. The Foundation's Office of Grants and Contracts cannot open a grant and contract account until the preaward phase has been completed by the Office of Research and Sponsored Programs (ORSP).

The ORSP assists faculty and staff with the completion of the preaward phase of your sponsored project including project review, facilitating the on-campus approval process, and the review, negotiation, and execution of the legal document including agency award notice or formal contract required for the project.

We encourage you to consult with the ORSP early in your proposal process to assure Foundation can open a grant and contract account for you in a timely basis. Before the Foundation can sign a contractual agreement or award document, the proposal and all of the related documents must be reviewed and approved by all parties including the Dean's/Vice President's Office, ORSP, Foundation, Provost, and the Vice President of Administration.

The *Cayuse* system is used to obtain approval and endorsement by on-campus personnel for the proposed project. In addition, CSU compliance regulations requires that all proposals or requests for funding of research or other special educational projects shall not be submitted to a sponsoring federal or state agency, public or private corporation, and/or private or corporate foundation without prior approval of the President or their designee. Please do not sign any sections of the grant proposal. Only the Institutional Official is authorized to sign grant proposals with the name of the fiscal agent as Cal Poly Pomona Foundation, Inc.

The next step in opening a grant and contract account at Foundation is an acceptable award document/contractual agreement. Again, ORSP assists faculty and staff with this process. If the Foundation does receive a contract by mistake, it will be forwarded to ORSP for review and submission to Foundation. After both preaward phases are completed, Foundation will open a grant/contract account for you and assist you in the administration of the project.

The Foundation encourages you to become familiar with the many services the Office of Research and Sponsored Programs has to offer. The Office of Research and Sponsored Programs staff are there to assist you with your project proposal processing and approval and contract/award document review. You can find out more about ORSP on their website at: https://www.cpp.edu/~research/rsp/index.shtml

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: March 1 2017

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Indirect Cost Recovery Rates

What is Indirect Cost Recovery?
When the Foundation is awarded a grant and/or contract, there are operating costs to the University and Foundation which are directly related to the project (library resources, building maintenance, Employment Services, accounting, classroom or laboratory space, etc.). These costs are not readily identifiable with a particular project but are necessary to the general operation of the project and the institution. As a result, Cal Poly Pomona Foundation, Inc., has negotiated an indirect cost recovery rate with the Department of Health and Human Services which is applied to recover the unreimbursed expenditures incurred at the University on behalf of sponsored programs.

Current Rates:
The Foundation current negotiated rates with the Department of Health and Human Services are:

Organized Research	45%	On-Campus FY16-17
Organized Research	46%	On-Campus FY17-18
Organized Research	47%	On-Campus FY18-20
Off Campus	26%	Off-Campus
Instruction	48%	On-Campus FY16-17
Instruction	49%	On-Campus FY17-18
Instruction	50%	On-Campus FY18-20
Other Sponsored Activity	32%	On-Campus FY16-17
Other Sponsored Activity	33%	On-Campus FY17-18
Other Sponsored Activity	34%	On-Campus FY18-20

Indirect cost recovery is not collected on equipment (any one item with a cost in excess of $5,000), capital expenditures, charges for patient costs, tuition and fees, rental costs, participant support, scholarships, and subcontracts.

Some agencies limit the amount of indirect cost recovery the Foundation can collect on a particular project. However, you are encouraged to negotiate as much indirect as can be collected based on agency guidelines. Indirect cost recovery is collected and submitted to Academic Affairs to aid in the University's educational mission and help support current and future sponsored projects.

If you have any questions regarding indirect cost recovery, please call The Office of Research and Sponsored Programs and they will be happy to help you.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: November 1, 2009

TO: Hardworking Faculty Member

CC: College Dean/Vice President
Office of Research and Sponsored Programs

FROM: Director, Grants and Contracts

RE: New Grant/Contract Award

Cal Poly Pomona Foundation, Inc. has been notified that we have been awarded a new grant/contract. Hardworking Faculty Member, as project director, is responsible for the programmatic management and conduct of the project ensuring the work is accomplished in a timely manner and is administered within the requirements of the awarding agency. In addition, the funding agency regulations and guidelines including University/Foundation policies and procedures for the administration of a sponsored project must be adhered. College Dean, as Hardworking Faculty Member's supervisor, is responsible for the general oversight of this project and signatory responsibility in case Faculty Member needs personal reimbursement for expenditures paid.

Details of this award include:

Project Title:	Very Important Grant Program
Awarding Agency:	United States Department of Agriculture
Amount of Award:	$**111,226.00** **(Very Important)**
Matching Requirement:	$50,000.00
Period of Award:	**November 1, 2009 through October 31, 2010** **(Very Important)**
Foundation Project Number:	**001795** **(Very Important)**
Annual Report Due:	**October 31, 2010** **(Very Important)**

You are authorized to spend up to the award amount based on the approved budget attached to this document. All grant expenditures must be incurred during the award period in order for Foundation to be reimbursed for all costs advanced. **All expenditures incurred prior to the grant deadline detailed above must be liquidated prior to December 31 2010. As a result, we will need all expenditure documentation no later than December 5, 2010.**

An annual progress report is due on October 31, 2010. We will need an email copy of the report for our files in Foundation.

As grant expenditures are being submitted for payment/reimbursement, we will also need supporting documentation for the cost sharing expenditures at the same time. Failure to provide cost sharing documentation might delay processing of expenditures. Cost sharing expenditures must be expended based on the approved budget attached to this document.

Please contact Foundation Employment Services at x2953 as soon as possible so we can establish you and the other individuals as Foundation employees in order to pay these individuals from your grant project on a timely basis. Under no circumstances should individuals, who will be paid from your grant as Foundation employees, be working on your project and not be established as a Foundation employee.

All Foundation employee hours (faculty/staff/student) must be logged into the Kronos Time Keeping System in a timely manner during the periods in which the hours were worked. It is not acceptable to submit hours late for time worked on the project and paper timesheets will not be accepted.

Please have the attached signature sheet signed and returned to me.

If you have any questions about the policies and procedures in administering a grant and contract account, please feel free to visit our web site at: http://www.foundation.cpp.edu/grants-contracts/and choose training guides on the left hand side of the site.

There is also a two hour grants training session which can be found on our website at: http://www.foundation.cpp.edu/grants-contracts/ under training guides and select the Grants Training WebEx Session which will train you on Foundation post award administration including preparation of Foundation forms. I encourage you to take this online training course.

Foundation Financial Services has a web-based accounting system where you can have access to your grant and contract reports at any time. The weblink for this system is as follows: https://onesolution.fdn.cpp.edu/Production/ A copy of the user manual can be found on our website: http://www.foundation.cpp.edu/grants-contracts/ and training guides and select Online Grants & Contracts Reports Manual. If you need your One Solution password reset, please contact Debbie Chavez at debrachavez@cpp.edu and she will reset it for you.

Congratulations and I look forward to working with you on this important project.

Approved budget and object codes: (Very Important)

Conference	7035	12,180.00
Indirect Cost Recovery	7135	15,126.00
Insurance-Other	7144	333.00
Salaries-Reimbursed	7272	23,838.00
Outsider Services	7291	10,350.00
Staff Benefits-Reimb.	7311	7,151.00
Supplies	7326	4,500.00
Travel-Local	7355	20,000.00
Travel-International	7357	17,748.00
TOTAL		**111,226.00**

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: June 1, 2007

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum

RE: Responsibilities of Foundation Grants and Contracts and the Principal Investigator

FOUNDATION'S RESPONSIBILITIES:

Cal Poly Pomona Foundation, Inc. is the recipient of all grant and contract projects awarded on behalf of California State Polytechnic University, Pomona. As a result, the Foundation assumes legal and financial responsibility and accountability both for the funds awarded and the performance of the grant-supported activity. The Foundation has ultimate responsibility for the conduct of all projects and for the results achieved.

It should be noted that the Principal Investigator, as an individual, is not the recipient of the project and, therefore, has not legally entered into the contract with the agency. Per CSU compliance regulations, the Foundation is the employer of all employees working on grant and contract projects including the Principal Investigator. As a result, the Foundation, and not the Principal Investigator, is required to notify and obtain appropriate approvals from the awarding agency for all changes necessary for the project and sign all contracts/award documents.

All projects must be monitored to assure the adherence to performance goals, time schedules, and/or other requirements per the terms and conditions of the grant/contract. It is also the responsibility of the Foundation to administer all grants/contracts including approving all expenditure requests in accordance with the applicable provisions of the federal compliance regulations , Foundation/University policies and procedures, and agency-specific guidelines for the project to assure the expenditure is not challenged in an audit. The Foundation also is responsible for the timely submission of all fiscal reports and acts as a liaison between the Principal Investigator and the sponsoring agency providing interpretation of agency specific regulations. Foundation also assists with the annual federal single audit, site visits, and compliance audits as required by the granting agency.

In accordance with the Interim Cal Poly Pomona regulations, in the event that the Principal Investigator is incapacitated, resigns, fails or refuses to perform the normal and reasonable duties of the position or engages in unprofessional conduct, the college dean/department director, after consultation with the appropriate vice president and funding agency, as appropriate may relieve the individual of the grant or contract, terminate the agreement, assign it to another individual, or take other appropriate action.

Foundation offers an online training session for new or seasoned Principal Investigators to provide an overview of Foundation's services available to assist in the start up and management of projects and/or review the specific requirements of a grant/contract project. The Foundation also provides monthly newsletter email articles informing of recent changes in compliance requirements or reminders of important topics relating to the projects

PRINCIPAL INVESTIGATOR'S RESPONSIBILITIES:

Per CSU Chancellor's Office compliance regulations, the Principal Investigator (PI) is defined as a Foundation employee, designated by the agency, responsible for the overall direction of the project. The PI has a dual responsibility for complying with the financial and administrative policies of the award while achieving the technical, programmatic success of the project in a diligent and professional manner. Even though the PI may have administrative staff to assist in the management of grant/contract project, the ultimate responsibility for the successful completion of the scope of work and the management of awarded dollars rests with the PI.

Personnel services are available to the PI in areas such as position classification, employee recruitment and selection, compensation and benefits, affirmative action, orientation and training, performance evaluation, organization and manpower planning, employee relations, discipline and discharge, and personnel records through the Foundation's Employment Services Department.

In addition to successful completion of the technical scope of work prescribed in the funded proposal, the PI is responsible for assuring that cost sharing commitments are being met including providing supporting documentation, preparation and timely submission of all required programmatic reports, proper fiscal management of the project including efficiently managing project funds within approved budgets, and effectively supervising all project staff. The PI is also responsible for retaining and storage of all programmatic information including technical materials and reports for a minimum of four years after the project has ended.

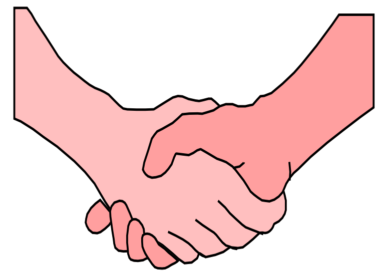
The PI is encouraged to maintain a close working relationship with the Foundation to assure compliance with these many rules and regulations relating to the sponsored project.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM



DATE: March 7, 2002

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Approval Guidelines For Grants and Contracts

Cal Poly Pomona Foundation, Inc., is the recipient of all grants and contracts awarded on behalf of California State Polytechnic University, Pomona. As a result, the Foundation assumes legal and financial responsibility and accountability both for the funds awarded and the performance of the grant-supported activity. The Foundation has ultimate responsibility for the conduct of all projects and for the results achieved. All projects must be monitored to assure the adherence to performance goals, time schedules, and/or other requirements per the terms and conditions of the grant/contract. There is also the responsibility to administer all grants/contracts in accordance with the applicable provisions of the federal compliance regulations, Foundation/University policies and procedures, and other agency-specific guidelines, including the prudent management of all expenditures and actions affecting the project.

The Principal Investigator/Project Director is defined as a Foundation or University employee, designated by the agency, who is responsible for the technical direction of the project. The Principal Investigator is responsible for the administration of the project including compliance with all the terms and conditions of the award, assuring that cost sharing commitments are being met including providing supporting documentation, preparation of the required technical reports in a timely manner, proper fiscal management of the project including efficiently managing project funds within approved budgets, and completing a project in a diligent and professional manner. The Principal Investigator is also responsible for the compliance with the policies and procedures established by the University, the awarding agency, and the Foundation.

However, the Principal Investigator, as an individual, is not the recipient of the grant/contract, and, therefore, has not legally entered into the contract with the agency. As a result, the Foundation, and not the Principal Investigator, is required to notify and obtain appropriate approvals from the awarding agency for one or more of the following program and/or budget related reasons:

A. Change in original project objective or scope:

Proposed changes in the project including changes in objectives as stated in the original proposal or agreed modifications thereto should be communicated in writing to the agency and coordinated with the Office of Research and Sponsored Programs. In general, the Principal Investigator of the grant may make minor changes in methodology, approach, or other aspects of the project objectives. However, the Foundation must obtain prior written approval from the awarding agency for changes in scope, direction, type of service, delivery or training, or other areas that constitute a significant change from the objectives or purposes of the approved project. All budget changes must be in writing and submitted to Foundation grant and contract for review and approval.

B. Absence or Change of Principal Investigator:

If a named Principal Investigator(s) or Project Director(s) per the award document, plans to or becomes aware of one or more of the three situations below, the Foundation must notify the agency in writing.

- Devote substantially more or less effort to the work than described in the original award (defined as an increase or reduction of 25 percent or more time).

- Sever his or her connection with the University and/or the project.
- Be absent for a continuous period of three months or more and/or relinquish active direction of the project.

C. <u>The need for additional award funding:</u>

If more funding is required to continue the project, negotiation with the agency and subsequent amendment to the original contract must be initiated by the Foundation through the Office of Research and Sponsored Programs.

D. <u>Budget changes in excess of 10 percent or less (For Some Grant Projects):</u>

Some awarding agencies may, at its option, restrict the transfer of funds among direct cost categories. Some Federal compliance guidelines require that if the cumulative amount of budget transfers exceeds or is expected to exceed 10 percent of the total budget as last approved by the agency, the budget revisions must be approved by the agency. No agency shall permit a transfer that would cause any appropriation or part thereof to be used for purposes other than those consistent with the original intent of the contract and/or grant.

E. <u>Transfer amounts budgeted for indirect costs (For Some Grant Projects):</u>

If there is a need to rebudget original indirect costs awarded to absorb an increase in direct costs, a written request must be initiated by the Principal Investigator. Some agencies do allow for the rebudgeting of indirect costs to direct. Please contact Debbie Linthicum for further questions on this matter.

F. <u>Inability to meet cost sharing commitments:</u>

If cost sharing is incorporated as a special condition in the project, cost sharing becomes a legal condition of the award. Once cost sharing dollars have been committed to a project, the Foundation is responsible for assuring that such funds have been secured by the end of the funding period, or during the active life of the award, depending upon whether the cost sharing requirement is to be certified on an annual or cumulative basis. The cost sharing amount can only be changed if an official request is submitted in writing to the agency by the Foundation.

G. <u>The transfer of funds allotted for participant support costs to other categories of direct expense:</u>

Participant support costs are direct costs for items such as stipends or subsistence allowances, travel allowances and registration fees paid to or on behalf of participants or trainees in connection with meetings, conferences, symposia or training projects. Funds provided for participant support may not be used by grantees for other categories of expense without the specific prior approval of the agency.

The Foundation provides administrative, support, and financial services to assist in the responsibility of grants and contracts, and has established procedures for meeting agency, University, and Foundation administrative requirements. Not all agencies require notification regarding changes in your budget. If you have any questions regarding the requirements and want to confirm whether you need to notify the agency regarding changes in your budget, please contact me at x2961 and I will be happy to assist you.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: March 15, 2004

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Allowable Costs for Grants and Contracts

The expenditures relating to grants and contracts are comprised of direct costs and indirect costs, if negotiated with the funding agency. Direct costs are expenditures which can be identified specifically to a particular project and can be directly assigned to such activities with relative ease and a high degree of accuracy.

Tests in determining whether an item is an allowable direct cost under compliance rules and regulations include:

1. Direct costs must be reasonable.
2. Costs must be necessary for the successful performance of the project.
3. Actions taken with respect to the expenditures are consistent with established University/Foundation policies and practices.
4. Costs must follow the principles and rules of federal compliance regulations (sponsored project compliance rules and regulations) and/or agency specific compliance.
5. Costs are incurred solely to advance and benefit the work under the sponsored agreement.
6. Costs aid in the successful completion of the project.
7. Costs are necessary to the overall operation of the sponsored agreement.
8. There must be consistent treatment of all grant and contract expenditures.
9. Costs must conform to any limitations or exclusions set forth in the principles of federal compliance regulations and/or specified in the approved contractual agreement or detailed in agency specific compliance.
10. Supply and equipment items must be ordered and received prior to Foundation issuing a payment check. Advances for supply and equipment orders will not be processed for Foundation grant and contract accounts.

Under grant and contract compliance guidelines, there are specific rules applied in establishing whether a cost is allowable or unallowable under grants and contracts. A few of these specific items of costs are listed below.

Selected Items of Costs:

Advertising and Public Relation Costs:

Allowable advertising and public relations costs include:

- Recruitment of personnel required for the performance of the sponsored agreement.
- Expenditures specifically detailed in the approved budget or specifically approved by the awarding agency.
- Communication with the public and press pertaining to specific activities or accomplishments of the results of the sponsored agreement, if required by the agency.

Unallowable advertising and public relations costs include:

- Cost of displays, demonstrations, and exhibits.
- Costs of meeting rooms, hospitality suites, and other special facilities used.
- Wages of employees engaged in setting up and displaying exhibits, making demonstrations, and providing briefings.
- Cost of promotional items and memorabilia, including models, gifts, flowers, and souvenirs.

- Costs of advertising and public relations items designed solely to promote the institution or the program including coffee cups, pens, pencils, buttons, etc.
- Incentive items or gifts given to project participants for being a part of your grant program.

Alcoholic Beverages:

Costs of alcoholic beverages are unallowable.

Donations and Contributions:

Donations and contributions made on behalf of a grant and contract are unallowable.

Entertainment Costs:

Costs of entertainment, including amusement, diversion, and social activities and any costs directly associated with such events (such as tickets to shows or sporting events, meals, lodging, rentals, transportation, gifts, flowers, balloons, and gratuities) are unallowable.

Fines and Penalties:

Costs resulting from violations of or failure of the institution to comply with, Federal, State, and local or foreign laws and regulations are unallowable. This includes late fees on vendor invoices.

Fund Raising:

Costs of organized fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions, are unallowable.

Goods and Services for Personal Use:

Cost of goods and services for personal use are unallowable regardless of whether the cost is reported as taxable income to the employee of the grant and/or contract.

Insurance:

Cost of insurance required, approved, and/or maintained, pursuant to the sponsored agreement is allowable. Actual losses that could have been covered by permissible insurance are unallowable.

Lobbying:

Activities involving influencing the outcomes of any Federal, State, or local election, referendum, initiative, or similar procedure, endorsements, publicity, or similar activity are unallowable. This includes memberships in lobbying organizations.

Losses on Other Sponsored Agreements or Contracts:

Any excess of costs over budget for any grant and contract project is unallowable.

Maintenance and Repair Costs:

Costs incurred for necessary maintenance, repair, or upkeep of property purchased exclusively for the grant and contract account which neither add to the permanent value of the property nor appreciably prolong its intended life but keep it in an efficient operating condition, are allowable. Types of unallowable costs include any repair to a University facility—i.e. installation of phone jacks, painting, moving or removing of phone lines, changing of door locks, repair of electrical problems, etc.

Meal Costs:

Meals that are an integral and necessary part of a meeting (working meals where the project is discussed) are an allowable grant expense. On every meal receipt, the people who attended and what was discussed must be indicated. Meals that are primarily social occasions involving speakers and/or consultants are not allowable. Lunches involving travel for one-day trips are unallowable.

Memberships, Subscriptions, and Professional Activity Costs:

Allowable costs include:

- Costs of membership in business, technical, and professional organizations that directly relate to the success of the project are allowable.
- Costs of subscriptions to business, professional, and technical periodicals that directly relate to the work on the project are allowable.

- Costs of meetings and conferences, when the primary purpose is the dissemination of technical information, are allowable.

Unallowable costs include:

- Costs of membership in any civic or community organizations are unallowable.
- Costs of membership in any country club or social or dining club or organization are unallowable.

Proposal Costs:

Proposal costs, defined as costs of preparing bids or proposals on future sponsored agreements or projects, are unallowable.

Scholarships and Student Aid Costs:

Costs of scholarships, fellowships, and programs of student aid are allowable only when the purpose of the sponsored agreement is to provide training to selected participants.

Student Activity Costs:

Costs incurred for intramural activities, student publications, student clubs, and other student activities, are unallowable unless specifically provided for in the sponsored agreement.

Transportation Costs:

Costs incurred for freight, express, cartage, postage, and other transportation services relating either to goods purchased, in process, or delivered, are allowable.

Costs That Are Included in the Indirect Cost Recovery Rate:

Costs that are included in the calculation of the Foundation's negotiated indirect cost recovery rate would be unallowable as a direct cost to a sponsored project. These costs would include:

- Repairs and alterations of University buildings including installation of phone jacks, painting of walls, installation of carpeting, repair of windows or doors, installation or changing of door locks, installation of signs, etc.
- Salaries for administrative or clerical staff not budgeted in the award. This would include Dean's office administrative staff, clerical staff to assist in the processing of Foundation paperwork, etc. Only administrative staff that are exclusively involved in the project and that are explicitly included in the approved budget can be charged to the grant and contract as a direct cost.
- Rental costs of University/Foundation buildings or rooms, excluding the Bronco Student Center, are unallowable.

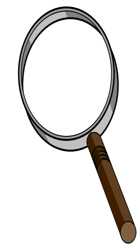
This list is not all-inclusive. If you have any questions regarding allowable direct cost expenditures for grant and contract accounts, please contact the grants and contracts department and we will be happy to assist you.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM



DATE: September 11, 2002

TO: Grant and Contract Recipients

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Potential Causes of Audit Disallowance

Cal Poly Pomona Foundation, Inc., is the recipient of all grants and contracts awarded on behalf of California State Polytechnic University, Pomona. As a result, the Foundation assumes legal and financial responsibility and accountability both for the funds awarded and the performance of the grant-supported activity. The Foundation has ultimate responsibility for the conduct of all projects and for the results achieved. All projects must be monitored to assure the adherence to performance goals, time schedules, and/or other requirements per the terms and conditions of the sponsored agreement. There is also the responsibility in administering all grants/contracts in accordance with the applicable provisions of the federal compliance regulations, and agency-specific guidelines.

Once a year, all Federal grants and contracts are audited by an external CPA firm to assure we are meeting the objectives described in the preceding paragraph. In addition, on occasion, external agencies will conduct a program specific audit of individual grants/contracts. In today's world of increasing oversight and audits, it is extremely important that all projects are conducted within all the rules and regulations relating to externally funded sponsored agreements.

If an external auditor tests an expenditure for compliance and determines that the cost does not fall within the applicable agency provisions, a refund will need to be reimbursed back to the agency for the disallowed costs. Some of the more common audit include:

- Incurring costs prior to the starting dates of the grant or contract without sponsor's permission.
- Buying equipment including tangible items over $5,000 without prior approval of the sponsoring agency.
- Transferring expenditures from one sponsored project to another to correct for cost overruns and avoid underruns.
- Spending funds for major equipment purchases during the last 90 days of the grant.
- Using unexpended balances within the last 60 days of the grant account to stockpile supplies, etc.
- Charging costs to the grant that are unrelated to the project. For example, travel costs of faculty not named on grant.
- Charging travel to the grant without prior permission from the sponsor.
- Subcontracting for services without recipient and sponsor approval.
- Absence of the project director for more than 3 months or changing the director without notifying the agency.
- Incurring costs after ending date of the project.
- Failure to document all cost sharing expenditures claimed.
- Charging meals and other entertainment-type expenditures to your project without the sponsor's permission.
- Excessively rebudgeting funds without prior approval.
- Paying a University faculty/staff a pay-rate higher than their base salary.

Please note, this list does not including all examples of audit disallowance. However, it should give you an idea of the items which might be questioned in an audit situation.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: March 24 2017

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Payment of Goods and Services near the End of Your Grant Project

In recent months, there have been a number of performance audits conducted by the National Science Foundation relating to multi-year projects administered by research institutions around the county. These audits have reported a number of findings relating to the purchase of equipment and supplies near the award expiration date. The finding issued by this federal agency stated that the purchases near the award expiration of a multi-year project did not appear to benefit the award and did not appear reasonable or prudent considering the limited time remaining on the award. As a result, the awardee had to pay the National Science Foundation back for these particular expenditures and the related indirect cost that might have been recorded on the transaction.

Per 2 CFR 200 Uniform Guidance compliance regulations which apply to all grant/contract projects, a cost must be allocable and benefit that specific project, reasonable and necessary for the performance of the grant, and are incurred solely to advance the work under the sponsored project. The recipient institution is responsible for ensuring that costs charged to a sponsored project are allowable, allocable, and reasonable under the cost principles. The National Science Foundation compliance regulations specifically state that *the grantee should not purchase items of equipment, computing devices, or restock materials and supplies in anticipation of grant expiration where there is little or no time left for such items to be utilized in the actual conduct of the research.*

In addition, the Uniform Guidance compliance regulations 2 CFR 200.314 also states if there is a residual inventory of unused supplies exceeding $5,000 upon termination of the project, the College will be required to compensate the government for its share of these unused items. This means that the grant project will need to receive a refund for the cost of those supplies that were purchased for your project and were not used. This refund would need to come from Foundation nongrant funds held in the College and deposited back into the grant project.

To avoid these situations and remain compliant with the funding terms and conditions, all large supply orders and equipment purchases including computers, software, and/or other tangible items should be ordered and received no later than six months before of the end of your project in order to defend that the items are being utilized and consumed for specific grant.

If you have any questions with regards to these regulations, please let me know.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: April 1 2019

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Quick Reference Guide

Detailed below is a quick reference guide for the administration of grant and contract accounts:

1. A *Disbursement Voucher Form* (Form FS01111F) must be completed to pay for supply, equipment, and outside service companies (not individuals). Original documentation including original invoices must be submitted with the form. Please indicate your Foundation project number and related budget code on all items submitted to Foundation. All referenced forms indicated in this memo are located on our website at:
   http://www.foundation.cpp.edu/grants-contracts/forms.aspx

2. All vendor invoices and personal reimbursements must be submitted to Foundation no later than 6 months after the expenditure date. In addition, supply/equipment items must be delivered on campus. If the items were not delivered on campus, please provide an explanation as to why there were delivered elsewhere.

3. Foundation requires a *Request for Purchase Order Form* (Form FS01112F) for all supply/equipment/service costs where the total amount paid to one vendor equals to or exceeds \$10,000. Per Grant Compliance Guidelines 2 CFR 200, for all supply/equipment/service amounts where the total cost is equal to or exceeds \$10,000, two written bids or a *Sole Source Memo* must be attached to the *Request for Purchase Order Form* where the lowest bid must be awarded to that vendor. This form must be submitted prior to placing the order. You must attach the written quotes to the *Request for Purchase Order Form* before it is submitted to Foundation for processing. Keep in mind, you cannot split orders to one vendor to avoid this policy.

4. For supply/equipment orders where the total amount paid to one vendor will exceed \$25,000, three written bids or a *Sole Source Memo* (Form FS01112F3) must also be attached to the *Request for Purchase Order Form* prior to placing the order with the vendor. An example of the required contents of the Sole Source Memo can be found on our website.

5. Services in excess of \$50,000 in a yearly basis also requires a *Request for Purchase Order Form* and three written quotes or a *Sole Source Memo* must attached to the *Request for Purchase Order Form*. The lowest vendor quote must be selected. Keep in mind, you cannot split orders to one vendor to avoid this policy.

6. If you are interested in obtaining a Foundation issued credit card, please complete the *Purchasing Card Application Form* (Form FS01121F) found in our website and submit to Lily Maciel in Foundation Grants and Contracts. If you have questions, please call her at x3304.

7. If you have a Foundation issued credit card, a Foundation account number and related object/budget code for all items charged to your credit card during the billing period must be entered into the web-based credit card system and the monthly transaction log and related original invoices/receipts for all items must be submitted to Foundation Grants and Contracts no later than the 25th of every month. Foundation will revoke the credit card if the log is turned in late.

8. If your Foundation Credit Card gets lost or stolen, please report it immediately by calling 1-800-932-0036. Outside of the United States, call collect 1-415-243-1935. We recommend having these phone numbers nearby and possibly add them to your cell phones for immediate access. You must call the credit card company immediately. Fraudulent charges made to your credit card between the time it is lost/stolen and the time you report the credit card stolen with the credit card company will need to be paid from Foundation nongrant accounts.

9. Sales tax is required to be paid on all tangible items consumed within the State of California. When purchasing tangible products outside California, sales tax is required to be paid on the taxable amount of the purchased item. The current sales tax rate 10.25 percent. If the vendor does not include sales tax on their invoice, we must increase the amount charged to your account by the current sales tax rate percentage to account for this use tax.

10. Presidential Order Number 7.8: Cal Poly Pomona faculty and staff will be required to use Foundation services (including the bookstore, food service, catering or campus lodging) for all state or foundation business. The Cal Poly Pomona Foundation will have the sole right to waive this agreement on a case-by-case basis, depending on the circumstances of the event. In addition, all Cal Poly Pomona faculty and staff will be required to use Graphic Communication Services (GCS) as an agent for all printing services and publications. GCS will be responsible for bidding out all projects so the university can receive the best possible quality and price point on print materials. Any deviation from these practices may result in the denial of reimbursement or funding.

11. For services that are being performed for your project, if the amount paid from your grant to an individual consultant exceeds $5,000 during any one year, an *Agreement for the Performance of Consultant Activity for Services In Excess of $5,000* (Form FS01116F) must be completed and submitted to Foundation Employment Services for their approval **prior** to hiring the individual.

12. If services by an outside individual consultant are being performed for your project and the payment will not exceed $5,000 during any one year, a *Payment of Individual Services Less Than or Equal To $5,000* (Form FS01117F) can be completed. Please note, this form does not require the completion of a Disbursement Voucher Form when submitted to Foundation, but does require a *Vendor Data Record Form* if we have not previously paid this individual from Foundation.

13. Effective May 28, 2014, the social security and tax identification number fields have been removed on all Foundation forms. However, if there is a vendor which your grant has not paid before and the expenditures relates to services provided to your grant project, the *Vendor Data Record Form* (FS01105F) will be required to be completed by the vendor and faxed to Foundation Grants and Contracts. The fax number that the form should be sent to is (909) 869-4549 and the vendor needs to address the fax to Lily Maciel to assure she gets the form. If this form is not faxed to us at the time of payment, the payment will be held. If the form is not faxed to us in a timely manner, the payment forms will be returned to you to coordination with the vendor.

14. Effective March 25, 2014, for the payment of stipends from your grant project, please use the *Fellowship and Participant Stipend Payment and Acknowledgement Form* (Form Number FS01127F). Please note, all stipend payments must be approved in our grant budget during the preaward phase before they can be paid from your grant project. No social security numbers are required for this form.

15. As soon as you have knowledge that you will be paying a stipend or outside service payment to a foreign individual, please consult Edward Shore, Tax Specialist at ewshore@cpp.edu before submitting this expenditure paperwork to Foundation. According to the Internal Revenue Service (IRS) tax regulations, income tax is imposed on certain payments made to individuals who are not considered United States citizens or residents. Edward needs to review these payments prior to processing by Foundation.

16. All individuals affiliated with Cal Poly Pomona (faculty, staff, and student) must be compensated as a Foundation employee through Foundation Employment Services. These individual cannot be paid as outside consultants.

17. If your grant project will be hiring Foundation employees, you must contact Foundation Employment Services at x2953 prior to having the individuals work for your project. Under no circumstances should individuals, who will be paid from your grant as Foundation employees, be working on your project and not be established as a Foundation employee.

18. All Foundation employee hours (faculty/staff/student) must be logged into the *Kronos Time Keeping System* in a timely manner during the periods in which the hours were worked. It is not acceptable to submit hours late for time worked on the project and paper timesheets will not be accepted.

19. Foundation compensation to faculty and University staff during the academic year is prohibited if it has not been approved by the agency. Overload compensation must be approved by the agency in writing before it can be paid from a Foundation Grant and Contract account.

20. Scholarships paid to Cal Poly Pomona students must be processed through the University via Financial Aid. No scholarship payments will be made directly to the student.

21. A *Travel Authorization Form* (Form FS02101F) must be submitted to request reimbursement for all travel expenditures and must be submitted to Foundation within 60 days of the travel. Original documentation must be submitted with the form for all items claimed with the exception of meal costs if per diem is being claimed. If you are attending a conference, the conference agenda documentation must be attached to the *Travel Authorization Form*. The current mileage rate is 58 cents a mile. As a reminder, all University employees must get authorization to travel on State business prior to the trip.

22. A completed *Travel Authorization Form* (Form FS02101F) must be submitted for each individual traveling on behalf of your project. Do not combine the reimbursement for multiple individuals onto one form. Each traveler must account for their own travel related expenditures and be reimbursed accordingly.

23. If a Cal Poly student is being reimbursed for travel related costs, a *Waiver of Liability and Hold Harmless Agreement* (Form FS06105F) must be attached to the Travel Authorization Form in order for Foundation to pay reimbursement.

24. For all international travel, please remember to complete section one of the *Travel Authorization Form* and obtain the signature for approval prior to your trip. All international travel must be pre-approved by the designated Vice President/Provost in your area.

    When traveling to countries on the US Department of State, Bureau of Consular Affairs Current Travel Warning List or those deemed high hazard risk requires approval from the Chancellor's Office. Please refer to the information provided by System wide Risk Management under International Travel Resources for:

    - International travel approval process and requirement to purchase insurance

- CSU's Foreign Travel Insurance Program
- International Travel Warnings
- High Hazard Country List

25. If your grant has been awarded by a federal agency, you must fly a U.S. Flag Carrier if traveling internationally or it cannot be paid from your grant account. If you are not sure if your grant is a federal grant, please give Debbie a call at x2961.

26. Meal reimbursements require the name of every person attending the meal and exactly what business was discussed documented on the receipt. The business discussion documentation must be detailed enough to determine the purpose of the business meal. It is not acceptable to give a one line description for the purchase of the meal.

27. If your grant has participant support cost meals budgeted as object code 7196, two listings will need to be submitted with the meal disbursement document. One list must include only the names of the participants that attended the meal and a second listing will need to be included for all employees who attended the same meal. The participants will be classified as participant support costs 7196 and the employees will be classified as meals and refreshments 7185.

28. Per compliance requirement 2 CFR 200.314, if there is a residual inventory of unused supplies exceeding $5,000 upon termination of the project, your project will be required to compensate the government for its share of these unused items. This means that the grant project will need to receive a refund for the cost of those supplies that were purchased for your project and were not used. This refund would need to come from College nongrant funds held in the Foundation and deposited back into the grant project. To avoid this situation, large purchases of tangible supplies, equipment, computers, and software will not be allowed to be paid towards the end of the project. We highly encourage that grant purchased tangible items be ordered and received no later than six months before of the end of your project.

29. All expenditures incurred prior to the grant deadline must be liquidated 60 days after the ending date of your grant project. As a result, we will need all expenditure documentation submitted to Foundation Grants and Contracts no later than 45 days after the ending date in order to process all items in time reconcile the account and prepare the final expenditure reimbursement to the agency.

30. All Foundation employees working on your account must be terminated by the last day of the project. *Employee Transaction Forms* (ETF) must be submitted to Foundation Employment Services no later than 10 days prior the end of the project terminating all employees so that final checks can be issued on the last day of the grant. This form can be found on the Employment Services Website.

28. With regards to computer purchased with grant and contract funds, please review the campus policy relating to the appropriate use of information technology which can be found on the University's website at: http://www.cpp.edu/~policies/information_technology/Appropriate_Use.html

29. All computers, IPads, and software paid with funds held in the Foundation including Grant and Contract and Foundation Program accounts, must be purchased at the Bookstore. If a computer, IPAD, or software is not purchased at the Bookstore, the purchase must be reviewed and approved by the University's I&IT CIO Office. The I&IT CIO Office reviews orders for electronic and information technology to ensure compliance with Section 508 of the Rehabilitation Act as well as with campus security and technology standards. For more information about submitting your personal computer requisition for I&IT's review, campus

technical standards or 508 compliance, please contact Carol Heins-Gonzales at carolhg@cpp.edu or (909) 979-6457.

30. Bus Transportation: When bus transportation is required, Foundation is required to enter into a contract with the bus transportation company. If your project is in need to procure bus transportation, please call us at least one month of advance of the services to assure the contract is executed and the insurance requirements are met.

Foundation Financial Services has a web-based accounting system where you can have access to your grant and contract reports at any time. The weblink for this system is as follows: https://onesolution.fdn.cpp.edu/Production/
A copy of the user manual can be found on our website: http://www.foundation.cpp.edu/grants-contracts/ and training guides and select Online Grants & Contracts Reports Manual.

If you need your One Solution password reset, please contact Debbie Chavez at debrachavez@cpp.edu and she will reset it for you.

All policies, procedures, and forms relating to Grant and Contract Accounts can be found on Foundation's website at: http://www.foundation.cpp.edu/grants-contracts/

The full copy of the project administration guide can be found under Training Guides on the Grants and Contracts website.

There is also a two hour Web-Ex grants training session which can be found on the Grants and Contracts website under training guides at: http://www.foundation.cpp.edu/grants-contracts/ which will train you on Foundation post award administration including preparation of Foundation forms. I encourage you to take this online training course.

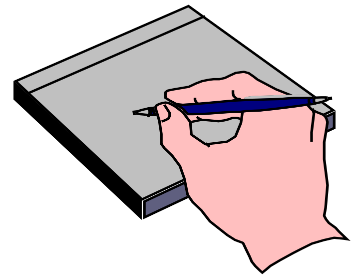
If you have any questions with regards to the administration of your project, please feel free to give us a call.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM



DATE: April 1 2019

TO: Grant and Contract Account Holder

FROM: Debbie Linthicum
Director, Grants and Contracts

RE: Overview of the *Disbursement Voucher* Form

The *Disbursement Voucher* form is used by Foundation to issue payment checks to individuals and companies for various purposes including supplies, outside services, printing, and equipment. Original documentation including vendor invoices must be attached to the *Disbursement Voucher* as documentation to support the payment amount. Vendor monthly statements, packing slips, and photocopies or faxed copies of invoices are not sufficient documentation and will delay payment to the vendor if attached to the *Disbursement Voucher*. In addition, Foundation does not pay in advance of receiving supply and equipment items or in advance of services performed. All tangible items must be ordered and received and all services performed before Foundation will issue a payment check. An overview of the items needed to be completed on the *Disbursement Voucher* forms are documented below.

Please note, this new form replaces both the old *Payment Request* form and the *Public Relations Voucher* form. Please do not use these forms for future expenditure processing.

Pay To: Complete the individual or company name that the check should be made payable with correct remittance address. Please note, the mailing address is occasionally different than the remittance address. Be sure to verify same on the original vendor invoice.

Reference Purchase Order Number: If a *Purchase Order* was issued for this purchase, please write the *Purchase Order* number issued by Foundation. This assures that all *Purchase Orders* are purged from our system and disencumbered from your grant/contract account.

Date Payment Required: Leave this field blank. All checks will be issued with the regular check cycle which takes approximately two and a half weeks after receiving the *Disbursement Voucher* form with proper documentation attached.
Invoice Date: Complete the date of the original vendor invoice.

Invoice Number: Indicate the vendor invoice number. If there is no invoice number documented, the Disbursement Voucher number should be used in this field. It is very important to use the correct invoice number as the Foundation's computer system will warn us against duplicate vendor payments.

Benefit to/Purpose for University or Foundation: For public relations type expenditures, provide a brief description of how the expenditure benefits the project and the educational mission of the University or Foundation and its purpose.

Description/Persons Attending: Provide a brief description of the items purchased, services performed, registration, or reimbursement. For public relations type expenses, include the name of each individual attending the event.

Project Number/Object Number: List the project number and object code that the payment should be charged. The object code should be consistent with the approved budget of the grant or contract. **Please be sure to complete these fields.**

Amount: List the amount of payment due to the vendor. Please list the amount of the total invoice. Sales tax and shipping charges do not need to be listed separately unless the item is being purchased out-of-state. If an invoice has products that are being charged to more than one project code, the sales tax and shipping should be prorated between the two project accounts.

Out-of-State Purchases: When purchasing tangible products from outside California, sales tax is required to be paid on the taxable amount of the purchases. If the out-of-state vendor charged the correct sales tax (10.25 percent) on the invoice, then payment will be made for the amount invoiced with no calculation needed on the bottom of the *Disbursement Voucher* form. However, if no sales tax was charged on the vendor's invoice, sales tax (10.25 percent) will be charged to your account based on the purchased amount excluding freight and shipping charges. The calculated sales tax amount is charged to your account and remitted to the State of California on a quarterly basis.

Out-of-State Services: When paying for services to individuals and/or businesses that do not reside with the State of California, we are required by the Internal Revenue Service to withhold 7 percent of the payment when the total services for the year exceed $1,500.00. This tax will reduce the amount of payment to the individual and/or business, and will be remitted to the IRS by Foundation.

Out-of-Country Services: Same as out-of-state withholding, except Foundation is required to withhold 30 percent for services performed by an individual and/or business residing outside the United States in which there is not a tax treaty with the country.

Grand Total: Total vendor payment amount excluding the taxes listed above, if applicable.

Originator Signature: Person completing the Disbursement Voucher or person to notify should any questions or concerns arise should sign the form.

Departmental Approval: Only authorized signors are allowed to sign payments requests based on the accounts being charged. Disbursement Vouchers not properly signed will cause payments to be delayed. It should be noted that the departmental approval is certifying that all the items being expended are in compliance with all grant and contract compliance guidelines, that all supply and equipment items have been received, and that all services have been performed.

Instruction Box:

> **Send check to vendor:** Checks are sent to the vendor's remittance address or to payee's home address.
> **Include Attachment with payment:** If documents need to be remitted with the payment check, please paper clip them to the Disbursement Voucher.

As a reminder, Disbursement Vouchers that are received by Monday at 12:00 pm, will be processed form the next Monday check-run. Disbursement Vouchers received on Monday afternoon, Tuesday, Wednesday, Thursday, and Friday will be processed on the following Monday check-run. The Foundation no longer processes off-line payment check runs. In addition, all checks are mailed to the vendor. Please plan your vendor payments accordingly.

Please review your monthly account statement to assure that all *Disbursement Vouchers* submitted have been processed. Stop payment on checks sent out to the correct address require a three week waiting period before we will reissue the check. All reimbursements for travel must be documented and submitted on a *Travel Authorization Form* and not on a *Disbursement Voucher* form.

CAL POLY POMONA FOUNDATION, INC.

DISBURSEMENT VOUCHER

(909) 869-2905, 2907, 3760

VENDOR NUMBER

P
A
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T
O

DATE:

INC	PARTNERSHIP	INDIVIDUAL/SOLE PROPRIETOR/LLC	REFERENCE PURCHASE ORDER NO. CPF	☐ Partial Payment ☐ Full Payment	DATE PAYMENT REQUIRED	
LGL/MED	CA BUSINESS	NON RESIDENT				
Invoice Date	**Invoice Number**	**Benefit to/ Purpose for University/Foundation**	**Description/Persons Attending (attach a list if more room is needed)**	**Project Number**	**Object Number**	**Amount**
Out of State Purchases of Tangible Goods		***Add:** Sales Tax at Current Rate (exclusive of freight/handling charges) **Less**: Sales Tax paid directly to State Board of Equalization if not included on the invoice. *Use the same $ amount for the above line.		190010-2302		< >
Out of State Payment for Services		**Less:** Out of State Tax withholding @7%, if >$1,500/yr - Submit Form 590		190010-2232		< >
		Less: Foreign Tax withholding for services @ 30% (unless tax treaty) - Submit Form 8233 and W-7 Form		190010-2236		< >
				GRAND TOTAL		

I/We certify that this expenditure benefits the educational mission of the CSU and meets the policy requirements of the Education Code Section 89904.6, Section 9.2 Policy on Expenditure of Funds for CSU Auxiliary Organizations and is in compliance with the University Related Project Agreement. I also certify that the item(s) above has/have been received and or service(s) has/have been performed to the satisfaction required and if applicable, I certify the items and or services are in compliance with the terms and conditions of the grant and/or contract.

CHECK APPROPRIATE BOX

☐ Include Attachment with Payment

☐ Remarks

SIGNATURE OF CLAIMANT **(for personal reimbursement only)** DATE

DEPARTMENTAL APPROVAL DATE

*President, Vice President, Dean, Principal Investigator or Departmental Approval (or their Designee)

PREPARED BY EXTENSION #

FOUNDATION APPROVAL DATE

*** See Expenditure Policy Grid and refer to required authorized signer.**

WPR46391

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: August 24, 2004

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Orders Placed With Outside Vendors

For all orders of supplies and services placed with outside vendors which will be paid by Foundation funds, it is **extremely** important that you state you are calling for Cal Poly Pomona Foundation, Inc. **PLEASE DO NOT STATE YOU ARE CALLING FOR CAL POLY POMONA UNIVERSITY.**

When placing an order with vendors which will be paid with Foundation funds, please follow the following procedures:

1. State you are calling for Cal Poly Pomona Foundation, Inc. **NOT** Cal Poly Pomona University.
2. If the order is under $10,000.00, please give have the vendor send the invoice directly to your office on campus.
3. Please have the vendor put your name and Foundation account number in which the invoice will be paid on the invoice.
4. If the order equal to or exceeds $10,000, you will need to prepare a *Request for Purchase Order Form* prior to placing the order with the vendor. Please remember to attach a written quote to the *Request for Purchase Order Form* prior to submission to Foundation Accounts Payable for processing.
5. Assure you receive an invoice from the vendor for the supplies received/services performed.
6. Complete a Disbursement Voucher and attach the original invoice to the form.
7. Submit all payment form to Foundation Grants and Contracts for processing.

Foundation Grants and Contracts will process all Disbursement Vouchers that are received no later than Friday at 5:00 pm for the upcoming Monday check-run. All Disbursement Vouchers received after this date will be processed for the following Monday check-run. All checks will be mailed to the vendor.

It is your responsibility that all supply orders are paid to the vendor in a timely basis. Thank you for your cooperation with this important matter.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA

DATE: July 7, 2009

TO: Dean, Directors and Dept. Chairs

FROM: Karen Martin, Interim Manager
Distribution Services

SUBJECT: Campus Deliveries

Distribution Services has two receiving areas. To ensure that your item is delivered with minimal delay it is important that the item be correctly addressed by the vendor and the courier delivers your item to the correct address. Adhering to the following criteria will assist Distribution Services in delivering your merchandise quickly and efficiently.

All items ordered with a **State Purchase Order** with the exception of Blanket PO's and Service Orders, Foundation CPF's that are state property only; must use the **2740 S. CAMPUS ADDRESS**. It is important for your vendor to use this address for on campus acceptance. Items processed with a purchase order that needs property tagging or oversized freight requiring a forklift, will generally require additional processing time prior to delivery to your department. It may be possible to receive purchase order items the same day if the quantity is low and/or the items can be processed quickly.

Merchandise that is **credit card orders, Foundation CPF's** (that are ***NOT*** **State Property**) and **non-purchase order items,** must use the 3801 W. TEMPLE ADDRESS. It is vital that the vendor also include **your** complete DEPARTMENT TITLE (Please do not use Cal Poly Receiving in the address). Please **do not use** building and/or room numbers.

Couriers such a UPS, FedEx, DHL etc. generally deliver to the 3801 W. Temple address between 10:30 am and 11:00 am. Since there is little processing involved with deliveries received at this address, your merchandise will generally be delivered same day it is received on campus. All merchandise marked for Next Day received by 11:00 am at either address will be delivered the same day they are received in Distribution Services.

Due to the large quantities of deliveries received by Distribution Services and limited storage space, please have adequate space available for your larger orders prior to the anticipated delivery date.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

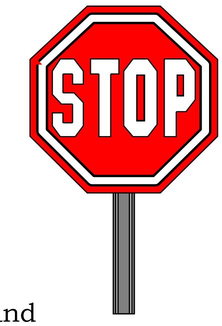
MEMORANDUM

DATE: April 1 2019

TO: Grant and Contract Recipients

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Taxes on Grant Expenditures



Listed below are a few items you need to keep in mind when incurring expenditures on grants and contracts.

1. <u>Out-of-State Purchases</u>:
Sales tax is required to be paid on all tangible items consumed within the State of California. When purchasing tangible products outside California, sales tax is required to be paid on the taxable amount of the purchased item. The current sales tax rate is 10.25 percent. If the vendor does not charge the current sales tax rate to your invoice, the grant will be charged this amount to account for this use tax.

2. <u>Out-of-State Services</u>:
If an independent contractor is doing services for your program and he/she does not reside within the State of California, we are required by the Internal Revenue Service to withhold 7 percent of the payment when the total services exceed $1,500.00 for the calendar year.

3. <u>Out-of-Country Services</u>: Same as out-of-state withholding, except Foundation is required to withhold 30 percent for services performed by an individual and/or business residing outside the United States in which there is not a tax treaty with the country.

4. <u>Payments to Independent Contractors</u>
When making payments to independent contractors, the Foundation's Services Invoice form must be completed. This form consists of their name, address, amount and type of service, and signatures. We must receive all information before we can release payment to the individual. If we are making payment for services performed, a vendor data record form must be completed prior to issuing payment.

If you have any questions regarding these issues, please give me a call at x2961.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: November 21, 2008

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Foundation Issued Credit Cards

Foundation is offering Foundation and University employees, excluding student employees, the convenience of having a Foundation issued credit card for all your grant and contract supply purchases and travel related expenditures. Instead of placing the order with the vendor, waiting for the vendor to send you an original invoice, then submitting a Disbursement Voucher, you can now pay for the supplies at the time the order is placed.

The *Purchasing Card Application Form* can be found on the Grants and Contracts website. As you are completing the form, please remember to indicate a Foundation Campus Program Account in addition to your grant account(s) under the Project Number field on the form. In addition, the single transaction limit cannot exceed $4,900. Please complete this form and submitted to Pauline Anongdeth in Foundation Financial Services.

Keep in mind, with the convenience of having a Foundation issued credit card comes responsibilities. Once a month, Foundation Financial Services will send you via e-mail reminding you that you need to enter your Foundation Account Number and budget/object code into the web-based GE P Card SAMS systems for all purchases you have made during the month.

This monthly transaction log must be completed electronically itemizing each and every transaction detailed on your monthly credit card accounting. In addition, original receipts/invoices must be attached for every transaction made.

For all travel-type expenditures made in advance of the trip paid with your credit card such as airline tickets and hotel reservations, a *Travel Expense Claim Form* must be completed and submitted with the monthly *Purchasing Card Transaction Log*. On the *Travel Expense Claim Form*, please complete the top-half of the form detailing the dates and purpose of the trip, and the total amount of the prepaid charges being made on your credit card under the Travel Advance Request section. This form needs to be signed by your supervisor. After you have returned from your trip, you will need to complete a *Travel Expenses Claim Form* detailing all the actual expenditures for your trip including per diem, actual hotel charges, airlines tickets, taxies, and other related expenditures. For the items that were paid by your credit card, please indicate the total amount under the line 13 of the form detailed as Prepaid Charges. Please remember that meal charges cannot exceed our current per diem rates.

Please remember, as you spend funds on our Foundation issued credit card, all expenditures must be in compliance and allowable for your project. Tests in determining whether an item is an allowable direct cost under compliance rules and regulations include:

1. Direct costs must be reasonable.
2. Costs must be necessary for the successful performance of the project.
3. Actions taken with respect to the expenditures are consistent with established University/Foundation policies and practices.
4. Costs must follow the principles and rules of federal compliance regulations (sponsored project compliance rules and regulations) and/or agency specific compliance.
5. Costs are incurred solely to advance and benefit the work under the sponsored agreement.
6. Costs aid in the successful completion of the project.
7. Costs are necessary to the overall operation of the sponsored agreement.

8. Costs must conform to any limitations or exclusions set forth in the principles of federal compliance regulations and/or specified in the approved contractual agreement or detailed in agency specific compliance.
9. Supply and equipment items must be ordered and received prior to the last day of your project.

The same rules apply to credit card purchases as apply to Disbursement Vouchers Forms. All meal transactions must accompany a memo detailing the names of each person who attended the meal and what business was discussed. A *Purchase Order Form* must be completed for all supply/equipment orders equal to or exceeds $10,000 prior to the order being placed with the vendor. You cannot split the vendor payment in order to avoid this policy. Sales tax will be charged to your account for all out-of-state purchases.

The Dean's office will be notified of any expenditures charged to the Foundation credit card which are not allowable to your Grant and Contract project as these expenditures will be charged to the Foundation campus program account indicated on the *Purchasing Card Application Form*.

The *Purchasing Card Transaction Log* must be completed electronically with original receipts for every transaction attached, signed by your supervisor, and turned in to Foundation Financial Services no later than the 25th of each month. Foundation will revoke your credit card privileges for monthly logs which are turned in late, do not have original receipts attached for every expenditure, or do not clear travel advance expenditures.

If you have any questions regarding the items in this document, please let me know. Thank you for your cooperation.

Cal Poly Pomona Foundation, Inc.
Corporate Purchasing Card Setup

For Faculty & Staff Use Only (Excluded Student)

:::CARDHOLDER INFORMATION:::

Cardholder Name	*Employer (X)*		*E-mail Address*
		University	
		Foundation	

Credit Limit $	*Single Transaction Limit $*

*Project Number # (*see note)*	*S.S #(last 4 digits)*

*For Grant and Contract accounts only, in addition to the grant account number, please indicate an alternative campus program account number.

Location	*Department*	*Phone #*

Cardholder is responsible for upholding Foundation's policy related to the use of the Purchasing Card. By accepting or using the Purchasing Card you agree to use it only for business purposes and in accordance with the Foundation's policies and procedures for the use of the card. The improper use of this card may result in disciplinary action, up to and including termination of employment. Foundation will utilize all available resources to collect any amounts owned by you, for any unpaid balances on the card, his/her designee or successor shall be charged, provided that related expenditures are allowed by the Project Agreement. Foundation may terminate your right to use the card at any time for any reason. Cardholder agrees to return the card to Foundation immediately upon termination of employment with Cal Poly Pomona University or Cal Poly Pomona Foundation Inc. The signed Expense Log, Cardholder Transaction Report, and all receipts must be returned to the Foundation Accounting (Bldg. #55) by the **25th of the month**. If Foundation accounting has not received supporting documentation from the cardholder for the purchases within sixty (60) day following the date of the first notice sent to the cardholder requesting such documentation (two additional emails will be sent to the cardholder during the sixty(60) day period with their supervisor copied on the email), your Purchasing Card will be cancelled and the amount of the undocumented purchases shall automatically be charged as advances/non-receipted to an unrestricted Foundation account number and disciplinary action may be taken.

:::APPROVAL:::

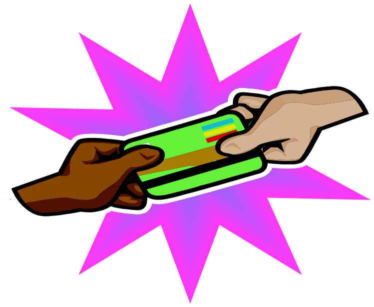
Cardholder's Signature	*Date*
Authorized/Principal Investigator Signature	*Email Address*
Signature (if applicable) - Dean Date	*Email Address*
Signature - V. Prsdnt/Exc. Dir/Designee Date	*Email Address*

:::FOR FOUNDATION USE ONLY:::

MasterCard# (last 8 digits) Date	*Foundation Approval Date*

Please forward the completed form to Pauline Anongdeth at Foundation Accounting Bldg#: 55, Telephone#: 909-869-2907, Fax#: 909-869-4549

TIPS TO AVOID FRADULENT CHARGES ON YOUR FOUNDATION ISSUED CREDIT CARD



Did you know that your project is responsible for charges that occur on your Foundation issued credit card before the card is reported lost or stolen? Below are the most common fraud types.

Lost/Stolen Fraud – This type of fraud is when the cardholder loses the card or the card is stolen. **A Foundation nongrant account will be responsible for any charges that occur on the credit card prior to the card being reported lost or stolen with Wells Fargo Bank**.

If your Foundation credit card is lost or stolen, please report it immediately by calling Wells Fargo at 1-800-932-0036. Outside of the United States call collect 1-415-243-1935 (you will find these phone numbers on the back of your card). We recommend having these phone numbers nearby and possibly add it to your cell phones.

Wells Fargo Bank recommends as a best practice, the cardholders should login and review transactions on a weekly basis. In addition, it is a good practice the cardholders ensure that their card is always in their possession.

Wells Fargo reminds the cardholders that if Wells Fargo suspect fraud on an account, one of their safeguards is to automatically restrict the card to travel purchases only. The primary reason for doing this is to prevent further fraudulent charges and not to impact a cardholder that may be traveling. If we were to completely restrict the card, a cardholder may not be able to check into a hotel, buy a plane ticket, etc.

Counterfeit/Skimmed Fraud – This type of fraud occurs when the fraud ring acquires a credit card number and duplicates the card. The cardholder typically does not know that the card has been compromised until they see fraudulent transactions on their statement or if the fraud is detected by the bank's fraud group. Any charges occurring as a result of this type of fraud are not Foundation's responsibility. They will be charged backed to the merchant or taken as a loss by Wells Fargo Bank.

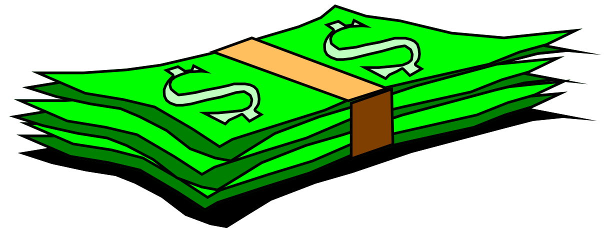
Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: April 1 2019



TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Purchase Order Requirements

Foundation has the following requirements for the procurement of goods and services relating to your grant and contract project.

- **Purchases under $10,000:** Foundation does not require the preparation of a Purchase Order Form for purchases of supplies and equipment to one vendor if the total order, including California sales tax of 10.25 percent and all necessary shipping costs, is less than $10,000. You may purchase the goods from the vendor without submitted a *Request for Purchase Order Form* prior to placing the order. If a vendor requires a purchase order in order to ship you the goods, the Foundation will prepare a Purchase Order Form based on the *Purchase Order Request Form* and price quotation obtained in writing from the vendor

- **Supplies/Equipment Purchases and Services equal to or exceeding $10,000 to $25,000:** A Purchase Order Form is required prior to placing the supply/equipment/service orders where the costs equals to or exceeds $10,000 to $25,000. The amount of the purchase must include California sales taxes of 10.25 percent and all necessary shipping costs. Per Grant Compliance Guidelines 2 CFR 200.67, for all supply/equipment/services where the total amount paid will equal to or exceed $10,000 to $25,000, **two** written bids must be attached to the Request for Purchase Order Form where the lowest bid must be awarded to that vendor. This form must be submitted prior to placing the order. You must attach the written quotes to the Request for Purchase Order Form before it is submitted to Foundation for processing. Keep in mind, you cannot split orders to one vendor to avoid this policy.

- **Purchases over $25,000 to $50,000 for Materials, Equipment, and Supplies:** A Purchase Order is required when you are purchasing equipment and supply items from one vendor and the total order, including the California sales tax rate of 10.25 percent and all necessary shipping costs, exceeds $25,000.00 to $50,000. A minimum of **three** written price quotations from outside vendors or a sole source memo must be attached to the *Request for Purchase Order Form* when it is submitted to Foundation Financial Services for processing. You are required to accept the lowest price bid out of the three vendors if you are not able to justify a sole source purchase. Once the Purchase Order Form has been prepared, you may place the order with the vendor.

- **Purchases over $50,000 for Materials, Equipment, Supplies, and Services:** A Purchase Order Form is required when you are procuring supplies and services and the total amount payable to the one vendor exceeds $50,000 on a yearly basis. A minimum of **three** written bids from providers must be attached. If the services necessary to your grant project can only be offered by one vendor due to the specialized services required, a sole source memo must be attached to the *Request for Purchase Order Form* when it is submitted to Foundation Financial Services for processing. Once the Purchase Order Form has been prepared, you may procure the services needed for your program.

In lieu of three bids, sole source purchases on a non-competitive basis require very clear written justification via a memo which is attached to the *Request for Purchase Order Form*. The written justification memo must clearly explain why this particular supply, equipment, or services is unique to your grant project and is only offered by one vendor.

Some of the items that must be explained in the sole source memo include and not limited to:

- Unique performance factors of products specified

Why is this particular piece of equipment or supply item unique for your project

- Why these factors are required
- Why are the unique features for this purchase necessary for the grant project's programmatic objectives
- What other products have been evaluated and rejected, and why
  Did you research similar pieces of equipment or supply items from other vendors and why were they rejected?
- Why is the chosen vendor the only vendor that offers this particular piece of equipment?
- How did you research other vendors to assure this vendor is the only vendor that offers the unique features needed to this grant and contract project?

An example of additional points that should be covered in the sole source memo is included in this memo. It is extremely important that the sole source memo is clear as to why you have chosen one vendor for purchases of goods and services exceeding these limits. Please use this template which should be signed by an authorized signor of the account and attached to the *Request for Purchase Order Form*.

For purchases of Apple Computer products at Bronco Bookstore in excess of $25,000, a sole source letter is not required to be attached to the *Request for Purchase Order*. The Bronco Bookstore is an authorized dealer of Apple Computer products and gives an educational discount on all purchases. Apple Computer has guaranteed that this discount is the lowest price given by the company on all sales of their products and is only given to faculty/staff/students of California State Polytechnic University, Pomona with proper identification.

Expenditures for grant and contract accounts meeting any of the specifications detailed above must follow this purchase order policy for the timely payment of invoices. If a purchase of equipment or supplies and/or services exceed the limits detailed in this memo and a *Purchase Order Form* was not prepared, the items will not be paid until compliance with this policy.

Foundation processing time for *Request for Purchase Orders* is approximately three days. Please plan accordingly.

As a reminder, orders to one vendor cannot be divided into two or more orders for the purposes of avoiding this policy. In addition, a purchase order does not pay the vendor for the goods received. A *Disbursement Voucher Form* must be submitted with an original copy of the vendor invoice attached after the goods are received.

CAL POLY POMONA FOUNDATION, INC.
JUSTIFICATION OF SOLE SOURCE/SOLE BRAND REQUEST

Request for Purchase Order No.____________________ Item/Description___________________

SOLE SOURCE:

JUSTIFICATION: In memo form, please attach further information and justification for line items 1 through 8.

1. Is item requested a <u>one-of-a-kind</u> item? Explain how this was determined.

2. Why was this particular product and/or vendor chosen?

3. Can purchase be made from another vendor? If not, why not? Is chosen vendor the manufacturer?

4. Do you require an item with unique features to successfully perform your service? Why are these specific performance features required to perform your function? What is the function?

5. What are the unique performance features of the product you have specified that are not available in any other brand or product? Itemize and describe each.

6. Are these features available in other models?

7. What other comparable models currently in production have been examined and why were they rejected? Provide brand name, model, vendor name, date and name of each person contacted. Complete "Telephone Quote Worksheet" on the reverse side of the requisition to purchase or attach written quotations from vendors.

8. To "match and inter member" is not normally an acceptable justification for sole brand. When you determine this is a justified factor which should be considered, the quantity, manufacturer, brand, model, and the necessity for "interfacing" must be provided.

I am aware of the Foundation requirements for competitive bidding and the established criteria for justification of sole source/sole brand purchasing. As an authorized department representative, I have gathered the required technical information and have made a concentrated effort to review comparable/equal equipment. This is documented in this justification. I hereby certify the validity of the information and feel confident this justification of sole source/sole brand meets the Foundation's criteria.

________________________ ______________ ____________________ __________
Requested by Date Account Authorized Signor Date

________________________ ______________
Approval by Foundation Accounting Date

CAL POLY POMONA FOUNDATION, INC.

REQUEST FOR PURCHASE ORDER

VENDOR		SHIP TO	

DATE	REQUIRED DELIVERY DATE	DEPARTMENT	TAXABLE		TERMS	
			YES	NO		
QUANTITY	**DESCRIPTION**	**PROJECT/OBJECT CODE**		**UNIT PRICE**	**AMOUNT**	
				TOTAL	-	

***Required Information--Must be completed (as applicable) for this request to be processed**

☐

☐

☐ ***The above order contains hazardous materials or chemicals**

*REQUESTED BY/EXT.

*AUTHORIZED SIGNER

*Ext.

WRPO 28275

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: April 1, 2010

TO: Grant and Contract Account Holders

FROM: Debbie Linthicum

RE: Interdepartmental Transfer Forms (IDT)

When a project is required to make a payment or transfer funds from one Foundation account to another, an *Interdepartmental Transfer Form (IDT*) must be completed. An *IDT* form provides payment for purchases made and services provided by a Foundation auxiliary unit including the Bookstore, any Food Service operation, and Kellogg West Conference Services.

An *IDT* form can also be used to transfer expenditures from one Foundation account to another. However this practice is recently becoming a heavily reviewed item and a common disallowed cost in audits occurring around the county. This practice should be done only when an error has occurred in charging a particular expenditure to a grant account or to transfer costs that were incurred before the grant account was opened. The grant and contract compliance rules state: *Any costs allocable to a particular Foundation account may not be shifted to another grant account in order to meet deficiencies caused by overruns or other fund considerations, to avoid restrictions imposed by the term of the particular grant project, or for other reasons of convenience. In addition, transfers of costs from one budget period to the next solely to cover overruns are not allowable.* As a result, expenditures being transferred into one grant account due to cost overruns in another grant project will not be approved.

If it is discovered that expenditure(s) has been charged to your grant account, the IDT form should be used. **Backup documentation must be attached to every IDT submitted for a grant and contract account or it will be returned.** Expenditures may be transferred into a grant and contract account from another Foundation **only** if backup documentation from the original charges is submitted with the *IDT* form. This includes the original Disbursement Voucher Form or P Card Log and all backup invoices which were attached when the original Disbursement Voucher Form or P Card Log was submitted.

In addition, compliance regulations require that the *IDT* form must include a notation explaining why the expenditure(s) being transferring into the account relate to the project. An explanation stating that the transfer is to correct an error or to transfer to a correct project is not sufficient and will not be accepted. The notation must include an explanation as to why the transfer is necessary, and an explanation of why the expense should be transferred to the new account. There must be a clear explanation as to why the expenditure needs to be transferred to the new grant account in order to defend the transaction to an auditor and avoid a disallowed cost.

For the transfer of salary and benefit costs for Foundation employees only, a revised *Effort Certification Form* must also be completed, signed, and attached to the *IDT* form. The required *Effort Certification Form* is attached to this document. All items in red need to be completed based on your grant project. In addition, a copy of the original Foundation Earnings Registers in which the salary and benefit costs were calculated must be attached to the *IDT* form. The transfer of salary and benefit costs relating to University employee release time cannot be processed via this process. Please contact your Dean's Office if this is required.

Cost transfers occurring more than 90 days after the expenditure date will not be accepted. Please review your grant expenditure reports on a regular basis to assure all costs are recorded to the account.

As a reminder, an *IDT* form cannot be used to transfer funds from a Foundation account to a University and/or ASI account. The *IDT* form is used in lieu of a payment check and records the transaction through an accounting entry by Foundation. Since the University and ASI are a separate entity from Foundation, a payment check must be issued for these entities. If you have any questions regarding these procedures, please give me a call at x2961. Thank you for your assistance with these important compliance requirements.

CAL POLY POMONA FOUNDATION, INC

WI ________________

INTERDEPARTMENTAL TRANSFERS

TYPE OF TRANSACTION

DATE OF TRANSACTION

QUANTITY	ITEMIZATION OR DESCRIPTION	UNIT COST	TOTAL COST	PROJECT-ACCOUNT	(DEBIT)	(CREDIT)
				DEPT. CHARGED		
				DEPT. CREDITED		

I certify that this expenditure benefits the educational mission of the CSU as defined by the respective statutes, Board of Trustee policy, and campus policy.

		FDN. ACCTG USE ONLY		
DEPT. CHARGED	PROJECT NAME			
	APPROVAL			
DEPT. CREDITED	PROJECT NAME			
	APPROVAL	TOTALS		

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts116

MEMORANDUM

DATE: April 1, 2008

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Payments to Consultants

For all consultant services where the payment will total less than or equal to $5,000, a *Services Invoice* form must be completed to pay the individual for their services. **This form has been revised and does not require the completion of a Disbursement Voucher Form.** All the information needed to pay the consultant is now included on the revised one-page Service Invoice Form. To pay the consultant for their services, please complete all the fields on the form, the consultant and the Foundation Account Authorized Signer sign the form, and submit to Foundation Financial Services for processing.

Just a reminder, for consultant payments in excess of $5,000.00, an *Agreement for the Performance of Consultant Activity for Services in Excess of $5,000.00* form must be completed consisting of the two-page form and the two-page question form.

After verbal agreement on the work to be accomplished and the payment terms is reached between the Foundation account holder and the proposed consultant, the *Agreement for the Performance of Consultant Activity for Services in Excess of $5,000.00* form is completed, signed by a Foundation account authorized signor, and submitted to the consultant for review and signature. This would include the Foundation account authorized signor completing the two pages of questions attached to the form by answering yes or no. The consultant signs the agreement and the Foundation account holder returns all four completed pages of the form to Foundation Employment Services Department for approval. This form must be submitted to Foundation Employment Services at **least five days before work is scheduled to begin.** If the person can be classified as a consultant, a fully-executed document will be returned to the account holder by Foundation Employment Services within two days and the consultant can begin work on the project.

After approval of the form by Foundation Employment Services, the consultant will need to submit invoices where a *Disbursement Voucher Form* and the *Agreement for the Performance of Consultant Activity in Excess of $5,000* form signed by Foundation Employment Services will need to be submitted in order for Foundation to process the payment. Under no circumstances will services be paid in advance of work not completed.

For services in excess of $5,000, work shall not commence under this agreement until a fully executed document complete with Foundation Human Resource Department approval has been received by the consultant and the consultant has been given approval to proceed. Any work performed by the contractor prior to the date of approval of the *Agreement for the Performance of Consultant Activity for Services in Excess of $5,000.00* shall be considered as having been performed at the contractors own risk for which the Foundation is not obligated to pay.

As a reminder, payments cannot be divided for the purposes of avoiding this policy. If a pattern of sending in these agreements to Foundation after the work is performed is noted, the Foundation's Chief Financial Officer and account holder will meet to resolve this issue. It is the Foundation account holder's responsibility to closely monitor the work of any contractor to be certain that the work is being performed in accordance with the requirements of the agreement.

A Vendor Data Record Form (FS01105F) must be completed by all new vendors and faxed directly from the vendor to Lily Maciel in Foundation Grants and Contracts at (909) 869-4549. **Do not email these forms.**

CAL POLY POMONA FOUNDATION, INC.

PAYMENT OF INDIVIDUAL SERVICES LESS THAN OR EQUAL TO $5,000

Foundation Account Number:______________________________ Vendor Number:______________
(Foundation Use Only)

Individual Name: ____

Address: ____

____

____

All dates services were performed: **(exact dates)** ____

Detailed description of services performed (**required):** ____

____

Total Amount Due:__________ Less Out-of-State Withholding Tax $(__________) Net Payment Amount__________
(Foundation use only--if applicable) 190010-2232

Certification:

I certify that the services detailed above have been performed and are in compliance with the terms detailed above. In addition, the services performed benefited the educational mission of the CSU and meets the policy requirements of the Education Code Section 89904.6, Section 9, Policy on Expenditure of Funds for CSU Auxiliary Organizations.

Individual acknowledges they are an independent contractor, and with respect to solely these services, I understand that I will not become, as a result of this Agreement, an employee of the California State Polytechnic University Pomona or Cal Poly Pomona Foundation, Inc., (regardless of the fact that I may already be an employee of the University) because, I am not subject to control and direction of Cal Poly Pomona Foundation (Foundation) as to the details and means for accomplishing the results of the service detailed above. Individual so certifies that she/he is not an employee of the Federal Government or an employee of any other project sponsored by a Federal Agency, thereby not receiving dual compensation for the services provided herein.

Individual agrees to indemnify, defend, and save harmless Cal Poly Pomona Foundation, Inc., California State Polytechnic University, Pomona, State of California, Trustees of the California State University, and its officers, employees, volunteers, and agents from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, material men, laborers and any other person, firm or corporation furnishing or supplying work, services, materials or supplies in connection with the performance of said services and from any and all claims and losses accruing or resulting to any person, firm or corporation was injured or damaged by the Individual in the performance of this agreement.

Any and all proprietary information disclosed to the Individual shall remain confidential and individual agrees it will not disclose or publish such information for a period of two (2) years following the payment of services relating to this agreement.

Consultant hereby acknowledges that Foundation is subject to the Richard McKee Transparency Act of 2011.

Individual shall not employ or use the name of Cal Poly Pomona Foundation, Inc. and/or California State Polytechnic University, Pomona in any promotional materials, advertising, or in any other manner without the prior written express permission of Cal Poly Pomona Foundation, Inc.

This agreement is acknowledged to have been made and shall be construed and interpreted in accordance with the laws of the State of California. In the event that a court of competent jurisdiction holds any provision of this agreement to be invalid, such holding shall have no effect on the remaining provisions of this agreement, and they shall continue in full force and effect.

Individual shall not utilize any information, not a matter of public record, which is received by him/her by reason of this agreement, for pecuniary gain not contemplated by the terms of this agreement, regardless of whether the Individual is or is not under contract at the time such gain is realized. The report survey or other product developed by the individual pursuant to this agreement is the property of Cal Poly Pomona Foundation, Inc. Breach of this provision will make the contract voidable at the Foundation's option, and the Individual shall be liable for any other damages incurred by the Foundation as the result of such breach.

Individual agrees that all services were performed in the State of California. Out-of-state Individuals understand that all payments in excess of $1,500 are subject to State of California Out-of-State Withholding regulations.

Individual's Signature: ______________________________ ____________
Date

Foundation Account Authorized Signer: ______________________________ ____________
Date

CAL POLY POMONA FOUNDATION, INC.

"Quality Service Supporting Quality Education"

AGREEMENT FOR THE PERFORMANCE OF CONSULTANT ACTIVITY FOR SERVICES IN EXCESS OF $5,000.00

Foundation Account No.: ____________________ Date: ____________________

Project Title: ____

Type of Service: ______________________________ Consultant __ Lecturer ________ Other Specified Bel

Name: ____

Address: ____

____

Actual dates services are to be performed: ______________________________

Detailed description of services to be performed (**required**):

Fee is calculated at:

Agreement of Consultant:

I agree to perform the services described above at the rate indicated. I understand that I am not now and will not become, as a result of the Agreement, an employee of the California State Polytechnic University, Pomona or Cal Poly Pomona Foundation, Inc., because I follow an independent trade or profession, and will not be subject to control and direction of said Foundation as to the details and means for accomplishing the anticipated result of my service.

A. Payment will be made as per agreement. Consultant shall submit an invoice, in arrears, containing a certification of the type of services performed, and a statement that all required work has been completed, as well as a written report of the required work as agreed to herein.

B. The Consultant agrees to indemnify, defend, and save harmless Cal Poly Pomona Foundation, Inc., California State Polytechnic University, Pomona, and its officers, employees, and agents from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, materialmen, laborers and any other person, firm or corporation furnishing or supplying work, services, materials or supplies in connection with the performance of this agreement and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by the Consultant in the performance of this agreement.

C. The Consultant and the agents and employees of the Consultant, in the performance of this agreement, shall act in an independent capacity and not as employees or agents of the aforementioned Foundation.

D. Without the written consent of the Foundation, this agreement is not assignable by the Consultant either in whole or in part.

E. Any unreasonable delay in processing this agreement will cause it to be null and void.

F. Alterations or variations of the terms of this agreement shall be invalid unless made in writing and signed by each party that is signatory hereto, and no verbal understanding or agreement not incorporated herein, shall be binding on any of the parties signatory hereto.

G. Work shall not commence under this agreement until the independent consultant has received a fully executed agreement and the consultant has been given approval to proceed. Any work performed by the contractor prior to the date of Foundation's approval of this form shall be considered as having been performed at their own risk for which the Foundation is not obligated to pay.

H. Any proprietary information disclosed by one party to the other shall be disclosed in writing and designated as proprietary, or if disclosed orally, shall be confirmed in writing and designated as proprietary within thirty (30) days of such disclosure. The consultant receiving proprietary information agrees to use the proprietary information only for the purpose of this agreement and further agrees that it will not disclose or publish such information. The obligation of confidentiality imposed by this revision shall expire two (2) years following the expiration or termination of this agreement.

I. Performance under this agreement may be terminated by either party upon fifteen (15) days written notice. Upon termination, consultant will be reimbursed for all services up to the date of last payment thru date of t termination.

J. Consultant shall not employ or use the name of Cal Poly Pomona Foundation, Inc. or California State Polytechnic University, Pomona in any promotional materials, advertising, or in any other manner without the prior written express permission of Cal Poly Pomona Foundation, Inc.

K. This agreement is acknowledged to have been made and shall be construed and interpreted in accordance with the law of the State of California. In the event that a court of competent jurisdiction holds any provision of this agreement to be invalid, such holding shall have no effect on the remaining provisions of this agreement, and they shall continue in full force and effect.

The Consultant shall not utilize any information, not a matter of public record, which is received by him by reason of this agreement, for pecuniary gain not contemplated by the terms of this agreement, regardless of whether the Consultant is or is not under contract at the time such gain is realized. The report survey or other product developed by the contract pursuant to this agreement is the property of the Foundation. Breach of this provision will make the contract voidable at the Foundation's option, and the Consultant shall be liable for any other damages incurred by the Foundation as the result of such breach.

In signing this agreement, Consultant certifies that she/he is not an employee of the Federal Government or an employee of any other project sponsored by a Federal Agency, thereby not receiving dual compensation for the services provided herein.

I certify that I am not a Cal Poly Pomona Foundation, University, UET, or ASI employee or student

Consultant's Signature: ______________________________

To be completed by Foundation Account Holder:

Certification and justification regarding the need for these services:

I hereby authorize the obligation of funds (indicate above), I have reviewed pages 3 and 4 of this agreement and agree with the answers, and certify to the following conditions which I understand the requested performance agreement must meet:

a. No University, Foundation, UET, or ASI employees assigned to the project can perform the services describe above.

b. The objective selection process for the above named consultant include the following steps:

____

____

c. The fee is calculated as follows:

____

Foundation Account Authorized Signor: ______________________________

Foundation Human Resource Approval:

Human Resource Approval Signature: ______________________________

PLEASE ANSWER YES/NO TO THE FOLLOWING QUESTIONS:

1) **INSTRUCTIONS:** Do you have the right to give the worker instructions about when, where, and how to work? YES/NO

A worker who is required to comply with other persons' instructions about when, where, and how he or she is to work is ordinarily an employee. This control factor is present if the person or persons for whom the services are performed have the right to require compliance with instructions.

2) **TRAINING:** Do you train the worker to do the job in a particular way? YES/NO
Training a worker by requiring an experienced employee to work with the worker, by corresponding with the worker, or by requiring the worker to attend meetings, indicates that the person or persons for whom the services are performed want the services performed in a particular manner. This would indicate an employer-employee relationship.

3) **INTEGRATION:** Are the worker's services so important to your business that they have become a necessary part of the business? YES/NO

Integration of the worker's services into the business operations generally shows that the worker is subject to direction and control. When the success or continuation of a business depends upon the performance of these services, the workers who performed those services must be subject to a certain amount of control by the owner of the business and required to be classified as an employee.

4) **SERVICES RENDERED PERSONALLY:** Must the worker provide the services personally as opposed to delegating tasks to someone else? YES/NO

If the services must be rendered personally by the worker and cannot be delegated to someone else, this worker is under the control of the person for whom the services are performed. This would indicate an employer-employee relationship.

5) **HIRING, SUPERVISING, AND PAYING ASSISTANTS:** Do you hire, supervise, and pay the worker's assistants? YES/NO
If the person or persons for whom the services are performed hire, supervise, or pay the outside worker's assistants, then this indicate control over the performance of the job and an employer-employee relationship. An independent control takes full responsibility for his or her own assistants.

6) **CONTINUING RELATIONSHIP:** Is there an ongoing relationship between the worker and yourself where services are performed frequently, but irregularly? YES/NO

A continuing relationship between the worker and the person or persons for whom the services are performed indicates an employer-employee relationship exists. An independent contract's relationship is usually a set period of time.

7) **SET HOURS OF WORK:** Do you set the worker's hours? YES/NO
The establishment of set work hours by the person or persons for whom the services are performed indicates control and an employer-employee relationship. A consultant has the freedom to begin and end work each day.

8) **FULL TIME REQUIRED:** Must the worker spend all of his or her time on your job? YES/NO

If the worker must devote substantially full time to the business of the person or persons for whom the services are performed, that person or persons has control over the amount of time the worker spends working. A consultant, on the other hand, is free to work when and for whom he or she chooses.

9) **DOING WORK ON EMPLOYER'S PREMISES:** Must the individual work on your premises and do you control the route or location where the work must be performed? YES/NO

If the work is performed on the premises of the person or persons for whom the services are performed, that factor suggests control over the worker. If work is done off premises such as the worker's office, this indicates some freedom from control. However, this fact by itself does not indicate that worker is not an employee. The importance of this factor depends on the nature of the service involved and the extent to which an employer generally would require that employees perform such services on the employer's premises. Control over the place of work is indicated when the person or persons for whom the services are performed have the right to compel the worker to travel a designated route, to canvass a territory within a certain time, or to work at specific places as required.

10) **ORDER OR SEQUENCE SET:** Do you have the right to determine the order in which services are performed? YES/NO

If a worker must perform services in the order or sequence set by the person or persons for whom the services are performed, that factor shows that the worker is not free to follow the worker's own pattern of work but must follow the established routines and schedules. Often, because of the nature of the occupation, the person or persons for whom the services are performed do not set the order of the services or set the order infrequently. It is sufficient to show control, however, if such person or persons retain the right to do so.

11) **ORAL OR WRITTEN REPORTS:** Must the worker give you reports accounting for his or her actions? YES/NO

A requirement that the worker submit regular or written reports to the person or persons for whom the services are performed indicates a degree of control.

12) **PAYMENT BY HOURS, WEEK, MONTH:** Are you going to pay this person by the hour/week/month? YES/NO

Payment by the hour, week, or month generally points to an employer-employee relationship provided that this method of payment is not just a convenient way of paying a lump sum as an agreed upon cost of a job. Payments made by the job or on a straight commission generally indicate that the worker is a consultant.

13) **PAYMENT OF BUSINESS AND/OR TRAVELING EXPENSES:** Do you pay the worker's business or travel costs? YES/NO

If the person or persons for whom the services are performed ordinarily pays the worker's business and/or traveling expenses, the worker is an employee. An employer generally retains the right to regulate and direct the worker's business activities.

14) **FURNISHING OF TOOLS AND MATERIALS:** Do you provide the worker with equipment, tools, or materials? YES/NO

If the person or persons for whom the services are performed furnish significant tools, materials, and other equipment, an employer-employee relationship exists.

15) **SIGNIFICANT INVESTMENT:** Does the worker have an investment in the equipment and facilities used to do the work? YES/NO

If the worker invests in his or her own facilities (such as the maintenance of an office rented at fair value from an unrelated party), then the worker is a consultant. On the other hand, lack of investment in facilities indicates dependence on the person or persons for whom the services are performed and, accordingly, the existence of an employer-employee relationship.

16) **REALIZATION OF PROFIT OR LOSS:** Can the worker make a profit or suffer a loss as a result of the work, aside from the money earned from the project? YES/NO

A worker who can realize a profit or suffer a loss as a result of the worker's services (in addition to the profit or loss ordinarily realized by employees) is generally a consultant. For example, if the worker were subject to a real risk of economic loss due to significant expenditures such as salary payments to unrelated employees, this would indicate consultant status. However, the risk that a worker will not receive payment for his or her services is common to both consultants and employees. This alone does not constitute a sufficient economic risk to support treatment as a consultant.

17) **WORKING FOR MORE THAN ONE FIRM AT A TIME:** Does the person work for more than one company at a time? YES/NO

A worker who provides services for a multiple of unrelated persons or firms at the same time generally indicates that the worker is a consultant.

18) **MAKING SERVICE AVAILABLE TO THE GENERAL PUBLIC:** Does the person make his services available to the general public? YES/NO

The fact that a worker makes his or her services available to the general public on a regular and consistent basis indicates a consultant relationship.

19) **RIGHT TO DISCHARGE:** Can you fire the worker? YES/NO

An employer exercises control through the threat of dismissal. A consultant, on the other hand, cannot be fired so long as the consultant produces a result that meets the contract specifications.

20) **RIGHT TO TERMINATE:** Can the worker quit at any time without incurring liability? YES/NO

If a worker has the right to end his or her relationship with the person for whom the services are performed at any time he or she wishes without incurring liability, that factor indicates an employer-employee relationship.

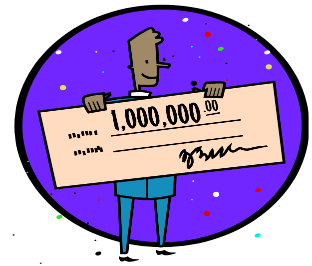
COMPLETED BY: ____ DATE:______________________

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM



DATE: May 28, 2014

TO: Grant and Contract Recipients

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Social Security and Tax Identification Numbers

Effective immediately, all references to social security numbers and tax identification numbers have been removed from Foundation forms.

If there is a vendor which your grant has not paid before and the expenditures relates to consulting services to your grant project (speakers, evaluators, outside companies), the Vendor Data Record Form (FS01105F) will be required to be completed by the vendor and faxed to Foundation Grants and Contracts. The fax number that the form should be sent to is (909) 869-4549 and the vendor needs to address the fax to Lily Maciel to assure she gets the form.

If this form is not faxed to us directly from the vendor at the time of payment, the payment will be held. If the form is not faxed to us in a timely manner, the payment forms will be returned to you to coordinate with the vendor.

These forms **cannot** be emailed as they contain sensitive information, it must be faxed.

Just a reminder, in order to pay the individual for services, the *Service Invoice Form* and/or *Agreement for the Performance of Consultant Activity for Services in Excess of $5,000.00* form must be submitted in order to issue a payment.

CAL POLY POMONA FOUNDATION, INC.

VENDOR DATA RECORD

(Required in lieu of IRS W-9 when doing business with the State of California)

Vendor #

↑ **For Foundation Use Only** ↑

NOTE: Governmental entities, federal, state, and local (including public school districts) are not required to submit this form.

1

PLEASE RETURN TO: → → → →

DEPARTMENT/OFFICE
Cal Poly Pomona Foundation. Inc

STREET ADDRESS
3801 W Temple Ave., Bldg 55
Attn: Accts Payable

CITY, STATE, ZIP CODE
Pomona, CA 91768

TELEPHONE NUMBER **(909) 869-2907** FAX NUMBER **(909) 869-4549**

PURPOSE: Information contained in this form will be used by Cal Poly Pomona Foundation to prepare information Returns (Form 1099) and for withholding on payments to nonresident vendors. Prompt return of this fully completed form will prevent delays when processing payments.

(See Privacy Statement on reverse)

2

VENDOR'S BUSINESS NAME

Vendor PHONE NUMBER
( ) -

SOLE PROPRIETOR – ENTER OWNER'S FULL NAME HERE (Last, First, M.I.

MAILING ADDRESS (Number and Street or P.O. Box #)

(City, State and Zip Code) *EMAIL ADDRESS

3

VENDOR ENTITY TYPE

☐ MEDICAL CORPORATION (Including dentistry, (Podiatry, psychotherapy, optometry, chiropractic, etc.)

☐ ESTATE OR TRUST

☐ EXEMPT CORPORATION (Nonprofit)

☐ PARTNERSHIP

☐ ALL OTHER CORPORATIONS

☐ INDIVIDUAL/SOLE PROPRIETOR (Must provide Social Security #)

NOTE
-Government entities
- Pomona employee
- Pomona students
are not required to submit this form.

4

VENDOR'S TAXPAYER I.D. NUMBER

SOCIAL SECURITY NUMBER REQUIRED FOR INDIVIDUAL/SOLE PROPRIETOR BY AUTHORITY OF REVENUE AND TAXATION CODE SECTION 18646 (See reverse)

FEDERAL EMPLOYERS IDENTIFICATION (FEIN)

☐☐ - ☐☐☐☐☐☐☐

IF VENDOR ENTITY TYPE IS A CORPORATION, PARTNERSHIP, ESTATE OR TRUST, ENTER FEIN.

SOCIAL SECURITY NUMBER / ITIN

☐☐☐ - ☐☐ - ☐☐☐☐

IF VENDOR ENTITY TYPE IS INDIVIDUAL OR SOLE PROPRIETOR, ENTER SSN.
ITIN / SSN IF RESIDENT OF FOREIGN COUNTRY

NOTE

Payment will not be processed without an accompanying taxpayer I.D. number.

5

VENDOR RESIDENCY DECLARATION For Tax Purposes

All Payments Made By The Foundation Are Subject To Federal and California State Tax Laws

Federal Income Tax Withholding Status (Applies to Individuals Only) **:**

I Am A US Citizen OR I Am A Permanent Resident Alien

☐ Yes

☐ No ***If No is checked, please contact Cal Poly Pomona Tax Specialist, ext. 2611**.

NOTE:
Prior to making payments to foreign citizens, United States tax laws require all employers to perform a tax analysis with respect to country of citizenship to determine residency for Federal tax purposes.
(Please See reverse)

California State Tax Withholding Status (Applies to All Vendors) **:**

☐ California Resident Qualified to do business in CA or have a permanent place of business in CA.

☐ California Nonresident (See Reverse). Payments to CA nonresidents may be subject to state taxes.

☐ A Waiver from CA state tax withholding is attached (From the California Franchise Tax Board).

☐ All services related to this payment were performed OUTSIDE of the state of California.

NOTE:
An estate is a resident if decedent was a California resident at time of death. A trust is resident if one or more trustees are CA residents. ***Rules for assessing State taxes differ significantly from Federal tax rules.***
(Please See reverse)

6

CERTIFYING SIGNATURE

I hereby certify under penalty of perjury under the laws of the State of California that the information provided on this document is true and correct. If my residency status should change, I will promptly inform you.

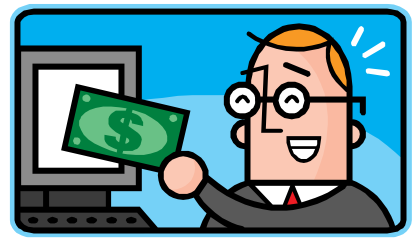
AUTHORIZED VENDOR REPRESENTATIVE'S NAME (PRINT)	TITLE	
SIGNATURE	**DATE**	**TELEPHONE NUMBER**

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM



DATE: June 1, 2016

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Participant Stipend Payments

Who is a participant?
A participant is an individual who is receiving the benefits of the activity funded by a grant and contract project. The grant activities could include workshops, conferences, training seminars, or other instructional/information sharing funded by the granting agency.

What is a stipend?
A stipend is an allowance paid to a participant to help defray personal maintenance costs while participating in the sponsored project. It is intended to free up the individual to undertake a role in connection with the project's educational studies or research where the project does not derive any benefits from the participant's involvement. The participant has no obligation to perform any assigned tasks relating to the project. The stipend is a form of aid provided to support the participant's education/training.

Stipend payments cannot be paid for services rendered or work performed. Any amount paid for work performed is considered a wage under federal regulations and defined as employment. This includes payment for teaching, research or other services rendered as a condition for receiving the payment. If the individual completed a certain set of work-related tasks in order to receive the payment, the payment is not a stipend.

In order to help determine whether or not work was performed, it is appropriate to ask if the grant project received benefit for the individual's activity. If the grant received benefit from the individual's activity, the payment is most likely a wage which must be paid through Foundation Employment Services in accordance with the standard employee policies.

Per federal compliance regulations 2 CFR 200.75, participant support costs, including stipend payments, are allowable payments to grant project participants and are not allowable to be paid to employees.

In addition, per federal compliance regulation 2 CFR 200.456, agencies prohibit the payment of participant support costs including stipends without prior approval. As a result, participant support costs must be reviewed during the Preaward phase where these amounts must be included in the budget. In addition, all stipend payment requests require pre-approval by Dennis Miller in Foundation Employment Services. Dennis will review each stipend request to help ensure the payment is in compliance with these federal regulations.

All approved stipend payments will be made via submission of a *Fellowship and Participant Stipend Payment and Acknowledgement Form* (Form Number FS04111F).

NOTE: A vendor data record form is not required for this type of payment.

CAL POLY POMONA FOUNDATION, INC.

Fellowship and Participant Stipend Payment & Acknowledgement

Please click this link for the [number generator](#) and enter it here: ____________ Form/Document#

Vendor Number: ______________ *Foundation Account number:*______________- *7320*
(Foundation Use Only) (Enter Project No.)

Period of Award: ______________________________________ Amount of Award:______________

The FOUNDATION processes payments to fellows and participant stipend recipients with this signed Notice of Acknowledgement through the accounts payable department. I hereby certify that I have read the below information and understand that I am responsible for reporting any taxable fellowship or participant stipend award to the IRS.

Recipient's Name:			
Address:			
City:		State:	Zip:
Recipient Signature:			Date:
Approver Signature:			Date:
Employment Services Signature:			Date:
Foundation Approval			Date

If you are a nonresident alien, please discuss your status and income tax withholdings with the University's Nonresident Alien Tax Specialist (NRAT) who can be reached at (909) 869-2611 and obtain their signature and the following withholding amounts for the FOUNDATION to withhold:

NRAT Signature:		Date
Federal withholds:	State withholds:	Net amount of award:

CAL POLY POMONA FOUNDATION, INC.
Fellowship and Participant Stipend Payment and Acknowledgement

A Fellowship and Participant Stipend is generally an amount paid for the benefit of the individual to aid in the pursuit of the recipient's academic study or fellow-initiated creative efforts. A participant is an individual who is *receiving* a benefit from a workshop, conference, seminar, symposium or other short-term instructional or information sharing activity, and is not the provider of these activities.

If you are the recipient of a fellowship or participant stipend award, all or part of the amounts received may be tax-free. Fellowship and Participant Stipend awards are treated as tax-free if the following conditions are met:

- Undergraduate or graduate student must be a candidate for a degree at the UNIVERSITY;
- Amounts received are used for tuition and fees required for enrollment or attendance at the educational institution, or for fees, books, supplies, and equipment required for courses at the educational institution, referred to as “support payments”; and
- The award does not represent payment for teaching, research, or other services required as a condition for receiving the payment. ***Exceptions.*** The payment for teaching, research, or other services are tax-free if the funds are received under:
  - The National Health Service Corps Scholarship Program, or
  - The Armed Forces Health Professions Scholarship and Financial Assistance Program.

Fellowship or participant stipends are taxable if the funds are used for incidental expenses, such as room and board, travel, and optional equipment.

Fellowship and participant stipend payments are nonwage payments because the recipient is not performing a service for the benefit of the project. In many cases, a fellowship or participant stipend award is paid in a summer outreach and enrichment program. Service refers to teaching, research as part of an award from a grant or contract, or other work that the recipient must agree to perform in in exchange for the payment. Service does not include creative efforts initiated by the recipient, academic study primarily for the training of the participant, or such incidental activities. If the terms of the award require the recipient to provide a service, the person must be an employee of the Foundation and paid a salary or wage for the service provided.

The Foundation must withhold federal income tax from fellowship and participant stipend payments to nonresident aliens unless the person can claim partial or total exemption. A nonresident alien who claims a partial or total exemption from federal income taxes is responsible for providing documentation in support of his or her claim.

The Foundation must review all claims for exemption on a case by case basis to determine the amount qualifies as a stipend, and if any of the payment that is exempt from income tax. Penalties and interest can be severe for not following Internal Revenue Service (IRS) withholding and reporting requirements. The payment for such liabilities is the responsibility of the Foundation.

The Internal Revenue Service (IRS) does not require the FOUNDATION to report fellowship or participant stipend award payment amounts to either the recipient or the IRS. It is entirely the responsibility of the recipient to report any taxable income. We encourage you to review IRS Publication 970 – Tax Benefits for Education and consult with a professional tax advisor.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: April 1, 2014

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Student Scholarship Payments Paid from Grant and Contract Accounts

Frequently, granting agencies have eligibility requirements in order for Cal Poly Pomona students to receive scholarship payments paid from grant and contract accounts.

These requirements can include:

1. Be a United States citizen, national, or permanent resident alien.
2. Have financial need, defined for undergraduate students by the United States Department of Education rules for Federal financial aid (PELL), or for graduate students, defined as eligibility for Graduate Assistance in Areas of National Need (GANN).
3. Be enrolled full-time in certain degreed programs within the University.
4. Be enrolled as a junior or senior within the University.

As a result, all grant and contract accounts **must** pay scholarships to Cal Poly Pomona students through the University's Office of Financial Aid. The Office of Financial Aid will verify all eligibility requirements to assure compliance with the many rules and regulations affecting these payments per the requirements of the specific grant program.

The project director of the grant program will complete and approve the University Financial Aid's Scholarship Award Form and submit the documents to Office of Financial Aid per the example of the next page.

University Financial Aid will review the completed and approved form including any eligibility requirements for the particular grant program and will create the eligibility memo detailing that all student meet the particular requirements of that grant program.

After the scholarship document and all eligibility requirements have been reviewed and approved by Financial Aid, Financial Aid will send the Director of Grants and Contract an email requesting approval for payment.

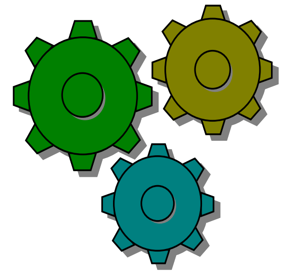
After the Grants and Contracts Directors approval of the scholarship documents, University Financial Services will send an invoice to Foundation for these scholarships and the Foundation will pay the University directly for the scholarship payments. Foundation Grants and Contract won't pay the invoice until the scholarships have been approved by University Financial Aid.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM



DATE: June 1 2016

TO: Grant and Contract Recipients

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Equipment Purchased from Grant/Contract Funds

Equipment purchased from a grant and contract account is intended for the exclusive use of the project during the period of the award. In general, the Principal Investigator is responsible for all property purchased and for establishing property maintenance procedures based on manuals and instructions furnished by manufacturers. Principal Investigators should take reasonable and prudent precautions to insure the security of project equipment. Equipment should be properly stored in locked facilities when not in use. Per Executive Order 1104 dated May 13 2016, lost, stolen, or destroyed property must be reported to the Office of Grants and Contracts the next business day after any incidence of actual or suspected theft. If the equipment is moved off campus, the Principal Investigator must send written notification to the Office of Grants and Contracts at Foundation describing the circumstances including why it was necessary, where it will be located, how long it will be off campus, what security measures are being taken, and if the equipment is located at an individual's home, that the equipment is covered by a homeowner's insurance policy.

The value of equipment is one item with a value of $5,000.00 or more. All tangible purchases meeting this definition must be charged to object code 7105, Equipment Purchases. Nothing else should be charged to this account.

Foundation is listed as the "custodian" of the property until project termination. The equipment belongs to neither the Foundation nor the University until the grant is complete and a final report has been accepted. As a result, the Foundation must keep records and inventory all equipment purchased from sponsored programs. These records include issuing an individual property asset number for each item purchased, and documenting the description of the item, the vendor it was purchased from, its location, the acquisition date, and the cost of the property. Foundation conducts equipment inventories verifying property records and the location of the equipment every two years.

At the end of the project, the equipment is either transferred to the University or returned to the sponsoring agency. If the equipment will transfer to the University, University Procurement will be notified with an itemized listing of equipment.

With regards to computers purchased with grant and contract funds, please review the campus policy relating to the appropriate use of information technology which can be found on the University's website at: http://www.cpp.edu/~policies/information_technology/Appropriate_Use.html.

Effective December 2012, all computers purchased with grant and contract funds are classified as 7344, Transfer Asset to the University, where they will track the item. Effective September 2014, all software purchased with grant and contract funds are classified as 7344 where the University will track the item.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: January 1 2019

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum

RE: Points to Remember for Travel Expenditures

The *Travel Authorization and Expense Report,* Form Number FS02101F, must be used to request reimbursement for all travel related expenditures for grant and contract accounts. A traveler is eligible to claim all the appropriate travel expenses for each day of travel if your duties require you to be away from the general area of your home for a period substantially longer than an ordinary day's work. As a result, per diem meals can only be claimed when there is an overnight stay.

All fields must be completed including claimants and authorizing signature fields with person traveling signing the form.

Some important points to remember when requesting travel reimbursement include the following:

- All University employees must get authorization to travel on State business prior to the trip.

- Reimbursement of expenditures must be based on either actual expenses based on itemized receipts with the exception of meal per diem.

- Lodging rates claimed on travel form must be reasonable for the area.

- The domestic per diem daily meal allowance and incidental is $62.00 and is broken down as follows:

Breakfast	$11.00
Lunch	17.00
Dinner	27.00
Incidental	7.00

- The breakdown of the per diem daily meal allowance is only provided if you should need to deduct a meal from your daily travel expenses which is provided at the conference and included in the registration fee or you dine with someone else and they pay for your meal. If this is the case, please deduct that particular meal from your per diem daily meal allowance.

- When a registration or other fee for a convention, conference or workshop includes meals, claims for meal expenses cannot be reimbursed.

- In the event the employee must forgo the provided conference meal, please provide sufficient explanation/ documentation (i.e. for health reasons) with a detailed itemized receipt for the meal that is purchased in lieu of the provided meal. The purchased meal will be reimbursed up to the per diem daily meal allowance above.

- If there are agency/contract compliance limitations to the amount of per diem allowed to be claimed, the contract limitations will prevail.

- Mileage will be reimbursed on actual miles driven at a rate of 58 cents per mile or the negotiated mileage rate stated in the approved contract, whichever is lower. Mileage claimed will be reviewed for reasonableness based on the departure and destination indicated.

- First-class airfares are not allowed. Airfare must be based on coach or economy carrier rates.

- All items of expense must be properly accounted for and accompanied by receipts. Items claimed which do not have itemized receipts will not be reimbursed.

- If a travel expenditures are paid via a Foundation issued P-card (credit card), all travel transactions are considered advances and must be classified as object code 1120. A *Travel Authorization and Expense Form* must be submitted to clear all travel advances. All P-card transactions must be detailed on the Travel Authorization Form.

- Whether a travel advance was issued or charges are made to the credit card, the travel claim is required to be submitted to Foundation Financial Services within sixty (60) days after return, whether or not any balance of monies is due the traveler or the Foundation. If your grant project expires is less than 60 days, we need the form as soon as possible to assure it can be paid from your account.

- Items of expense must be accounted for on a daily basis on the travel expense claim form.

- When traveling internationally on a Federal grant program, you must fly a US Flag Carrier to the further point. If a US Flag Carrier is not available to the ultimate destination, a memo from the travel agency must accompany the Disbursement Voucher Form reimbursing for the airline tickets certifying that there are no US Flag Carriers that fly into that destination.

- A detailed explanation of the purpose of the trip must be written in purpose and dates of business box of the Travel Authorization Form. If a conference was attended, we must have the conference agenda attached to travel form.

- All Travel Authorization Forms must be signed off by all parties being paid on the form. For example, if a number of student's hotel rooms are being paid by one Faculty member, all the students must sign a statement stating that they participated in the travel activities being reimbursed back to the person receiving reimbursement. This signed statement should be attached to the Travel Authorization Form prior to submission to Foundation.

- When traveling in large groups, all *Travel Authorization and Expense Forms* must be submitted together.

- All travel involving a Cal Poly Pomona student that will be reimbursed from a Foundation account, the Student Release of Liability Form must be completed, signed and dated by the student, and attached to all Travel Authorization Forms submitted for reimbursement. This form, number FS06105F, can be found on the Foundation's website at: http://www.foundation.cpp.edu/financial/forms.aspx

- As a reminder, all University employees must receive authorization to travel on State business prior to the trip.

TRAVEL AUTHORIZATION AND EXPENSE REPORT

Travel Authorization and Expense Report, Form Number FS02101F is used to reimburse travel costs relating to all Foundation accounts. This form can be found on our website at: http://www.foundation.cpp.edu/grants-contracts/forms.aspx

Travel Authorization and Expense Report (Section I) should only be completed and submitted if a travel advance is requested or items have been paid on a Foundation credit card. However, all University requirements for the approval of travel must be followed for all Foundation travel.

Travel Authorization and Expense Report (Section II) must be completed and submitted after the travel has occurred itemizing all travel related costs. As a reminder, this section must also include all travel related costs that have been paid on a Foundation credit card.

If a travel advance was paid and/or charges have been paid using a Foundation credit card, the travel claim is required to be submitted, whether or not any balance of monies is due the traveler or the Foundation.

For all Foundation credit card payments, copies of the receipts should be turned in with the monthly Foundation credit card reconciliation and the original receipts must be turned in with the Travel Authorization and Expense Report form. If the Foundation credit card reconciliation document is turned in first, it is your responsibility to keep copies of all receipts to submit with your Travel Authorization and Expense Report form.

SECTION I

If a travel advance is required, Section I of the Travel Authorization and Expense Report must be submitted to the Foundation Financial Services in order for an advance check to be issued. If a travel advance is needed, Foundation must receive this completed form at least two weeks in advance of the travel dates. If the form is submitted with less than two weeks before the trip, the advance will not be granted. We will reimburse for all travel expenditures after the trip and when Travel Authorization and Expense Report is submitted.

If charges have been made on a Foundation credit card and the charges are in advance of the trip, Section I of the form must be completed and submitted with the monthly credit card reconciliation statement that is submitted to Foundation Financial Services.

The following information is required under Section 1 of the form:

1. Name and address of traveler
2. Name and telephone number of person completing the form.
3. Foundation account to be charged. More than one account can be indicated on this form. Please indicate the dollar amount that each Foundation account should pay in this section based on the itemized expenses.
4. Dates and departure/return information specific to this travel.
5. Business purpose of the trip.
6. Signature of the traveler and signature of the authorized signor for the Foundation account. Both signatures cannot be the same person.

SECTION II

Section II of the form is completed after the trip has occurred. This form must be completed using the excel file. **Handwritten forms will not be accepted.**

1. All Travel Authorization and Expense Report must be completely filled out and signed by both the traveler and the authorized signor.

2. All items of expense must be accounted for on the form on a **daily** basis.

3. Itemized receipts for all items with the exception of per diem meals must be attached to the form. This includes all receipts that have been paid for using a Foundation issued credit card. If a receipt is not included with the travel reimbursement form, reimbursement will not be paid for that particular item.

4. Each travel date must be shown for each trip.

5. Lodging is allowed at a reasonable rate for the area.

6. Meal per diem is allowed for each day of the trip involving an overnight stay.

The domestic per diem allowances for business travel is $55.00 a day and broken down as follows:

Breakfast	$11.00
Lunch	17.00
Dinner	27.00
	$55.00

The breakdown of the per diem daily meal allowance is provided for the following purposes, if you should need to deduct any of these meals from your daily travel expenses i.e., if a meal is provided at the conference and included in the registration fee or you dine with someone else and they pay for your meal, please deduct this meal from your per diem daily meal allowance.

An additional $7.00 incidental allowance may be claimed for each day of travel.

If meals have been charged to a Foundation issued credit card, the maximum amount of reimbursement will be the above per diem limits. Any credit card amounts charged for meals that are above the per diem limits will be refunded back to Foundation by the traveler with the travel form or will reduce the amount due to the traveler. If the cost of the meal is less that the above limits, the actual cost of the meal can be shown on the Travel Form and the itemized meal receipt will need to be attached.

Requests for reimbursement for expenses greater than the per diem rate above must be accompanied by a letter of justification explaining why the actual expenses incurred were beyond the control of the individual seeking reimbursement.

When a registration or other fees for a convention, conference or workshop includes meals, claims for per diem meals cannot be reimbursed for that meal. In the event the employee must forgo the provided meal for health reasons, per diem may be claimed. However, an explanation memo and an itemized receipt must accompany the claim.

7. Transportation expenses consist of charges for commercial airline carrier fares, private car mileage allowance, overnight and day vehicle parking; bridge and road tolls, taxis, buses, or streetcar fares. Please itemize the charges on an individual basis. **Do not combine.**

All transportation expenses require receipts for actual expenses. This includes:

a. Automobile rental is allowable.
b. Gasoline receipts are allowable if a rental car is being paid.
c. Coach Class Airline Fare is allowable. No first class airfare is allowable on a Foundation Grant and Contract Account.
d. Shuttles to/from the airport, hotel, and or conference location are allowable.
e. Automobile mileage is allowable for reimbursement at a rate of 58 cents a mile. Mileage will be reimbursed based on actual miles driven only, not by gasoline receipts if a private vehicle is used. Please attach the *Mapquest* calculation of mileage for all mileage calculations.

8. Business Expenses:

Paid conference registration amounts should be listed in this section. The conference flyer and agenda must be attached to the form.

The total amount of all itemized travel expenditures will automatically be totaled in the Total Expenses by Day Column.

In the paid by Foundation Credit Card Column, include all expenses that were paid on a Foundation credit card as a positive amount. Please be sure to check your monthly account statement(s) to assure all items have been included in this total.

If the traveler received an advance of funds from Foundation prior to the trip, please include the total amount that was advanced by day in the column. Enter as a positive amount.

In the Foundation Account Numbers to be Charged, indicate the account numbers that will pay for the travel costs. Also indicate the Foundation account number that was charged on the monthly Foundation Credit Card log or that was paid an advance when it was submitted to Foundation. The amount on those columns will carryover forward from the top part of the form.

Total Due to Traveler:

If this amount is a positive number, this line represents the amount that is due to the traveler for out of pocket expenses. This amount should be the same as the itemized total just above this section.

If the traveler's travel itemized expenses are less that the travel advance paid and/or Foundation issued credit card amounts charged, the traveler will need to submit a check with the completed Travel Authorization and Expense Form when it is submitted to Foundation. The check must be made out to Cal Poly Pomona Foundation, Inc.

All travel claims required to be submitted to Foundation Financial Services within sixty (60) working days after return, whether or not any balance of monies is due the traveler or the Foundation.

HOME ADDRESS			ACCOUNT(S) TO BE CHARGED	
STREET			**ADD TO BRONCO BUCKS** (for Accounts Payable Only)	
CITY	STATE	ZIP	190010-2352	$ -

DATE	DEPARTURE/RETURN FROM	TO	TRANS. MODE	**TRAVEL ADVANCE REQUEST ONLY**	
				LODGING	$ -
				TRANSPORTATION	
				MISCELLANEOUS	
				TOTAL	$ -

PURPOSE & DATES OF BUSINESS:

I certify that any vehicle I operate while on Cal Poly Pomona Foundation, Inc. business complies with minimum state requirements regarding insurance coverage, safety and mechanical condition, and that I am qualified to operate the same. I agree to submit my expense claim and to return all unused money advanced to me within sixty (60) business days after my return.

TRAVELER SIGNATURE:	DATE:	AUTHORIZED SIGNATURE:	DATE:
***For all International travel please see link below:** CSU International Travel Policy	Prior approval - University employee use State Form for all travel. Prior approval - Foundation employee use this form international travel only.		DATE:

SECTION II TRAVEL EXPENSE DETAIL - *DUE 45 WORKING DAYS UPON RETURN FROM TRIP*

(1) MONTH/YEAR (2) DATE	TIME	(3) WHERE EXPENSES WERE INCURRED	*(4) LODGING	(5) MEALS $11.00 BREAK-FAST	$17.00 LUNCH	$27.00 DINNER	(6) $7.00 INCIDEN-TALS	*(7) TRANSPORTATION COST OF TRANS.	TYPE USED & R/T MILEAGE	CARFARE, TOLLS, PARKING	PRIVATE CAR USE Rate $ 0.580 MILES	AMOUNT	*(8) BUSINESS EXPENSE	(9) TOTAL EXPENSES FOR DAY
(10)		SUBTOTALS:												

CLAIM TOTAL | **Prepared by:** | $

(11) Remarks - Explanation of Business expenses for Item 8		(12) Less Advance	
		(13) Less PCard	
Instructions:	Copy to Bronco $ Office (AP initial)	(14) Due to Foundation (Please Attach check)	
(17) Add to Bronco Bucks, Please Enter: Amount $ - Bronco ID #	Bronco $ added (BB office init.)	(15) Less Add to Bronco $	
		(16) Check to traveler	

(18) I hereby certify that the above is a true statement of the travel expenses incurred by me in accordance with Foundation Policy.
I certify that this expenditure benefits the educational mission of the CSU as defined by the respective statutes, Board of Trustee policy and campus policy, and that all items are for official business and include no personal expense.

CLAIMANT'S SIGNATURE	DATE	(19) AUTHORIZED SIGNATURE	DATE

** Original receipts for items (4),(7) and (8) must be attached.*

FOR ACADEMIC AFFAIRS

NOV 1 4 2012

TRAVEL AUTHORIZATION AND EXPENSE REPORT
CAL POLY POMONA FOUNDATION, INC.

College of Science Dean's Office

NOV 09 2012

SECTION I - TRIP EXPLANATION

This section must be completed prior to travel

If number is not generated, follow → instructions on the right screen: **# 257930**

Important Faculty
3801 W. Temple
Pomona, CA 91768

TRAVELERS XTN.	DEPARTMENT	PRIVATE VEHICLE LIC.#
3575	BIO SCI	6EFK444

Cal Poly Pomona

ACCOUNT(S) TO BE CHARGED

009805-7356 2524.05

009805-1120 <2207.05> P

CA STATE — 91711 ZIP

TRAVEL: LODGING / TRANSPORTATION / MISCELLANEOUS / TOTAL

DATE	FROM	TO	TRANS. MODE
10/12/2012	Claremont, CA	New Orleans, LA	Air
10/17/2012	New Orleans, LA	Claremont, CA	Air

PURPOSE & DATES OF BUSINESS:
Neuroscience 2012: Poster presentation of current research project. (10/12 - 10/17 Neuroscience)

I certify that any vehicle I operate while on Cal Poly Pomona Foundation, Inc. business complies with minimum state requirements regarding insurance coverage, safety and mechanical condition, and that I am qualified to operate the same. I agree to submit my expense claim and to return all unused money advanced to me within seven (7) working days after my return.

TRAVELER SIGNATURE: [signature] DATE: 11-9-12 AUTHORIZED SIGNATURE: [signature] DATE: 11/9/2012

*For all International travel please see link below:
CSU International Travel Policy

Brian Jersky, PhD., Dean, College of Science [signature] DATE: 11.14.12

SECTION II TRAVEL EXPENSE DETAIL - *DUE 7 DAYS UPC*

Approved: [signature] date: 2012.11.15
Marten L. denBoer, Provost and Vice President For Academic Affairs

(1) MONTH/YEAR (2) DATE	TIME	(3) WHERE EXPENSES WERE INCURRED	*(4) LODGING	(5) MEALS $11.00 BREAKFAST	$17.00 LUNCH	$27.00 DINNER	(6) $7.00 INCIDENTALS	*(7) COL TRANS.		PARKING	MILES	AMOUNT	EXPENSE	(9) TOTAL EXPENSES FOR DAY
10/12/2012	7:30a	Ontario, CA / New Orleans, LA	327.57		17.00	27.00		224.60	Air 3248	22.50 T				618.67
10/13/2012		New Orleans, LA	327.57	11.00	17.00	27.00								382.57
10/14/2012		New Orleans, LA	327.57	11.00	17.00	27.00								382.57
10/15/2012		New Orleans, LA	327.57	11.00	17.00	27.00								382.57
10/16/2012		New Orleans, LA	327.57	11.00	17.00	27.00								382.57
10/17/2012	10:30p	New Orleans, LA Ontario, CA		11.00	17.00			224.60						252.60
7/10/2012										22.50 T			P T 100.00	122.50
(10) SUBTOTALS:			T P 1,637.85	✓ 55.00	✓ 102.00	✓ 135.00		T P 449.20		45.00			100.00	2,524.05
CLAIM TOTAL													$	F 2,524.05

Prepared by: JILL SANDOVAL X3643

(11) Remarks - Explanation of Business expenses for Item 8
✓ $100.00 = Conference Registration

Instructions:

(12) Less Advance	
(13) Less PCard	$ P (2,207.05)
(14) Due to Foundation (Please Attach check)	
(15) Less Add to Bronco $	
(16) Check to traveler	F 317.00

Copy to Bronco $ Office (AP initial)
Bronco $ added (BB office init.)

(17) Add to Bronco Bucks, Please Enter:
Amount $ - Bronco ID #

(18) I hereby certify that the above is a true statement of the travel expenses incurred by me in accordance with Foundation Policy.
I certify that this expenditure benefits the educational mission of the CSU as defined by the respective statutes, Board of Trustee policy and campus policy, and that all items are for official business and include no personal expense.

CLAIMANT'S SIGNATURE [signature] DATE 11-9-12 (19) AUTHORIZED SIGNATURE [signature] DATE 11/9/2012

* *Original receipts for items (4),(7) and (8) must be attached.*

BRIAN JERSKY, PhD
DEAN COLL. OF SCI. [signature] 11.14.12 DATE

Approved: [signature] date: 2012.11.15 ✓
Marten L. denBoer, Provost and Vice President

1029

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

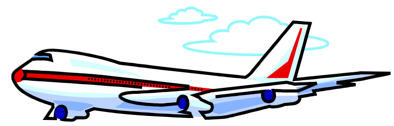
MEMORANDUM

DATE: December 1 2016

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum

RE: Foreign Airline Travel on Federal Grants and Contracts



The Fly American Act is a federal regulation which requires that all Federal grant and contract accounts must travel on U.S. flag air carriers when traveling abroad. U.S. flag air carrier service must be used even if: (1) comparable or a different kind of service can be provided at less cost by a foreign-flag air carrier; and (2) foreign-flag air carrier service is preferred by, or is more convenient for, the agency and/or traveler.

In determining availability of a U.S. flag air carrier, the following scheduling principles shall be followed unless their application would result in the last or first leg of travel to or from the United States being performed by a foreign-flag air carrier:

(1) U.S. flag air carrier service available at point of origin shall be used to destination or, in the absence of direct or through service, to the farthest interchange point on a usually traveled route;
(2) When an origin or interchange point is not served by a U.S. flag air carrier, foreign-flag air carrier service shall be used only to the nearest interchange point on a usually traveled route to connect with U.S. flag air carrier service;
(3) When a U.S. flag air carrier involuntarily reroutes the traveler via a foreign-flag air carrier, the foreign-flag air carrier may be used notwithstanding the availability of alternative U.S.-flag air carrier service.

The easiest way to ensure that you are flying on a U.S. flag carrier is to book your travel directly through the U.S. flag air carrier. Using a travel website such as Expedia, Travelocity, etc. can cause confusion as those websites are designed to find the lowest fares and not intended to find the U.S. flag carrier flights.

Keep in mind, the Fly American Act applies to travel from one foreign county to another foreign location. For instance, if there is travel to London for a collaborating meeting then travel to Paris for a conference, US Air carriers would still need to be utilized if being paid from federal grant funds.

There is an exception to the Fly American Act involving a foreign airline which has code share flights with a U.S. airline. Some U.S. flag carriers have arrangements to provide passenger service for international air transportation on foreign air carriers under "code share" arrangements. Federal regulations state that in most cases "code share flights" qualify as U.S. certificated service complying with the Fly American Act which can be paid from a Federal grant project.

How do you distinguish a code share flight? The traveler would purchase the airline ticket from a U.S. flag carrier but actually fly with another airline which might be a foreign airline. To meet code share restrictions, service from the foreign carrier must be offered as coming from a U.S. carrier (in particular, it has a U.S. flight number such as NW67 or Northwest Flight Number 67 per the listing below) and the ticket must be issued and validated under the U.S. carrier's name and code number per the list below. If the code share flight and ticket meets this criteria, then it is considered a U.S. flag carrier service.

A detailed list of U.S. flag carriers and their airlines codes are as follows:

Alaska Airlines (AS)
American West Airlines (HP)
American Airlines (AA)
Continental Airlines (CO)
Delta Airlines (DL)
Hawaiian Airlines (HA)
Midwest Express (YX)
Northwest Airlines (NW)
Southwest Airlines (WN)

United Airlines (UA)
U.S. Airways (US)

Detailed below is an example of a code share flight with United Airlines as the original airline booked, but has a code share agreement with Air New Zealand. Since this flight has a code share agreement and the ticket was purchased through United, this would be an allowable airline ticket for a federal grant project:

- Los Angeles, CA, US (LAX) to Auckland, NZ (AKL)
- 8:55 pm - 6:40 am (12h 45m)
- UA 6751 | Boeing 777-300
- Operated By Air New Zealand

Although domestic and foreign airlines have alliances and partnerships with one another, it does not necessary mean that they have a code sharing relationship. The documentation must state a code share relationship and indicate which U.S. airline was used or it cannot be approved to be paid from federal grant funds per the regulations.

You can search for any airline and see the county associated with that company per the following website: http://www.tvlon.com/resources/airlinecodes.htm This website shows a listing of all U.S. airlines and some foreign flag air carriers.

As a reminder, Federal grant and contract accounts have a maximum amount allowable for both hotel and per diem meal costs for international travel. The most current international per diem list, published by the U.S. State Department, can be found at https://aoprals.state.gov/web920/per_diem.asp and will be used to determine the maximum amounts for lodging and meal per diem rates for international travel.

If you have any questions regarding these regulations, please give me a call at x2961.

University Procedures for International Travel

The University makes available insurance coverage to faculty and staff traveling internationally on university business if approval is obtained in advance. Such coverage is required for all international travel on university business and is treated as a reimbursable travel expense subject to department policies and funding.

Insurance coverage for travel is requested by the Risk Management Office on behalf of the faculty member. To initiate a travel insurance request, please provide the following information in a memorandum addressed to the Provost:

Dates of Travel (Departure and Return):
Location(s) of Travel:
Purpose of Travel:

A request for travel approval must be received by the Provost at least thirty days in advance of the day of departure. Individuals will also need to submit an *Authorization to Travel on State Business* form http://www.cpp.edu/~procurement/graphics/docs/F-2963-1.pdf approved by the Provost. Please attach the *Authorization of Travel on State Business* form to the memo.

Travel permission may be denied if insufficient lead time is not provided, in which case neither the cost for travel nor the cost of insurance will be reimbursed.

The government website http://travel.state.gov/travel/travel_1744.html must be consulted to determine if the State Department has issued a travel warning. Should a State Department travel warning be in effect for any location to be visited, the President must also approve the travel request and secure the approval of the Chancellor of the CSU.

Travel to certain countries may require an Extended Risk War Endorsement as determined by the manager of Benefits, Workers' Compensation and Risk Programs. This endorsement requires underwriter review and approval, and the following additional information must be provided:

1. Personal contact information for the traveler while in the country
2. Information on the locations the traveler will be visiting in the country and contact information (e.g., the hotel address and phone number, or contact information for someone local the traveler may know) for each location.
3. The mode of transportation, i.e., train, bus, car, plane, etc. that the traveler will be using from where he/she is staying to where he/she will be conducting university business.

Any students traveling with faculty or staff must purchase international travel insurance. In most cases (unless, e.g., provided for in a grant) the cost will not be paid by the university. The current insurance coverage includes: emergency medical, travel, personal and security services, assistance with replacement of lost documents, e.g., passports, legal assistance, and updates on security situations, etc.

Field Trips Involving Travel Outside of the United States

If a field trip involves travel outside of the United States, check with Risk Management, extension x4846, regarding required Foreign Travel Insurance. This insurance is mandated by CSU Executive Order 1041 and a cost is assessed for faculty and students.

Who to Contact Regarding Insurance for Travel Outside of the United States

Students should contact the International Center for all details about international travel, including insurance requirements.

All other students traveling outside the United States should contact Valerie Eberle, Manager of Benefits, Workers' Compensation and Risk Programs, Risk Management Services, at 909-869-4846, regarding insurance requirements.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: August 1, 2013

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Student Travel Requirements

Out-of-classroom learning experiences bring with them certain risks. It is impossible to eliminate all risks entirely. However, the resources below have been developed to help minimize these risks and exposures for students, University, and Foundation.

Notice to Students: Release, Hold Harmless and Informed Consent Provisions

A student participating in programs which require air and/or ground transportation involves risks and could result in damage to property, injury to persons, and death. Please be informed that neither the University nor the Foundation assumes any liability for damage, injury, and death which may occur during air and/or ground travel required by University or Foundation programs. The student needs to be informed that their participation in the program is voluntary and they participate at their own risk.

Per CSU Executive Order 1041, students participating in CSU-affiliated programs, including Foundation, which require travel do so on a voluntary basis and participate at their own risk. Travel involves risks to personal safety which could result in damage to property, injury or death.

Students participating in such travel are required to sign a "Release, Hold-Harmless and Informed Consent" statement.

Effective immediately, for all travel involving a Cal Poly Pomona/CSU student that will be reimbursed from a Foundation account, the Student Release of Liability Form must be completed, signed and dated by the student, and attached to all Travel Authorization Forms submitted for reimbursement. This form, number FS06105F, can be found on the Foundation's website at:
http://www.foundation.cpp.edu/financial/forms.aspx

RELEASE OF LIABILITY, PROMISE NOT TO SUE, ASSUMPTION OF RISK AND AGREEMENT TO PAY CLAIMS

PLEASE PRINT TWO-SIDED.

Activity(ies)____

____

Activity Date(s) and Time(s)____

Activity Location(s), Premises or Facility (ies)__________________________________

In consideration for being allowed to participate in this Activity(ies) and/or use of the Premises or Facility, on behalf of myself and my next of kin, heirs and representatives, I **release from all liability and promise not to sue** the State of California; the Trustees of The California State University; Cal Poly Pomona; and their employees, officers, directors, volunteers and agents (collectively "University") and Cal Poly Pomona Foundation, Inc.; Cal Poly Pomona Associated Students Inc.; and their employees, officers, directors, volunteers and agents (collectively "Auxiliaries") from any and all claims, **including claims of the University's and/or Auxiliaries' negligence,** resulting in any physical or psychological injury (including paralysis and death), illness, property damage, or economic or emotional loss I may suffer because of my participation in this Activity(ies), including travel to, from and during the Activity.

I am voluntarily participating in this Activity(ies). I am aware of the risks associated with traveling to/from and participating in this Activity(ies), which include but are not limited to physical or psychological injury, pain, suffering, illness, disfigurement, temporary or permanent disability (including paralysis), economic or emotional loss, death and/or property damage. I understand that these injuries or outcomes may arise from my own or other's actions, inaction, or negligence; conditions related to travel; or the condition of the Activity location(s). **Nonetheless, I assume all related risks, both known or unknown to me, of my participation in this Activity(ies), including travel to, from and during the Activity.**

I agree to **hold** the University and/or Auxiliaries **harmless** from any and all claims, including attorney's fees or damage to my personal property that may occur as a result of my participation in this Activity(ies), including travel to, from and during the Activity. If the University and/or Auxiliaries incur any of these types of expenses, I agree to reimburse the University and/or Auxiliaries. If I need medical treatment, I agree to be financially responsible for any costs incurred as a result of such treatment. I am aware and understand that I should carry my own health insurance.

I am 18 years or older. **I understand the legal consequences of signing this document, including (a) releasing the University and/or Auxiliaries from all liability, (b) promising not to sue the University and/or Auxiliaries, (c) and assuming all risks of participating in this Activity(ies), including travel to, from and during the Activity.**

I understand that this document is written to be as broad and inclusive as legally permitted by the State of California. I agree that if any portion is held invalid or unenforceable, I will continue to be bound by the remaining terms.

I have read this document, and I am signing it freely. No other representations concerning the legal effect of this document have been made to me.

Participant Signature: ____

Participant Name (print): ______________________________________ Date: __________________

Revised 07-24-12

Bus Transportation and Executive Order 1041

When bus transportation is required for students, the following information is provided to assist you with the requirements of the California State University Student Travel Policy effective July 1, 2009. The executive order includes the following:

- minimum requirements for travel insurance, indemnity and co-insurance provisions; and
- release, hold harmless and informed consent

Please be advised that the Foundation is required to enter into an agreement with the bus transportation company. To accommodate your requests, the Foundation has entered into an annual agreement with a bus company for your consideration in planning your next student trip.

The Foundation maintains a list of approved bus transportation companies that meet the minimum insurance requirements of the executive order, please contact Debbie Linthicum at dlschroeder@cpp.edu or Pauline Anonqdeth at pswong1@cpp.edu to obtain the current list of companies.

All students must complete and sign the release of liability, promise not to sue, assumption of risk and agreement to pay claims before participating on any trips.
Please contact David Prenovost at dfprenovost@cpp.edu if you have any questions or need additional information, safe travels.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: June 1 2016

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Meal Reimbursement Costs Relating to Grant/Contract Projects

Per the new compliance regulations 2 CFR 200 which went into effect on December 26, 2014, meal expenditures are normally not allowable for grants and contracts unless the proposal narrative addresses these activities as an integral part of the program or approval is obtained by the funding entity via the approved budget.

However, in certain instances, food purchases representing prepared meals may be allowed as part of the approved project expenditure for a grant project. An example of allowable meal expenditures would be a professional meeting or conference that runs over several hours, whose primary purpose is the dissemination of technical information, and is necessary and reasonable for successful performance of the project. In this case, a meal may be offered to the participants in order to maintain continuity of the meeting.

An example of an unallowable meal expenditure includes the costs of entertainment, amusement, diversion and social activities, and any costs directly associated with such activities. In addition, no funds may be requested for meals or coffee breaks for regular department meetings that are not specific to the grant project.

As a result of these regulations, documentation relating to meal costs is critical. Each meal reimbursement request must have sufficient background and documentation in order for an auditor reviewing a specific expenditure understands the relevance of the event or activity to the grant project.

The following documentation is required when submitting requests for all prepared meal reimbursement including information that must be submitted with IDT forms and credit card transactions:

- A full description of the purpose of the activity that addresses how the activity is an integral part of the grant and describes the benefit of the project. (One line explanations cannot be accepted.)
- Date, time, and location of the activity and a detailed meeting agenda.
- Original itemized receipts or invoices regardless of the form of payment.
- Identification of all participants in attendance including a sign-in sheet for a workshop that lists the names of every individual who participated in the meal.

In addition to the meal documentation, costs for meals must be reasonable and otherwise allowable to the extent that such costs do not exceed charges normally allowed by the Foundation in its regular operations. As a result, the reasonable cost of a meal would be the cost allowed when traveling per the Foundation's current travel policy.

If your grant project has prepared meals included as a component of participant support costs, per 2 CFR 200.75, the cost of the meal for any employee (University and Foundation) cannot be included as an expense under participant support costs. Who is a participant: A participant is an individual who is receiving the benefits of the activity funded by a grant and contract project. The grant activities could include workshops, conferences, training seminars, or other instructional/information sharing funded by the granting agency.

As a result, two listings will need to be provided for prepared meal reimbursement costs. One list must include only the names of the participants that attended the meal and a second listing will need to be included for all employees who attended the meals. The participants will be classified as participant support costs under object code 7196 and the employees will be classified as regular meals and refreshments under object code 7185.

All business meal reimbursements that do not have the proper documentation attached cannot be processed for a Foundation grant account.

If you have any questions regarding this policy, please let me know.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

<u>MEMORANDUM</u>

DATE: March 1, 2006

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Overload Compensation Charged to Federally-Funded Grant and Contract Programs

Federal compliance regulations:

> (1) Salary rates for academic year:
>
> Charges for work performed on sponsored agreements by employees during the academic year will be based on the individual member's regular compensation for the period which, under the policy of the institution concerned, constitutes the basis of his salary. Charges for work performed on sponsored agreements during all or any portion of such period are allowable at the base salary rate. In no event will charges to sponsored agreements exceed the base salary for that period. This principle applies to all members of the institution.
>
> The work performed by the employee that is in addition to his/her regular departmental load, any charges for such work representing extra compensation above the base salary are allowable <u>provided</u> that such arrangements are specifically provided for in the agreement or approved in writing by the sponsoring agency.

As a result, all overload compensation must be clearly indicated in the budget and approved in writing by the agency before it can be paid by Foundation. If it was not included in the agency approved budget, you will need to get written agency approval to pay overload from your project.

In addition, a University employee whether faculty or staff cannot be paid at a higher hourly rate than what is currently being earned at the time payment unless it is a privately funded project where the agency has approved a higher rate of pay. The hourly rate of the employee indicated on the ETF form is verified by Foundation Grants and Contracts. If the hourly rate is for a University staff employee, University Payroll is contacted for the current rate.

If you have any questions regarding this regulation, please give me a call at x2961.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: February 1, 2015

TO: Grant and Contract Account Holders

FROM: Debbie Linthicum
Director, Grants and Contracts

RE: Employment Policies University Faculty/Staff Working on Grants/Contracts

University Employee on University-Approved Release Time

Federal compliance guideline 2 CFR 200 requires the Foundation and the University maintain a system where individuals working on grant and contract projects must document their total time expended during the academic term. This documented time must include grant-reimbursed time, time that is counted towards grant matching requirements, and time that is spent doing non-grant, University assignments including teaching responsibilities and committee work. This percent effort must represent 100 percent of the individual's time during the academic term. Once an academic term, the Dean's office prepares an *Appointment Authorization and Effort Certification* form for all University faculty and staff employees working on Foundation grant/contract projects.

The *Appointment Authorization and Effort Certification* form must be signed by both the grant employee and Principal Investigator/Dean (or person who had first-hand knowledge) and returned to my office for further processing. If the grant employee is unable to sign, a person with first-hand knowledge that the work was performed can certify the form. This information is subsequently used by Foundation in reimbursing the University for the employee's salary and benefits to be paid from the grant account. It is very important that these forms are returned to Foundation promptly to ensure the payment is made to the University on a timely basis.

Additional Employment

Additional employment refers to any employment compensation by Cal Poly Pomona Foundation, Inc. that is in addition to the primary or normal employment of a University faculty/staff employee. However, a full-time University employee cannot work more than the equivalent of 25 percent per CSU Guidelines. An "overage" of 25 percent for a full-time position shall be allowed if the overage employment: (a) is consists with employment of a substantially different nature from his/her primary or normal employment; and (b) is funded from non-General Fund sources;

The applicable time period for nine (9) month or academic-year faculty employees shall be the academic year, exclusive of time periods between academic years, time periods between academic terms, and the vacation periods of a faculty employee. The applicable time period for twelve (12) month faculty/staff employees shall be the calendar year, exclusive of the faculty unit employee's earned vacation periods.

Note that <u>all</u> Foundation salary payments to University faculty and staff are subject to the University additional employment policy.

It should also be noted that the hourly rate of compensation by the University employee must be at the same rate of pay currently being earned at the University. As a result, the employee cannot earn a higher rate of pay while working on a grant account. If the current rate of pay is not accurate on the ETF Form, the form will be changed to reflect the correct amount by the Director of Grants and Contracts. The hourly rate of the University employee will be verified by Grants and Contracts so as not to exceed the current compensation levels of the University employee. The only exception to this rule is a privately-funded contract where the rate of pay is negotiated and documented in the agency approved grant budget.

Please work with your Dean's Office with regards to the preparation of these forms.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

GRANT AND CONTRACT ACCOUNTS/FOUNDATION PROGRAM FUNDS
APPOINTMENT AUTHORIZATION/EFFORT CERTIFICATION FORM

SECTION A: (TO BE COMPLETED AS SOON AS THE ASSIGNMENT FOR THE SEMESTER IS DETERMINED)

ASSIGNED TIME AUTHORIZED:

DATE	**August 22, 2018**	EMPLOYEE NAME	**Leticia Torres**
DIRECT SUPERVISOR	**David Prenovost**	PEOPLE-SOFT EMPLOYEE ID NUMBER	**123456789**
FOUNDATION PROJECT NUMBER	**009999**	AY FACULTY [X] 12-MONTH EMPLOYEE [ ] OTHER APPT TYPE [ ]	
NAME OF PROJECT	**Very Important Grant Project**	ACADEMIC/CALENDAR SEMESTER	**Fall 2018**
		NUMBER OF **OVERALL** WTU'S WORKED DURING THE SEMESTER	**15** FACULTY ONLY
FIRMS PROGRAM CODE	**0202 - Individual and Project Research**	NUMBER OF WTU'S **REIMBURSED** DURING SEMESTER FOR THIS PROJEC	**3** FACULTY ONLY
		NUMBER OF WTU'S **MATCHED** BY COLLEGE DURING SEMESTER	**3** FACULTY ONLY
PREPARED BY	Lily Maciel Signature	PERCENT OF TIME TO BE REIMBURSED FROM GRANT	**20.00%**
		PERCENT OF TIME TO BE COLLEGE/DEPT COST SHARE	**20.00%**
EMPLOYEE	Leticia Torres Signature	EST REIMBURSEMENT TOTAL FOR SEMESTER	**$5,334.00** Salary / **$1,225.00** Benefits
		PEOPLE-SOFT EMPLOYEE POSITION NUMBER	**00001234**
DIR/GRANTS AND CONTRACTS	Debbie Linthicum Signature	UNIVERSITY REIMBURSEMENT CHARTFIELD STRING	**PCR03-DEPTID-PROGRAM-CLASS**

SECTION B: (TO BE SIGNED & SUBMITTED AFTER THE SEMESTER ENDS)

DISTRIBUTION OF EFFORT:

	ACADEMIC SEMSETER	PERCENTAGE WORKED	UNIVERSITY USE ONLY BILLING REQUEST: TOTAL SALARY	TOTAL BENEFITS	REIMBURSEMENT TOTAL
PERCENTAGE OF EFFORT:			Total to be Reimbursed to the Univ from the Foundation Account for Period		
A. GRANT REIMBURSED AMOUNT :					
009999 Project Number	**Fall 2018** SEMESTER	**20.00%**			
B. COST SHARING:					
009999 Project Number	**Fall 2018** SEMESTER	**20.00%**			
C. OTHER GRANT RELATED ACTIVITY (TO BE SUBMITTED ON A SECOND FORM)					
001000 Project Number	**Fall 2018** SEMESTER	**13.33%**			
D. NON-GRANT UNIVERSITY ASSIGNMENTS (TEACHING/ADMINISTRATION/OTHER):					
Teaching/Administration Type of Assignment	**Fall 2018** SEMESTER	**46.67%**	TOTAL CALCULATED BY UNIVERSITY BUDGET		
TOTAL (MUST EQUAL 100%)		**100.00%**	$	$	$

CERTIFICATION OF EFFORT:

I HEREBY CERTIFY THAT THE PERCENTAGE OF TIME INDICATED ABOVE REPRESENTS THE ACTUAL DISTRIBUTION OF EFFORT I WORKED DURING THE PERIOD SPECIFIED ON THIS REPORT; THAT THE WORKLOAD SPECIFIED FOR THE GRANT PROJECT IS THE ACTUAL PERCENTAGE OF TIME WORKED ON THE PROJECT; AND THAT THIS DISTRIBTUION OF EFFORT DIRECTLY BENEFITTED THE PROJECT.

EMPLOYEE ______________________ Employee ______________________ Date

I HEREBY CERTIFY THAT I HAD FIRST-HAND KNOWLEDGE OF ALL WORKED PERFORMED BY THIS EMPLOYEE AND THAT THE DISTRIBUTION OF EFFORT INDICATED ABOVE REPRESENTS THE ACTUAL WORK PERFORMED DURING THE PERIOD COVERED BY THIS REPORT.

DIRECT SUPERVISOR ______________________ Supervisor ______________________ Date

COLLEGE DEAN/VICE PRESIDENT (If not direct supervisor, otherwise N/A) ______________________ Dean/Vice President ______________________ Date

FOUNDATION ACCOUNTING ______________________ Signature ______________________ Date

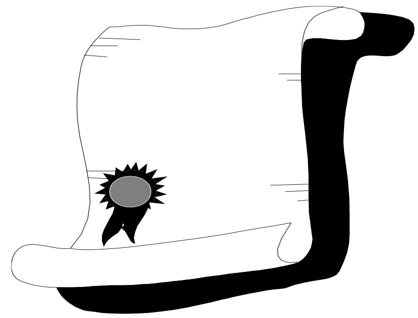
UNIVERSITY BUDGET ______________________ Signature ______________________ Date

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM



DATE: November 15, 2006

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum

RE: Progress Reports and Record Retention

Progress Reports and Record Retention

The Principal Investigator and Foundation is responsible for managing and monitoring each project, program, subaward, function, or activity supported by the award. This includes the submission of progress and final reports. During the project, the awarding agency shall prescribe the frequency with which the performance reports shall be submitted. As a general rule, final reports are due 90 calendar days after the grant has ended. Since all technical and financial reports relating to Foundation grants and contracts are located and maintained by Foundation Grants and Contracts, we need a copy of all progress and final reports that are submitted to the agency upon completion. In addition, if you have any supporting programmatic paperwork and data that was used to prepare your agency reports, you need to keep it in your files a minimum of 4 years after the grant has ended in case of future audit.

Overdue Reports

Grantees are allowed a reasonable period of time in which to submit required financial and performance reports (see 45 CFR Part 74, Subparts I and J, and 45 CFR Part 92.40 and 92.41). Failure to submit required reports within the time allowed may result in suspension or termination of an active grant, withholding of additional awards from the agency to the University/Foundation, or other enforcement actions, including withholding of payments or converting to the reimbursement method of payment. Continued failure to submit required reports may result in the imposition of special award provisions or cause other eligible projects or activities involving that grantee organization to not be funded.

If at any time the grantee provides an acceptable explanation regarding the late submission of a report, the awarding agency may waive the reporting requirement or set a new due date. However, once a report becomes overdue, such action will be taken by the awarding agency only if the reasons for the grantee's inability to submit the report in a timely manner are legitimately beyond its control or if the purposes for which the report is to be used can be accomplished through other means. Failure to meet a new date may result in the awarding office taking action as described in the paragraph above.

Submission of a required report does not necessarily fulfill the grantee's responsibility. Such reports must also meet the content requirements in regulations or other grant terms. Where reports need to be revised in order to be accepted, the grantee must provide a revised report by the due date indicated by the awarding office or immediate fund cutoff or other enforcement actions may be taken with regard to the delinquency.

Once a month, the Director of Grants and Contracts will send reminders regarding the due dates of the reports per the terms and conditions of the contract/award. If a required report becomes overdue, the Dean of the College will be notified of the noncompliance. If no action is taken and the report becomes significantly late, the Chief Research Officer will be notified of the noncompliance of the report for further action.

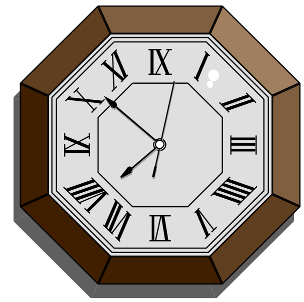
If you have unable to submit your progress/final report by the required due date, please notify me as soon as possible. If you have any questions, please give me a call at x2961.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM



DATE: September 30, 2002

TO: Grant and Contract Recipients

FROM: Debbie Schroeder-Linthicum,
Director, Grants and Contracts

RE: Closeout Procedures for Grant/Contract Projects

All costs relating to externally funded projects must be incurred during the project period. This is defined as goods and supplies being **ordered and received** prior to the last day of the grant/contract project period. In addition, services from outside consultants and Foundation employees must be performed prior to the last day of the project period. All expenditures incurred prior to the grant deadline must be liquidated prior to 60 calendar days after the funding period or the date of completion as specified in the terms and conditions of the award.

All Foundation employees working on your account must be terminated on the last day of the award. As a result, the final Employment Transaction Form (ETF) form must be submitted approximately five days prior to the last day of the project. Final termination payroll checks must be issued on the last day of employment.

All University charges also need to be liquidated 60 days after termination of the project. This includes release time for faculty and staff wages which must be reimbursed to your college. The *Appointment Authorization and Effort Certification* form must be submitted no later than the last day of the grant/contract to assure timely payment. In addition, if there a telephone being charged to your account, telecommunications will need to be notified that charges will not be paid passed the project period. The phone will need to be disconnected or charged to another Foundation account.

Foundation must submit all financial, performance, and other necessary reports as required by the terms and conditions of the award within 90 calendar days after the date of completion of the award. The Office of Grants and Contracts must receive a copy of the final performance report upon completion. Foundation will also need an accounting of all cost sharing expenditures together with supporting documentation within 90 calendar days of the project termination if this is a requirement of your project.

Depending upon the terms and conditions of the award, the Foundation may apply for an extension in which the agency must be notified in writing with the supporting reasons and revised expiration date at least 30 days before the expiration date specified in the award. This extension is to assure adequate completion of the original scope of the work within the funds already made available, and may not be exercised merely for the purpose of using unobligated funds. The Principal Investigator is cautioned not to make new commitments or incur new expenditures after the contract expiration date in anticipation of a no-cost extension if the agency approval has not been received.

If your award will need to be extended, please contact the Office of Research and Sponsored Programs and they can assist you with the necessary paperwork. If you have any questions regarding these policies and procedures, please give me a call at x2961 and I will be happy to assist you.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: January 1, 2007

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Program Income Earned on Grant and Contract Projects

Program Income is defined as gross income earned that is directly generated by a grant-supported activity or earned as a result of the grant. Program income includes, but is not limited to, income from fees for services performed, the sale of items fabricated under the grant, and/or license fees for and royalties on and copyrights relating to the project.

Foundation must comply with the federal reporting requirement to account for all program income related to projects funded with Federal money. This requirement is set forth in federal compliance regulations are summarized as follows:

> *All program income earned during the project period shall be retained by the grantee and shall be used in one or more of the ways listed in the following:*
>
> > *1. **Additional funds:** Added to funds committed to the project by the Federal awarding agency and grantee and used to further appropriate project or program objectives.*
> >
> > *2. **Cost Sharing or Matching:** Used to finance the non-Federal share of the project or program.*

If the Federal awarding agency does not specify how program income is to be used in its regulations or on the notice of your grant award, the program must spend the income earned from program activities first paying for allowable expenditures before the grant funds are spent.

Program Income Procedure

If your project will collect income as part of the grant, it is the Project Director's responsibility to notify Foundation of all program income regardless of sponsor (federal or non-federal). The Foundation will determine if program income is allowable as it relates to your grant project. If it is allowable, we will establish a separate contra grant account which will be monitored to assure the funds are being expended per the project goals, objectives, and compliance regulations.

In addition, at the end of the project, the Project Director will need to confirm that all program income has been expended prior to submitting final expenditures and closing the project. If the income has not been expended, final expenditures will need to be paid from the Program Income account until the remaining cash balance is zero. Foundation will ensure that all program income costs are included on the sponsor required financial reports and are accurately reported to the agency.

If you have any questions with regards to program income, please give me a call at x2961.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: December 1, 2004

TO: Grant and Contract Account Holders

FROM: Debbie Schroeder-Linthicum
Director, Grants and Contracts

RE: Cost Sharing on Grant and Contract Projects

Cost sharing is defined as expenditures that directly relate to the enhancement of the grant/contract project, yet are not reimbursed by the awarding agency. Some agencies, such as National Science Foundation and the United States Department of Education, require a percentage of cost sharing expenditures as a basis in awarding the project which becomes a mandatory, binding obligation of the University. Grantees are required to meet their matching contributions in the year designated in their grant proposal. Accordingly, grantees cannot be deficient in documenting matching contributions in the early years of the grant and then "catch-up" in the final year or two of the project.

As a result of CSU compliance regulations, listed on the Foundation's website is the formal cost sharing policy relating to cost sharing commitments for grant and contract projects. I encourage you to become familiar with these important guidelines. To compliment CSU compliance regulations, listed below are specific requirements for cost sharing which are documented in the federal compliance regulations and agency specific guidelines.

1. <u>Cost sharing must be verifiable from the recipient's records</u>.

Federal regulations require cost sharing contributions to be verifiable from the records of the grantee institution. These records must show how the values placed on the cost sharing amounts reported to the agency were derived. In addition, the amounts must be supported by the same methods that the grantee organization supports the regular grant/contract costs reimbursed by the agency.

Since cost sharing expenditures cannot be paid from the Foundation grant/contract account, the costs are normally paid out of a Foundation campus program account or an account located at the University. Since the Foundation's grants and contracts office does not review the expenditures relating to these accounts, we need a copy of all invoices, Foundation Disbursement Vouchers/University Purchase Orders and other supporting documentation in order for the cost sharing expenditure to be verified by the auditors. These documents are subject to the same audit procedures as the federally reimbursed expenditures. As a result, these documents must be housed at the Foundation.

For third-party in-kind contributions, the Foundation must receive all supporting documentation claimed as match. Since the Foundation is the fiscal agent for all sponsored projects, we are responsible for all matching contributions for the entire grant project—even matching provided by partners. In the event the project is audited, the supporting documentation must be housed with Foundation.

As a result, the Foundation must receive copies of all supply and equipment invoices, travel reimbursement documentation, and any other expenditure supporting documentation claimed as match. For in-kind contributions of time and effort, the Foundation has created a *Cost Sharing Time Sheet* which can be found on our website. This time sheet should be used for all third-party in-kind contributions of time claimed as match. It is extremely important that this timesheet be completed on a monthly-basis as effort is expended. Since the Foundation compensates its employees based on the items documented on this sheet, all in-kind contributions of time and effort must be documented in the same manner.

For University employee's in-kind documentation of time expended on a project, the *Appointment Authorization/Effort Certification Form* also found on our website should be completed each quarter as the University employee expends time on the project. This form is completed by the Dean's Offices and should be forwarded to Foundation at the end of every academic quarter.

2. **<u>Cost sharing expenses cannot be counted in more than one Foundation grant/contract account.</u>**
A matching contribution can only be counted towards one Federal project. If the Foundation has more than one project with matching requirements, the same contributions cannot be counted as cost sharing for two or more projects.

3. **<u>Expenditures documented as cost sharing contributions must be necessary and reasonable for proper and efficient accomplishment of the project or program objectives.</u>**
The expenditures reported to the agency relating to the cost sharing contributions must directly relate to the enhancement of the program. If matching contributions benefit two different programs, the matching contributions must be credited in the proportion that benefits the project. For example, if an individual divides their time between the grant program and another activity, matching time and effort must reflect the percentage of time which benefited the particular project.

4. **<u>Cost sharing contributions must be expenditures allowable under Federal cost principles.</u>**
Expenditures not allowable under Federal grant guidelines would not be allowable towards cost sharing commitments. In addition, all matching contributions must be obligated during the grant period in order to be counted as match and must be specified in the budget approved by the agency. All the policies and procedures relating to sponsored project administration detailed on our website must be adhered for cost sharing contributions.

5. **<u>The value of donated equipment may not exceed the depreciation/use allowance of the equipment based on its remaining useful life on at the time of donation.</u>**
According to generally accepted accounting principles, equipment has a useful life of three to seven year's depending on the item being donated. Depending on when the item is donated for use for the project, a portion of the remaining useful life may be counted as match. Please call me for details.

6. **<u>Matching contributions must be expended using non-Federal funds.</u>**
Matching contributions must be expended using non-Federal sources including gift funds recorded in Foundation Campus Program Accounts, non-Federal grant projects, or University/State funds.

7. **<u>Unrecovered indirect cost may be included as part of the cost sharing commitment only with the prior approval of the awarding agency.</u>**
Since the Foundation's indirect cost recovery agreement with the Department of Health and Human Services allows us to charge an indirect cost recovery amount equal to 26 percent to 46 percent of direct expenditures, any rate below the negotiated percentage could be included as cost sharing with prior approval of the awarding agency. However, for United States Department of Education grant projects, unrecorded indirect costs cannot be counted as matching contributions.

   In addition, items that normally are included as indirect cost recovery cannot be counted as match without the prior approval from the agency. This would include administrative and clerical salaries including department secretaries, Dean's, Associate Dean's, and Vice President's salaries, building rental costs, and other administrative-type items. Again, in order to count these items as match, the agency must specifically approve same.

If an award is given with a cost sharing commitment specified, failure to fulfill the commitment may result in grant costs being questioned, reduction of the Federal award amount, and/or the possibility of previously reimbursed grant funds being refunded to the agency. In addition, failure to provide such cost sharing may constitute a violation of the terms of the grant so serious as to provide grounds for suspension of the award. As agency budgets have become tighter and grant law more specific, the cost sharing commitments are becoming an area of increased agencies audits. It is extremely important that all cost sharing commitments are met as the federal expenditures are expended.

The Foundation will send you an accounting of the matching contributions for your project at least every two months. As a reminder, according to the CSU regulations on cost sharing documented on the website, Foundation will notify the University Provost and Vice President of Administrative Affairs in the event that the required documentation has not been provided in a timely way or match is not being met at the same level as the spending of federal funds.

Cal Poly Pomona Foundation, Inc.

"Quality Service Supporting Quality Education"

Office of Grants and Contracts

MEMORANDUM

DATE: November 30, 2009

TO: Grant and Contract Recipients

FROM: Debbie Schroeder-Linthicum,
Director, Grants and Contracts

RE: Monthly Reports for Grants and Contracts

The Principal Investigator/Project Director is responsible for the administration of the project including proper fiscal management of the grant/contract. This includes monitoring the expenditures in relation to the approved budget. To aid in this process, you will be able to access your reports at any time via our One Solution Accounting system. These reports provide financial data on a current month and project-to-date basis. The financial data consists of the approved budget, actual expenditures, and encumbrances (purchase orders) outstanding. To aid the reader in interpreting Foundation reports relating to grants and contracts, listed below are some important points to remember.

The monthly reports include a report detailing in summary the expenditure activity for the project since inception, and a report detailing each individual expenditure charged to the account during the month.

Some of the definitions of the items you will see in these reports are as follows:

- *Object*: Corresponds to the Foundation object code which is the best match to the budget category approved by the agency.
- *Description*: Corresponds to the description of the Foundation object code above.
- *Budget*: This field represents the allowable, spendable dollar value of each budget category approved by the agency.
- *This Month*: Represents the total dollar value expended for the month being reported.
- *To-Date*: Reports the total dollar value expended since project inception.
- *Before Commitments*: Reports the amount of available, remaining funding in the particular budget category. Please note, the awarding agency may restrict the transfer of funds amount direct cost categories.
- *Open Commitments:* Open commitments are all open purchase orders in which payment requests have not been processed. These open purchase orders are detailed on the following page after the summary page. These open purchase orders should be monitored on a regular basis. If a purchase order is listed that has been previously paid, please give me a call we will eliminate it from your account.
- *Balance:* Reports the available balance of funds after all paid expenditures and open purchase orders encumbered.

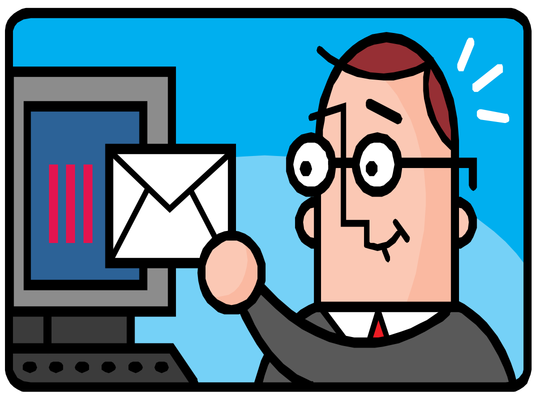
On all subsequent pages attached to the cover page, each expenditure charged during the month is detailed. This detail should be reviewed carefully to assure your account has been charged correctly. Details include:

- *Object OBJ:* Reports the object code in which expenditures were charged. There is a two letter or number code on the left of this field. These codes correspond to the type of transaction being charged to the account.
  - OH (Open Hold) Payment requests processed by Accounts Payable.
  - IP (Immediate Pay) This code details all offline payment requests that have been processed for your account.
  - 1-3 These are entries for payroll related charges entered by Payroll.

- JE — These are manual adjustments to your account. These entries include indirect cost recovery, corrections of expenditures, or special allocations made to your account. This code is also used when IDT forms are charged to your account from another source at Foundation.

- *Trans. Desc.:* Details the vendor name, payroll description, or journal entry adjustment description based on the type of expenditure.
- *Date:* Represents the posting date the entry was charged to your account.
- *Primary Reference:* Represents an individual identifying number for each transaction entered into your account. It could represent the vendor invoice number, payment request number, journal entry number, travel reimbursement form number, or payroll batch number.
- *Income/Expense:* The first value in the column is the prior period, year-to-date balance for expenses incurred in the account since inception. The following amounts listed are the dollar values of each expenditure charged to your account for the month.
- *Total for Object:* The TTL amount is the total amount of expenditures to date including both prior month beginning balance and the current month activity for each budget category.

PROCEDURES MANUAL FOR PROCESSING REPORTS FOR GRANT AND CONTRACT PROJECTS



By: Debbie Linthicum
Director, Grants and Contracts
Cal Poly Pomona Foundation, Inc.
dlschroeder@cpp.edu

October 2018

Foundation Financial Services has an accounting system where you can have access to current balances of your grant and contract account(s) at any time.

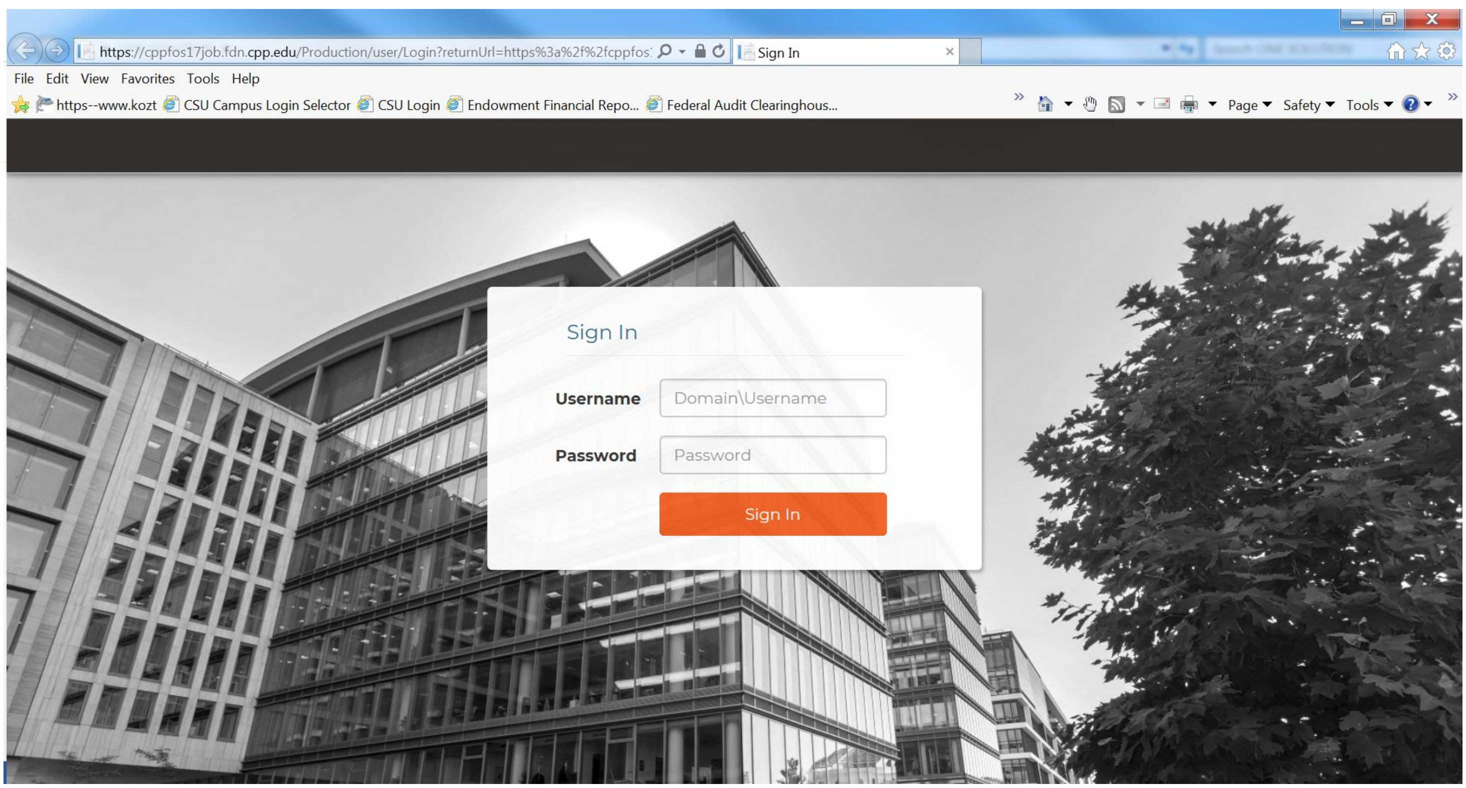
The weblink for this system is as follows:
https://onesolution.fdn.cpp.edu/Production/

A copy of this user manual can be found on our website: http://www.foundation.cpp.edu/grants-contracts/.

Your user name for this system is your email address before @cpp.edu. The temporary password is IF@S123. Please be sure to change this password to a permanent one after you log into the system for the first time.

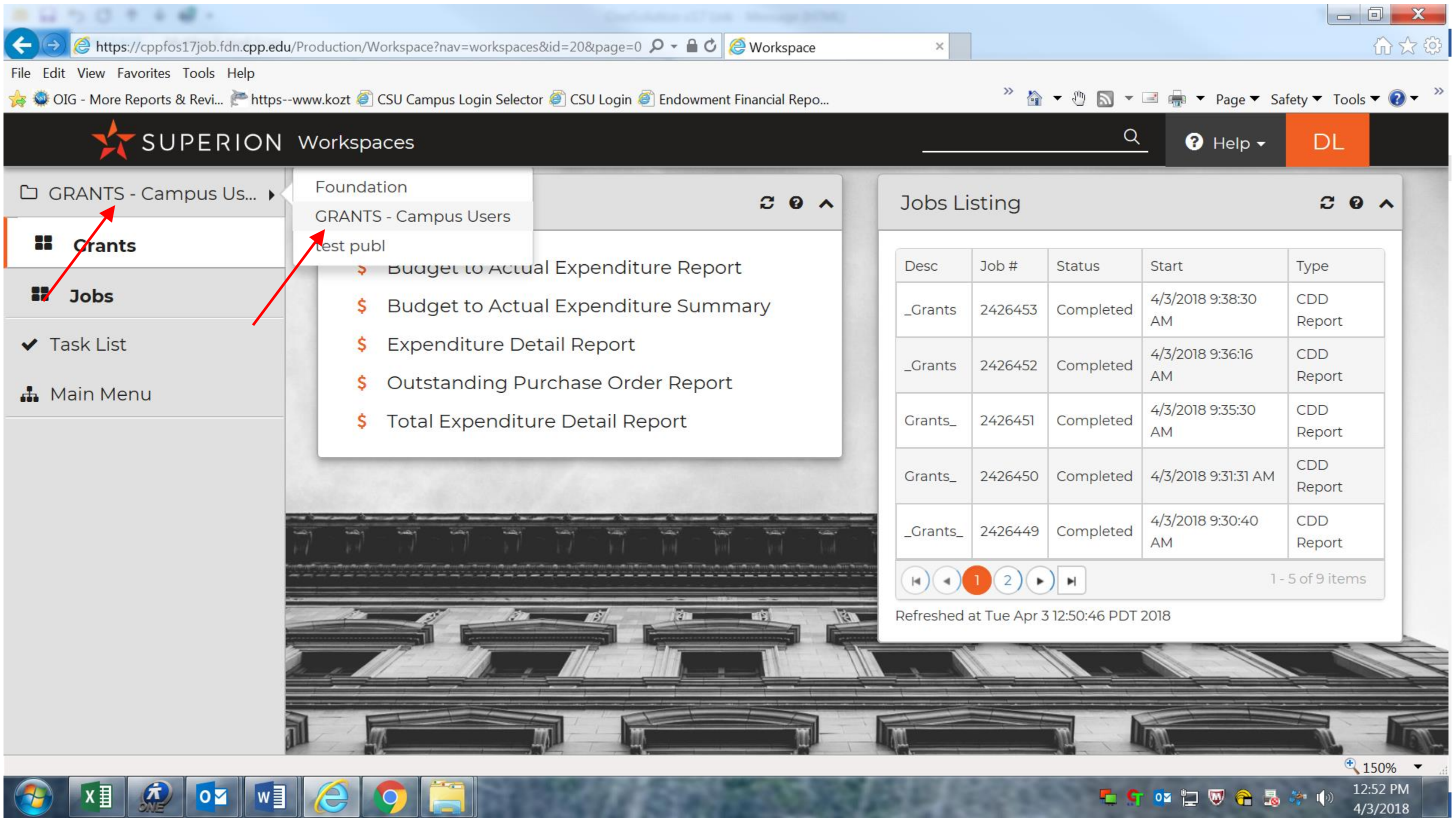
If you have any problems with accessing the system, please contact Debbie Chavez at debrachavez@cpp.edu and she can reset it for you.

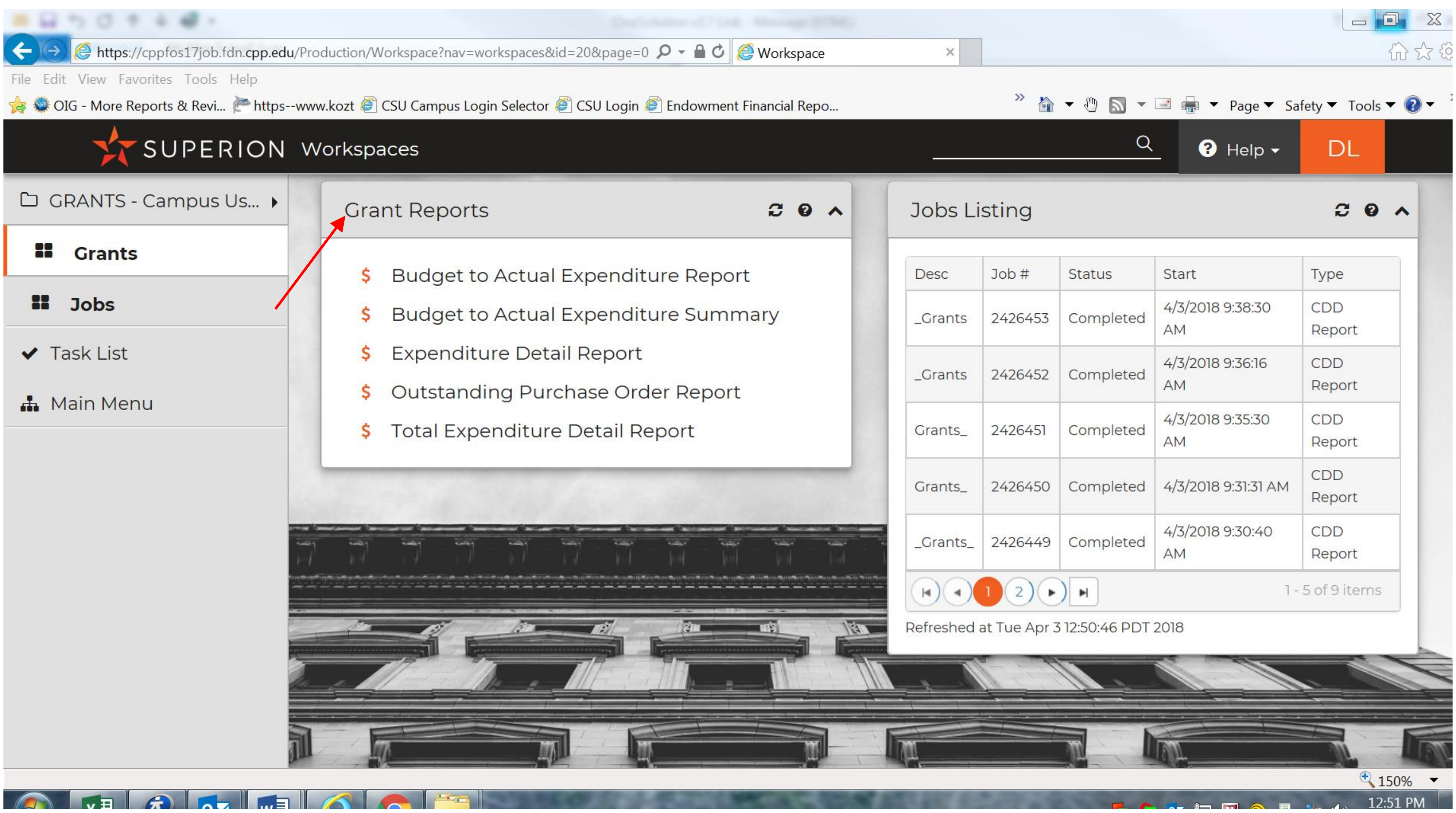
If you have not used this system for three months, your password will need to be reset.



How to Process Reports

After you have logged in, your screen should look similar to this:





There are 5 reports available for you to use.

The **Budget to Actual Expenditure Report** which details your budget activity in detail.

The **Budget to Actual Expenditure Summary** which details your budget activity in a summarized format.

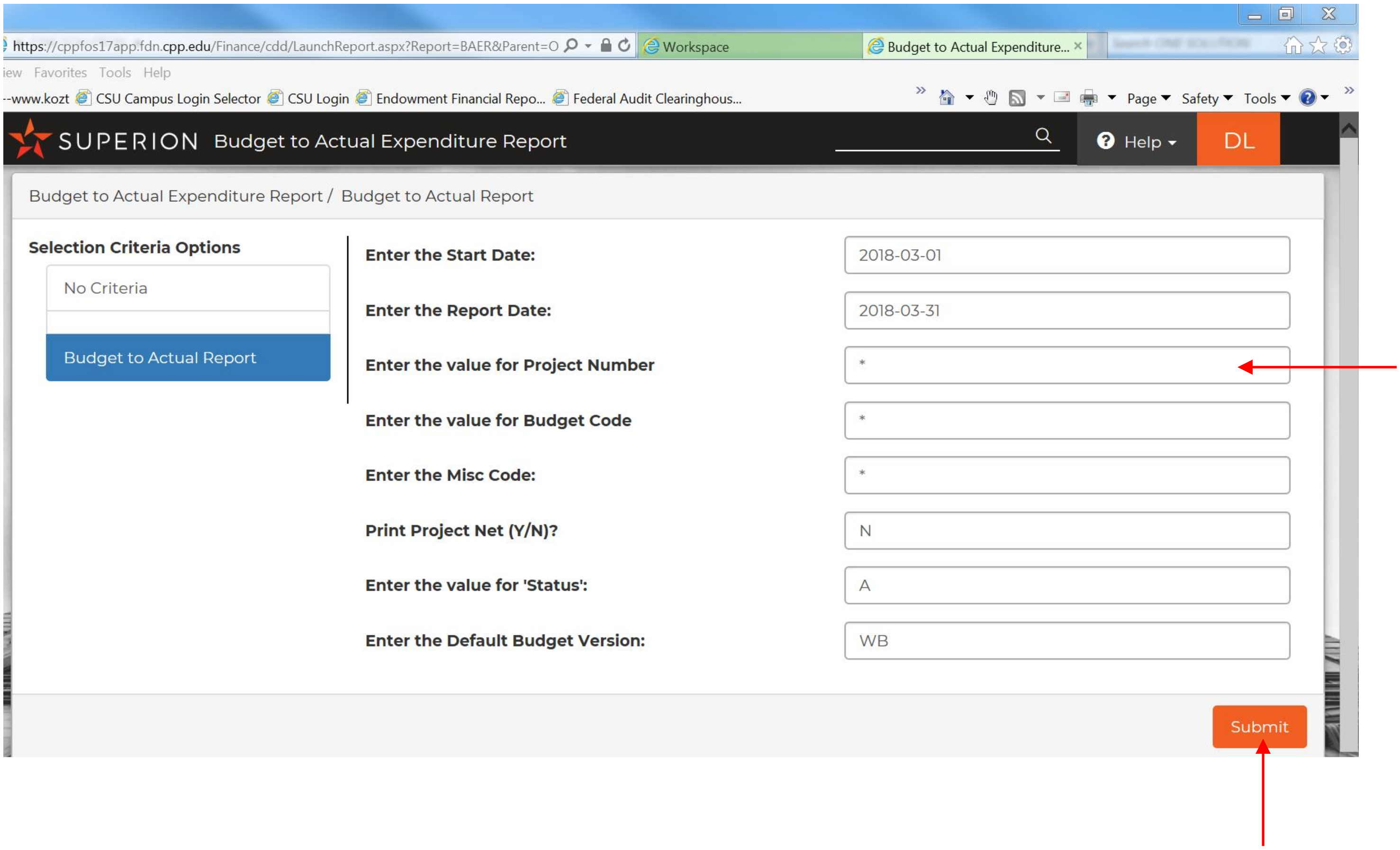
The **Expenditure Detail Report** which reports the detail of the expenditures that have been processed for your grant account.

The **Outstanding Purchase Order Report** details any outstanding Purchase Order Forms that have been processed for your account but the vendor has not been paid for the items/services to date.

The **Total Expenditure Detail Report** is a trial balance for your account which details all of the financial activity for your grant account.

Most grant accounts will use the first three reports in the administration of their project.

To Process Monthly Budget Reports, click on the **Budget to Actual Expenditure Report or the Budget to Actual Expenditure Report in Summary**:

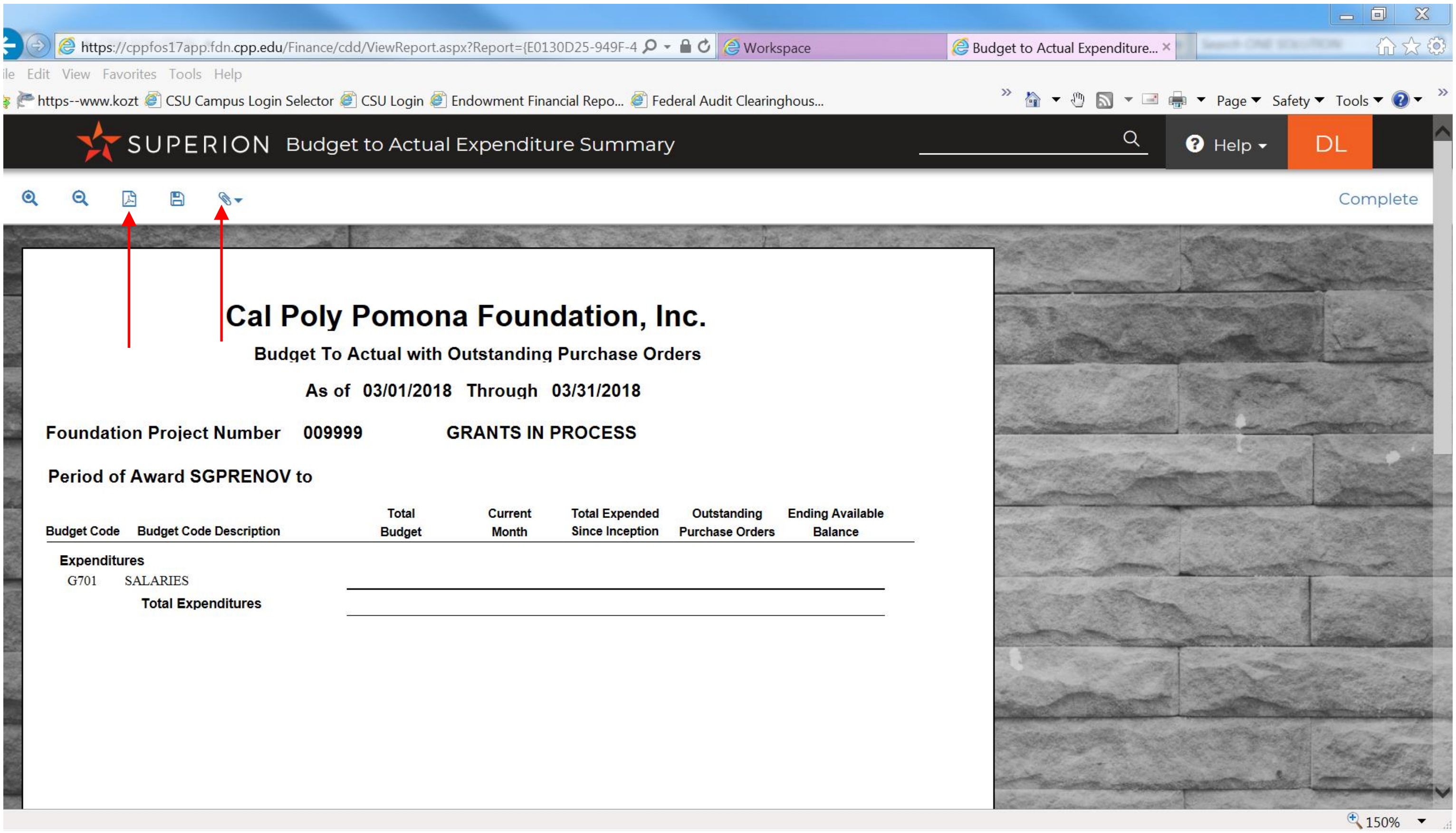


To process a current report, you do not need to change any of the information above. All you need to do is press **Submit** and your monthly report will process.

If you have more than one grant account and what to process a report for just that one account, under the "**Enter the value for Project Number**", enter your grant account number and a report will process for that one account. Otherwise, press the **Submit** button and all of the grant accounts will print at one time.

Just a word of caution for the last report, do not cross fiscal years (July 1-June 30) when you enter the dates.

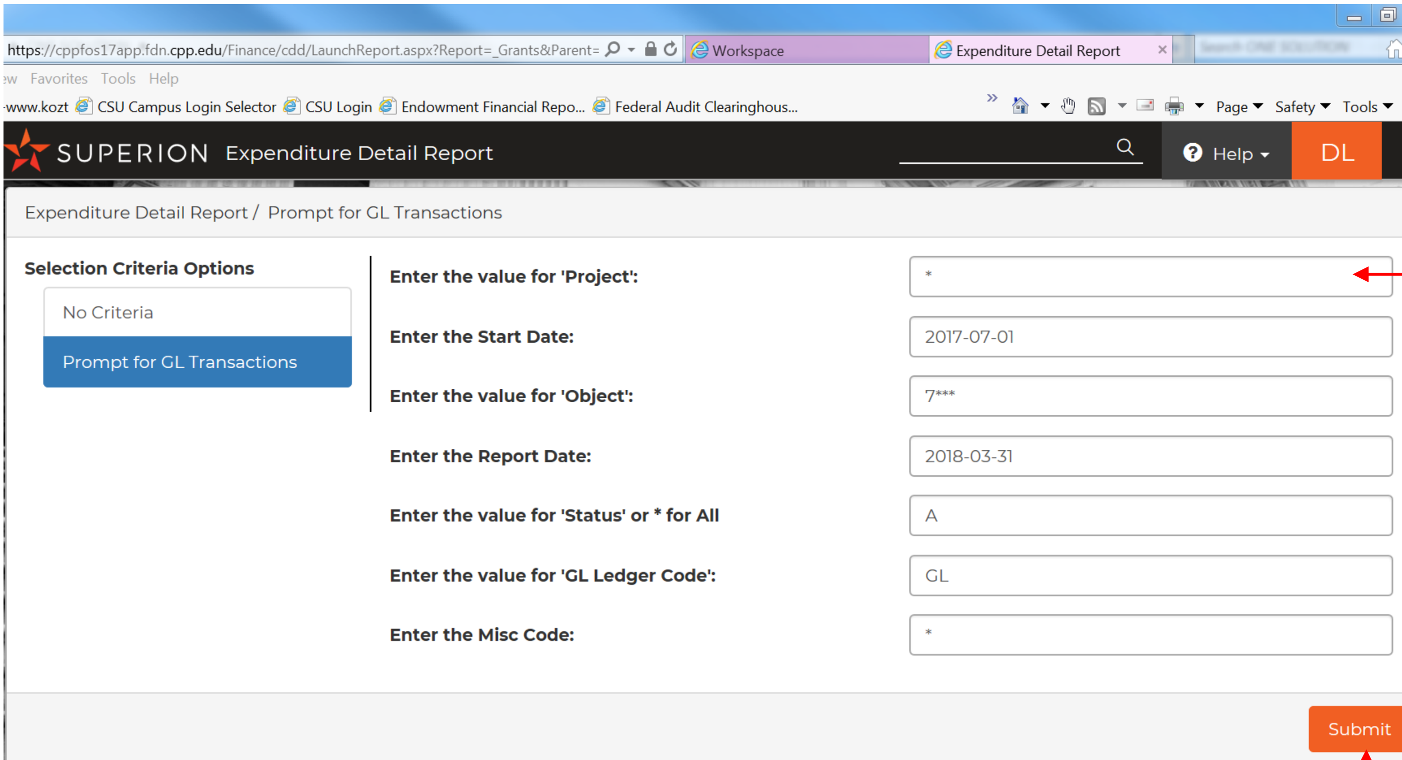
After the report has processed, the screen will look like this:



All Grant and Contract reports will need to be downloaded to Adobe and printed via your printer.

As a reminder, all reports can be saved to your computer and/or downloaded into an excel file for your convenience. If you wish to download the reports to excel, press on the paperclip icon above.

To process the report with the expenditure detail, choose **"Expenditure Detail Report"**



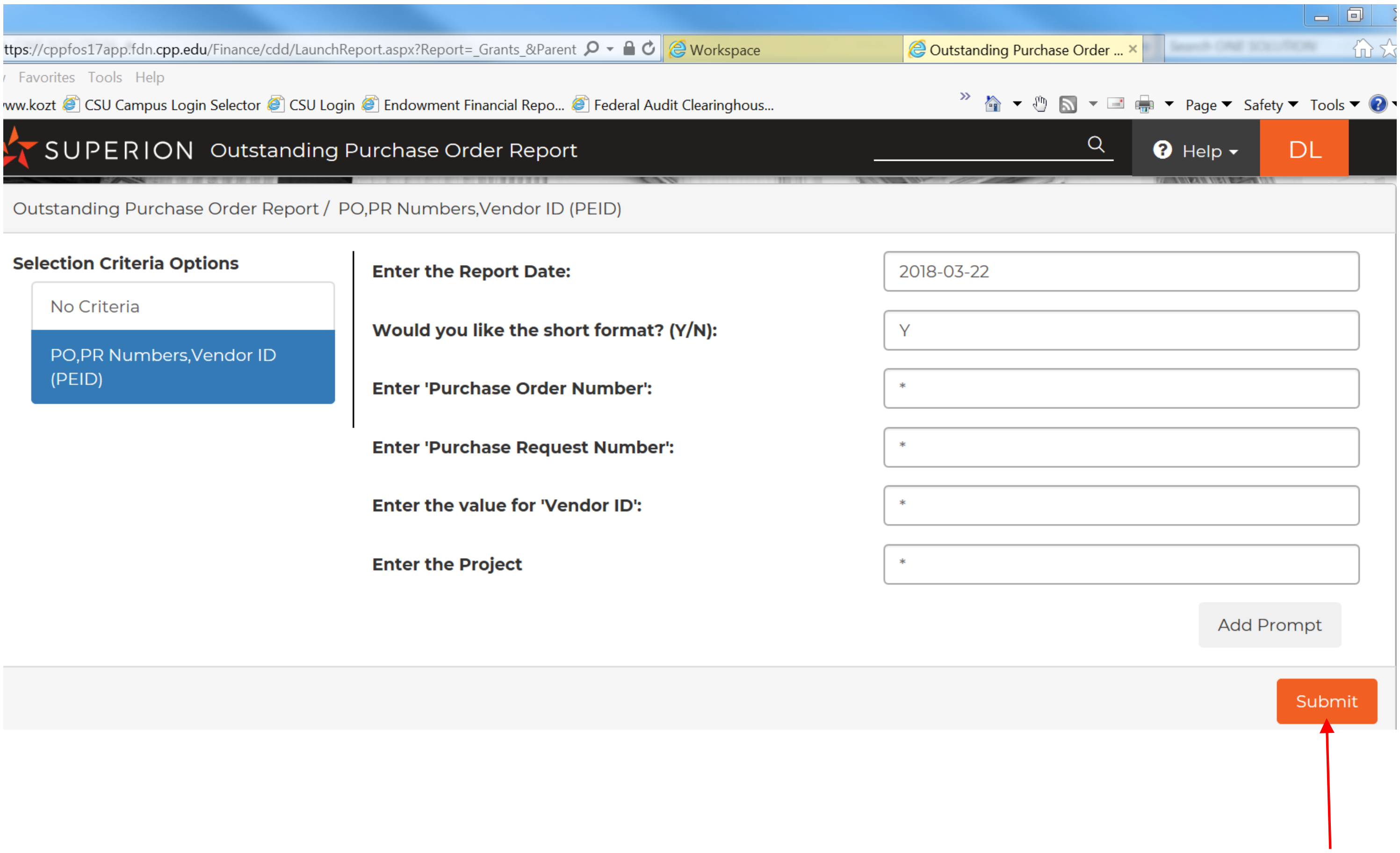
To process a current report, you do not need to change any of the information above. All you need to do is press **Submit** and your monthly report will process.

If you have more than one grant account and what to process a report for just that one account, under the "**Enter the value for Project Number**", enter your grant account number and a report will process for that one account. Otherwise, press the **Submit** button and all of the grant accounts will print at one time.

Just a word of caution, do not cross fiscal years (July 1-June 30) when you enter the dates.

Follow the same process above to print out the report to the printer.

If the account has outstanding purchase order forms, you can process a report which will give you the detail of these expenditures by processing an "**Outstanding Purchase Orders Request Report.**"



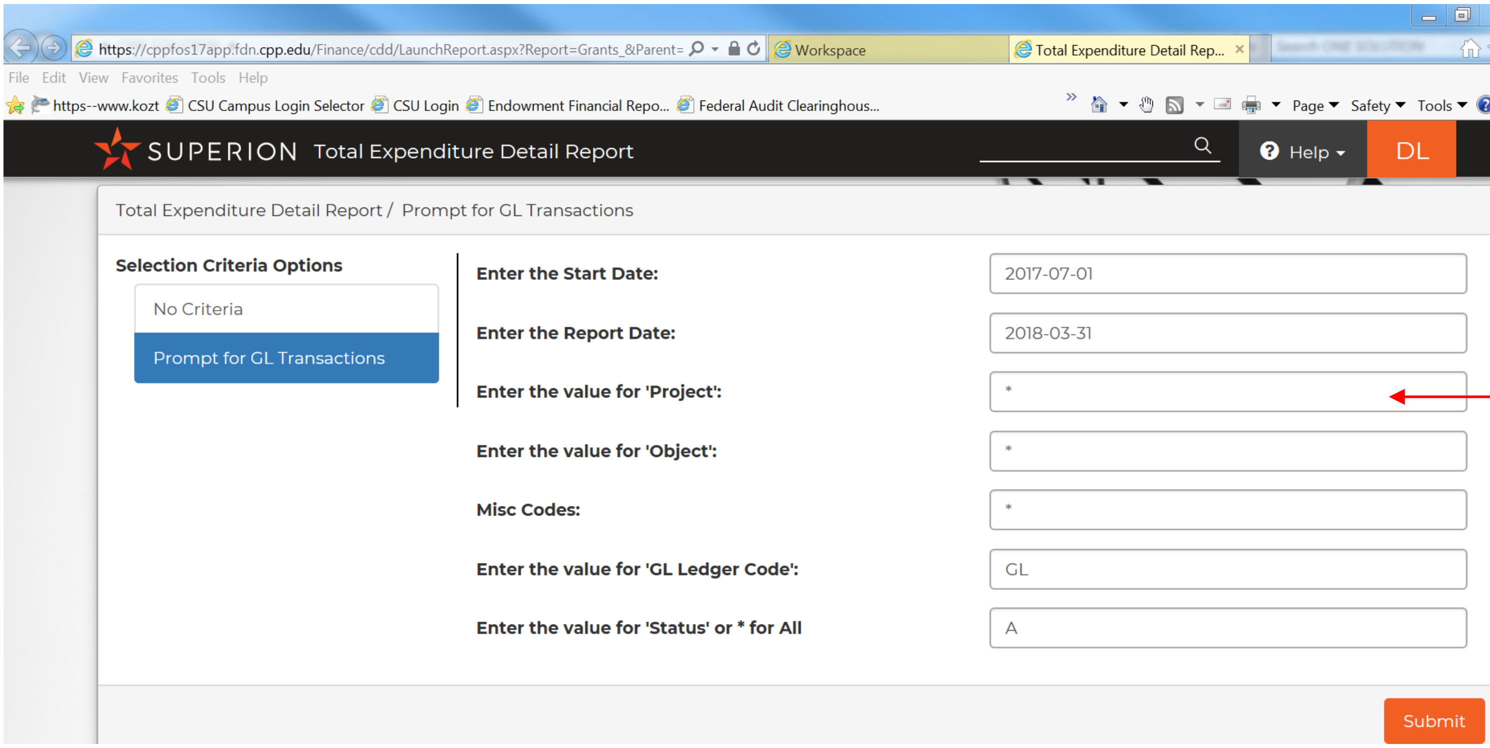
To process a current report, you do not need to change any of the information above. All you need to do is press **Submit** and your monthly report will process.

If you have more than one grant account and what to process a report for just that one account, under the "**Enter the value for Project Number**", enter your grant account number and a report will process for that one account. Otherwise, press the **Submit** button and all of the grant accounts will print at one time.

Just a word of caution, do not cross fiscal years (July 1-June 30) when you enter the dates.

Follow the same process above to print out the report to the printer.

If you need to process a Detailed Trial Balance, you can process a "**Total Expenditure Detail Report**".



To process a current report, you do not need to change any of the information above. All you need to do is press **Submit** and your monthly report will process.

If you have more than one grant account and what to process a report for just that one account, under the "**Enter the value for Project Number**", enter your grant account number and a report will process for that one account. Otherwise, press the **Submit** button and all of the grant accounts will print at one time.

Just a word of caution, do not cross fiscal years (July 1-June 30) when you enter the dates.

Follow the same process above to print out the report to the printer.

Please note, most grant accounts will not need to process this report.