

CAL POLY POMONA FOUNDATION, INC.
FINANCE & INVESTMENT COMMITTEE
Tuesday, November 21, 2023
9:00 a.m.-11:00 a.m.

Join Zoom Meeting
<https://cpp.zoom.us/j/85152043777>
Meeting ID: 851 5204 3777

AGENDA

Committee Chair: Ysabel Trinidad
Members: Michelle Cardona, Dr. Rita Kumar, Carol Lee, Dr. Phyllis Nelson, Cynthia Nelson, Naman Pandadiya, Stephanie Pastor, Ruby Suchecki, Kris Zoleta
Staff: Claudia Burciaga-Ramos, Jared Ceja, Lisa Coats, Ernest Diaz and Joanne Mathew (Committee Liaison)
Guests: Andy Price, Karin Longhurst, Celeste Salinas

I. ACKNOWLEDGEMENT OF MEMBERS OF THE PUBLIC

Who may or may not be commenting on a specific item or making a general comment.

II. CONSENT ACTION ITEMS

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

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	2. CEO's Report	Jared Ceja, CEO
V. <u>INFORMATION & DISCUSSION ITEMS</u>		
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	5. Mid-year Capital Budget Requests for 2023-2024	Jared Ceja Joanne Mathew 15 - 16
VI. <u>ACTION ITEMS</u>		
	6. Investment Portfolio Report, 1 st Quarter (time certain 9:45 AM)	Joanne Mathew Andy Price & Karin Longhurst, Graystone 17 - 35
	7. Children's Center Authorized Signature and Parent Handbook Review	Joanne Mathew Celeste Salinas, Children's Center Director 36 - 64
	8. Policy Update – #122 Minimum Authorized Signatures	Jared Ceja 65 - 69
VII. <u>OPEN FORUM</u>		
VIII. <u>ADJOURNMENT</u>	Ysabel Trinidad	.

CAL POLY POMONA FOUNDATION, INC.
Finance & Investment Committee Meeting Minutes
Tuesday, September 12, 2023
1:00-3:00 p.m.

Minutes

Notice is hereby given that a regular meeting of the Finance/Investment Committee was held by video conference/teleconference on Tuesday, September 12, 2023 at 1:00 p.m. to discuss matters on the posted agenda. The meeting notice in its entirety was posted on the internet at <https://foundation.cpp.edu/content/d/Meeting%20Packets/F&I%20Packet-09-12-23.pdf>

Members: Michelle Cardona, Dr. Rita Kumar, Cynthia Nelson, Dr. Phyllis Nelson, Stephanie Pastor, Ysabel Trinidad, Kris Zoleta

Staff: Claudia Burciaga-Ramos, Jared Ceja, Lisa Coats, Ernest Diaz, Joanne Mathew

Absent: Carol Lee, Naman Pandadiya, Ruby Suchecki

Guest(s): Karin Longhurst, Andy Price

CALL TO ORDER

Committee Chair Ysabel Trinidad began meeting discussion at 1:00 p.m.

CONSENT ACTION ITEMS

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1. Approval Finance & Investment Committee Minutes May 18, 2023
A motion was made by Dr. Phyllis Nelson and seconded by Stephanie Pastor to approve the minutes. No opposition, the minutes were approved.

GENERAL UPDATES

2 CEO's Report

Jared Ceja provided updates on various topics such as the Poly Trolley Express, Instant Access program, occupancy at the University Village, CPP Farms ice cream sales, and the potential impact of AB 1228 legislation.

Course material sales have increased for the Instant Access program with a 23.3% opt-out rate, netter than out 25% budgeted number. Negotiations with publishers are also underway to reduce costs. Occupancy at University Village is at 98.4% and growing. CPP Farms ice cream sales are exceeding expectations, with 2000 sales so far. There has been coverage in multiple newspapers and KCAL filming in the Farm Store with Chef Tonya Tardd, student Rachel Hunter, and COO Thomas Sekayan being interviewed. Jared also addressed the potential passage of legislation which provides \$20 minimum wage for food service workers and another bill that requires peace agreements for all dining and hotel contract accounts and franchise agreements. Potential results are feared to be higher prices for students and loss of student hiring and scheduling preferences. Jared also talked about filming at Lanterman and the financial implications of the ongoing strikes with the Writers Guild and the Actors Groups. As a result of the strike, there has been a significant drop in revenue from filming.

INFORMATION & DISCUSSION ITEMS

3. Introduction of Committee Members
Joanne Mathew asked each Committee Member to provide an introduction. Committee members shared unique facts about themselves.
4. Tentative Committee Meeting Schedule
The tentative committee meeting schedule was presented and finalized with full voting members. Conflicts were addressed and adjustments were made accordingly.
5. Financial Statements Review 2022-2023 (unaudited)
Joanne Mathew presented the Statement of Activities July 2022- June 2023, Fund Balance report and the Cash Flow Forecast for the next 12 months. Discussion included various topics related to financials, including dining services, bookstore, KW University Village, and real estate. Joanne discussed support programs funded by different colleges and programs held by the Foundation. Net income is lower despite stronger revenue due to higher expenses. There is a deficit in Kellogg West, but improvements are expected in the new fiscal year. The financial reports show a strong fund balance and operating surplus. The cash flow forecast aims to keep money in investments and use only what is needed for daily/weekly activity.

ACTION ITEMS

6. Investment Portfolio Report 4th Quarter
Joanne Mathew discussed the investment policy of the company, including changes in investments from 2019 to 2023. It highlights the transfer of funds to the Philanthropic foundation in 2019, and the more recent establishment of a Preferred Savings account with Morgan Stanley. The responsibility for the investment portfolio is delegated to the F&I Committee, which can outsource portfolio management to an OCIO. The investment objective is an average total annual return of 3.5% with target allocation breakdown. Andy Price and Karin Longhurst from Graystone provided an overview on the economic outlook, market trends, inflation, earnings estimates, and the portfolio's focus on diversification and value over growth. Additionally, they discussed their investment strategy, target allocation, current allocation, performance of sectors, exposure to emerging markets, overweight position in fixed income, commitment to ESG investments, and the approval of the report for the fourth quarter. The policy document is available online.

A motion was made by Cynthia Nelson and seconded by Dr. Phyllis Nelson to accept the Investment Portfolio Report 4th Quarter, no opposition, the motion was approved

OPEN FORUM

No items were discussed in open forum.

ADJOURNMENT

Committee Chair Ysabel Trinidad adjourned the meeting at 2:46 p.m.

Respectfully submitted,

Ysabel Trinidad
Finance & Investment Committee, Chair



CEO's Report

November 21, 2023

F&I Committee

Highlights

- ▶ Awards/Recognition
- ▶ Shared Services with Toro Auxiliary
- ▶ Instant Access Results
- ▶ Pumpkin Fest Results
- ▶ Org. Chart Review - Financial Services



Memorandum – Informational

Date: November 21, 2023

To: Finance & Investment Committee

Attached: Approved Rate agreement for Colleges & Universities with CPPF

From: Joanne Mathew, CFO

Subject: Indirect Cost Rate Renewal

Cal Poly Pomona Foundation, in collaboration with ORSP and Administrative Affairs, is currently working with Attain Partners on our Facilities and Administration (F&A) rate renewal beginning July 1, 2024. The rate is negotiated with the U.S. Department of Health and Human Services (DHHS) before the renewal becomes finalized.

Our current F&A rate was renewed July 1, 2015, after which it was extended for another four years in discussion with DHHS. The rate will expire on June 30, 2024.

The purpose of an indirect cost rate agreement is to publish the reimbursement rate(s) negotiated between DHHS and CPPE, which reflects the indirect costs (e.g. facilities and administrative costs) and fringe benefit expenses incurred by CPPE in support of grants, contracts, and other agreements with the Federal Government.

Specifics on the proposed rate will be brought to the Board at a future meeting.

COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN:
 ORGANIZATION:
 Cal Poly Pomona Foundation, Inc.
 3801 West Temple Avenue
 Pomona, CA 91768

DATE:05/18/2020
 FILING REF.: The preceding
 agreement was dated
 04/27/2017

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: Facilities And Administrative Cost Rates

RATE TYPES: FIXED FINAL PROV. (PROVISIONAL) PRED. (PREDETERMINED)

EFFECTIVE PERIOD

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE (%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PRED.	07/01/2020	06/30/2024	47.00	On-Campus	Organized Res.
PRED.	07/01/2020	06/30/2024	26.00	Off-Campus	Organized Res.
PRED.	07/01/2020	06/30/2024	50.00	On-Campus	Instruction
PRED.	07/01/2020	06/30/2024	26.00	Off-Campus	Instruction
PRED.	07/01/2020	06/30/2024	34.00	On-Campus	Other Spons Act
PRED.	07/01/2020	06/30/2024	26.00	Off-Campus	Other Spons Act
PROV.	07/01/2024	Until Amended			Use same rates and conditions as those cited for fiscal year ending June 30, 2024.

*BASE

ORGANIZATION: Cal Poly Pomona Foundation, Inc.

AGREEMENT DATE: 5/18/2020

Modified total direct costs, consisting of all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

ORGANIZATION: Cal Poly Pomona Foundation, Inc.

AGREEMENT DATE: 5/18/2020

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

The fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

OFF-CAMPUS DEFINITION: For all activities performed in facilities not owned by the institution and to which rent is directly allocated to the project(s), the off-campus rate will apply. Actual costs will be apportioned between on-campus and off-campus components. Each portion will bear the appropriate rate.

DEFINITION OF EQUIPMENT

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds \$5,000.

The following fringe benefits are treated as direct costs:

FICA, SUI, WORKERS COMPENSATION, LIFE INSURANCE, HEALTH INSURANCE, AND RETIREMENT.

NEXT PROPOSAL DUE DATE

A proposal based on actual costs for fiscal year ending 06/30/23, will be due no later than 12/31/23.

The four year extension of the indirect cost rate was granted in accordance with 2 CFR 200.414(g).

ORGANIZATION: Cal Poly Pomona Foundation, Inc.

AGREEMENT DATE: 5/18/2020

SECTION III: GENERAL

A. LIMITATIONS:

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its facilities and administrative cost pools as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as facilities and administrative costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situations the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. ACCOUNTING CHANGES:

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from facilities and administrative to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES:

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES:

The rates in this Agreement were approved in accordance with the authority in Title 2 of the Code of Federal Regulations, Part 200 (2 CFR 200), and should be applied to grants, contracts and other agreements covered by 2 CFR 200, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal Agencies to give them early notification of the Agreement.

E. OTHER:

If any Federal contract, grant or other agreement is reimbursing facilities and administrative costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of facilities and administrative costs allocable to these programs.

BY THE INSTITUTION:

Cal Poly Pomona Foundation, Inc.

(INSTITUTION)



(SIGNATURE)

Jared Ceja

(NAME)

Executive Director

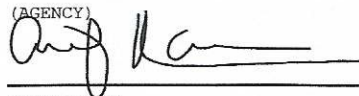
(TITLE)

6/7/20

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)


Arif Karim

(SIGNATURE)
Arif Karim

(NAME)

Director, Cost Allocation Services

(TITLE)

5/18/2020

(DATE) 1733

HHS REPRESENTATIVE: Karen Wong

Telephone: (415) 437-7820

**CAL POLY POMONA FOUNDATION, INC.
FACILITIES AND ADMINISTRATIVE COST RATES
FOR THE PERIOD JULY 1, 2020 THROUGH JUNE 30, 2024**

**EXHIBIT A
PAGE 1 OF 1**

	ORGANIZED RESEARCH			INSTRUCTION			OTHER SPONSORED ACTIVITIES		
	JULY 1, 2020 THROUGH JUNE 30, 2024			JULY 1, 2020 THROUGH JUNE 30, 2024			JULY 1, 2020 THROUGH JUNE 30, 2024		
	ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS		ON-CAMPUS	OFF-CAMPUS	
BUILDING	6.00%			4.30%			1.70%		
EQUIPMENT	1.50%			1.60%			0.70%		
INTEREST	2.80%			2.00%			0.90%		
OPERATIONS & MAINT	10.30%			12.50%			4.60%		
LIBRARY	0.40%			3.60%			0.10%		
GENERAL ADMIN	9.90%			8.00%			13.00%		
DEPT ADMIN	7.90%			15.00%			17.30%		
SPON PROJ ADMIN	8.20%			3.00%			0.50%		
STUDENT SERV ADMIN	0.00%			0.00%			14.30%		
ADMIN COMPONENTS	26.00%	26.00%	26.00%	26.00%	26.00%	26.00%	45.10%	26.00%	
TOTAL	47.00%	26.00%		50.00%	26.00%		34.00%	26.00%	

* Reflects provisions of Appendix III to Part 200 of Uniform Guidance - Indirect (F&A) Costs Identification and Assignment, and Rate Determination for Institutions of Higher Education (IHEs), C.8. dated December 26, 2013.

CONCUR:

(SIGNATURE)

Executive Director

TITLE

6/7/20

DATE



Cal Poly Pomona Foundation, Inc.
Statement of Activities
For Period Ending Sep 30, 2023

	REVENUES		EXPENSES - Payroll		EXPENSES - Other			EXPENSES - Total		SURPLUS/(DEFICIT)			Annual Forecast FY 23-24	Annual Budget FY 23-24	As of 9/30/23 Fund Balance
	FY 23-24 YTD	FY 23-24 YTD	FY 23-24 YTD	FY 23-24 YTD	FY 23-24 YTD		FY 23-24 YTD	FY 23-24 YTD	FY 23-24 YTD						
	Actual	Budget	Actual	Budget	Admin Fees	Other Expense	Actual	Budget	Actual	Budget	\$ Variance				
Enterprise Activities															
Dining Services	4,492,862	4,543,823	1,719,478	1,726,955	277,951	2,326,740	2,604,691	2,745,414	4,324,169	4,472,369	168,693	71,454	97,238	999,266	902,028
Bookstore	6,148,234	6,016,400	346,844	428,555	50,250	4,978,529	5,028,779	5,208,924	5,375,623	5,637,479	772,611	378,921	393,690	738,587	519,897
Kellogg West	782,665	1,392,703	590,364	621,804	45,648	448,447	494,095	580,161	1,084,459	1,201,965	(301,794)	190,738	(492,532)	885	20,773
University Village	2,009,219	1,775,068	624,622	617,514	130,274	1,321,065	1,451,340	1,568,251	2,075,962	2,185,765	(66,743)	(410,697)	343,954	2,019,004	2,269,004
Real Estate/Rentals	1,957,184	2,134,506	130,188	124,056	89,042	880,713	969,754	1,229,215	1,099,942	1,353,271	857,242	781,235	76,007	2,432,944	2,356,944
Total Enterprise Activities	15,390,164	15,862,500	3,411,497	3,518,884	593,165	9,955,494	10,548,659	11,331,965	13,960,155	14,850,849	1,430,009	1,011,651	418,358	6,190,686	6,068,646
Other Activities															
Investments	(947,869)	262,500	0	0	0	20,901	20,901	25,500	20,901	25,500	(968,770)	237,000	(1,205,770)	359,000	948,000
Administration	125,580	123,873	1,270,497	1,634,548	(929,012)	332,133	(596,879)	(435,540)	673,618	1,199,008	(548,037)	(1,075,135)	527,098	(2,528,389)	(2,987,667)
Total Other Activities	(822,289)	386,373	1,270,497	1,634,548	(929,012)	353,033	(575,979)	(410,040)	694,518	1,224,508	(1,516,807)	(838,135)	(678,672)	(2,169,389)	(2,039,667)
Total Enterprises+Other Activities	14,567,875	16,248,873	4,681,994	5,153,432	(335,847)	10,308,527	9,972,680	10,921,925	14,654,674	16,075,357	(86,798)	173,516	(260,314)		17,484,095
Designated Funds															
Annual Designated	4,960	0	8,895	0	0	55,655	55,655	462,492	64,550	462,492	(59,590)	(462,492)	402,902	(1,850,000)	(1,850,000)
Total Designated Funds	4,960	0	8,895	0	0	55,655	55,655	462,492	64,550	462,492	(59,590)	(462,492)	402,902		
Support Activities															
Bronco One Card	247,007	60,214	60,283	60,870	1,767	31,316	33,083	56,372	93,366	117,242	153,641	(57,028)	210,669	4	4
Research Office	736,860	418,251	38,985	75,292	270,008	377,867	647,875	292,959	686,861	368,251	50,000	50,000	(0)	50,000	50,000
Agriculture	688,574	887,326	449,777	412,785	27,345	779,363	806,708	799,749	1,256,485	1,212,534	(567,911)	(325,208)	(242,703)	166,864	366,864
College of P&GE	797,687	676,492	406,279	345,454	35,930	100,883	136,813	242,715	543,092	588,169	254,596	88,323	166,273	(225,375)	(455,375)
Support Programs	950,296	0	428,142	0	798	399,664	400,462	0	828,604	0	121,692	0	121,692	121,692	0
Total Support Activities	3,420,424	2,042,283	1,383,466	894,401	335,847	1,689,093	2,024,940	1,391,795	3,408,407	2,286,196	12,018	(243,913)	255,931	113,185	(38,507)
Operating Surplus (Deficit)	18,815,549	17,904,783	4,803,858	4,413,285	929,012	11,700,242	12,629,254	13,186,252	17,433,112	17,599,537	1,382,437	305,246	1,077,191	4,453,871	4,180,139
Unrest. Surplus (Deficit)	17,993,260	18,291,156	6,074,355	6,047,833	0	12,053,275	12,053,275	12,776,212	18,127,630	18,824,045	(134,370)	(532,889)	398,519	2,284,482	2,140,472
Grants+Transfers															
Grants and Contracts	6,233,080	3,758,667	0	0	0	6,233,080	6,233,080	3,758,667	6,233,080	3,758,667	0	0	0	0	0
Vesting Grant Assets	0	0	0	0	0	(6,117)	(6,117)	0	(6,117)	0	6,117	0	6,117	0	0
Transfers	0	0	0	0	0	23,520	23,520	0	23,520	0	(23,520)	0	(23,520)	0	0
Total Grants+Transfers	6,233,080	3,758,667	0	0	0	6,250,484	6,250,484	3,758,667	6,250,484	3,758,667	(17,403)	0	(17,403)		
Total Foundation Net	24,226,340	22,049,823	6,074,355	6,047,833	0	18,303,759	18,303,759	16,534,879	24,378,114	22,582,712	(151,774)	(532,889)	381,115	2,284,482	2,140,472

Cal Poly Pomona Foundation, Inc.
Fund Balance and Net Position (Current only) - Preliminary
As of Sep 30, 2023

Current Assets	Unrestricted	Restricted	Total
Cash	197,543	224,394	421,936
Investments	46,502,589	1,449,044	47,951,633
Receivables	10,449,625	2,098,330	12,547,956
Lease Receivables (short-term)	868,161	-	868,161
Lease Receivables (long-term)	92,863,659	-	92,863,659
Inventories	2,651,079	20,190	2,671,268
Prepaid	1,246,509	510	1,247,019
Due to/from	(22,157,509)	22,157,509	-
Other	0	0	0
Current Assets	132,621,655	25,949,977	158,571,632

Current Liabilities	Unrestricted	Restricted	Total
Accounts Payable	7,141,071	466,189	7,607,260
Accrued Liabilities	2,566,664	853,333	3,419,997
Deferred Income	(289,696)	323,639	33,943
Other	204	44,215	44,419
Current Liabilities	9,418,244	1,687,375	11,105,619

Fund Balances	Unrestricted	Restricted	Total
Net Assets Beginning	37,964,631	23,975,366	61,939,997
Net Change in Position	17,219,414	56,316,390	73,535,804
Fund Balances	55,184,045	80,291,755	135,475,800

Note:

Restricted funds in the Foundation include sponsored programs and foundation programs

Liquidity ratios:

$$\begin{aligned} \text{Current Ratio} &= \text{Current Assets/Current Liabilities} \\ \text{Quick Ratio} &= (\text{Current Assets- Inventory})/\text{Current Liabilities} \end{aligned}$$

Liquidity Ratio	CPPF	Benchmark
Current Ratio	4.13	1.5-3
Quick Ratio	3.85	>=1

Available Resources

Unrestricted current assets	132,621,655
Less Inventory	(2,651,079)
Less Current Liabilities	(9,418,244)
Less Long-term Portion of Lease Receivables	(92,863,659)

Available Resources As of Sep 30, 2023 **27,688,673**

Operating Surplus for the period before depreciation 642,973

As of Sep 30, 2023 , net **28,331,646**

Operating surplus/(deficit) before depreciation at year-end 5,215,363

Total unrestricted funds year-end **32,904,036**

Cal Poly Pomona Foundation

Cash Flow Forecast

Sep-23 to Jun-24

	Sep-23	Oct-23	Nov-23	Dec-23	Jan-24	Feb-24	Mar-24	Apr-24	May-24	Jun-24
Operating cash - Beginning Balance	3,241,114	2,953,730	5,512,771	7,906,419	2,054,612	5,554,235	2,078,803	2,921,376	6,201,543	5,053,420
Cash Inflow	Sep-23									
Operating cash inflow	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast
Cash from operations	6,617,755	7,080,791	8,701,127	4,049,814	9,135,361	5,175,253	6,169,081	7,600,366	6,367,106	4,714,619
Grants & Contracts	381,204	564,524	1,978,565	1,033,742	1,008,353	153,210	204,964	159,056	119,206	190,930
Financing Activities										
GIP - withdrawals	-	4,000,000	1,000,000	-	2,500,000	-	2,500,000	4,000,000	3,000,000	-
LOC - withdrawals	-	-	-	-	-	-	-	-	-	-
Other financing	-	-	-	-	-	-	-	-	-	-
Total Cash Inflow	6,998,959	11,645,314	11,679,692	5,083,556	12,643,714	5,328,463	8,874,044	11,759,423	9,486,312	4,905,549
Cash Outflow										
Operating cash outflow	Actual	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast	Forecast
Expenses from operations	4,337,135	6,050,609	6,045,574	6,709,249	6,836,292	5,090,785	4,824,601	5,528,678	5,157,877	4,824,701
Salaries/wages	2,095,915	2,133,109	1,796,190	2,796,434	1,304,145	2,654,080	2,352,914	2,170,998	4,499,371	2,038,942
Tax/Benefit payments	419,091	267,555	809,279	794,680	368,654	424,030	218,955	144,580	342,187	290,725
Capital Expenditure										
Capital projects	434,203	635,000	635,000	635,000	635,000	635,000	635,000	635,000	635,000	635,000
Financing Activities										
GIP - deposits	-	-	-	-	-	-	-	-	-	-
LOC - repayment	-	-	-	-	-	-	-	-	-	-
LOC - interest	-	-	-	-	-	-	-	-	-	-
Lease payments	-	-	-	-	-	-	-	-	-	-
Other financing	-	-	-	-	-	-	-	-	-	-
Total Cash Outflow	7,286,343	9,086,273	9,286,043	10,935,363	9,144,091	8,803,895	8,031,471	8,479,256	10,634,435	7,789,368
Net Cash Activities	(287,384)	2,559,041	2,393,648	(5,851,807)	3,499,622	(3,475,432)	842,574	3,280,167	(1,148,122)	(2,883,819)
Operating cash - Ending Balance	2,953,730	5,512,771	7,906,419	2,054,612	5,554,235	2,078,803	2,921,376	6,201,543	5,053,420	2,169,601



Memorandum

Date: November 21, 2023

To: Finance & Investment Committee

From: Jared Ceja, Chief Executive Officer

Attached: Capital Budget Schedule – Mid-Year

Subject: **Mid-Year Capital Budget Update 2023-2024**

Management would like to provide an update on the Emergency & Unanticipated Needs fund (\$525,000) approved by the Board on May 25, 2023. Unanticipated equipment breakdowns and operating needs have occurred throughout our various programs, specifically in Dining Services and Real Estate resulting in the necessity to draw from the Emergency & Unanticipated Needs fund mid-year. These needs directly impact the day-to-day operations and affected their ability to provide consistent service, and, in Real Estate, is a health and safety concern.

- 1) \$15,000 (Programmatic)– The current fleet of delivery vehicles for Retail Catering is insufficient to support projected needs for Spring 2024. One additional electric delivery cart will be procured to support retail catering and dining services. Cart will also be used for supporting additional retail store product deliveries and restocking.
- 2) \$40,000 (Deferred Maintenance) – The existing frozen yogurt machine utilized in Centerpointe more often out of service than in service, and has become increasingly difficult to maintain due to its age being beyond a typical lifecycle of such machine. The new frozen yogurt machine quoted for purchase is expected to be more reliable and has low maintenance needs.
- 3) \$15,000 (Contractual/Legal) – One of two existing Turbo Chef ovens at Starbucks is broken and non-reparable. Starbucks license requires to purchase two newest models when one breaks.
- 4) \$78,000 (Health & Safety) – Building roof re-coat needed to seal openings and prevent further water intrusion in Tenant spaces. Roof includes a 15 year leak free warranty.
- 5) \$23,000 (Health & Safety) – Additional capital for repair and sectional replacement of roof at Building #55 due to expansion of scope.

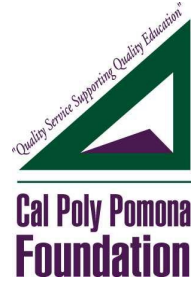
CAL POLY POMONA FOUNDATION
2023-2024 CAPITAL EXPENDITURES BUDGET
MID-YEAR UPDATE

Project	Division	Capital Budget Carryover to Current Budget Year	2023-2024 Budget Update	Purpose	Category
Dining Services					
170500	Campus Center Marketplace		15,000	Delivery Cart- Rapidly expanding retail catering deliveries + retail store product deliveries/restocking.	Programmatic
170130	Centerpointe		40,000	Self-cleaning frozen yogurt machine, plus service plan and extended warranty. Current machine is breaking down frequently	Deferred Maintenance
170108	Starbucks		15,000	Existing turbo chef is broken and non-repairable; Starbucks license requires to purchase two newest models when one breaks	Contractual/Legal
Dining Services Total		-	70,000		
Administration					
190040	Building #55	20,500	23,000	Additional capital for repair and sectional replacement of roof	Health & Safety
Administration Total		20,500	23,000		
Real Estate Activities					
220080	Center for Training Technology and Incubation	-	78,000	Building roof re-coat needed to seal openings and prevent further water intrusion in Tenant spaces. Roof includes a 15 year leak free warranty	Health & Safety
Real Estate Activities Total		-	78,000		
Grand Total		20,500	171,000		

Mid-Year Needs	<u>\$ 171,000</u>
Pre-approved Funds Used	<u>171,000</u>
Additional Capital Needs	<u>\$ -</u>

Memorandum

Date: November 21, 2023
To: Finance & Investment Committee
From: Joanne Mathew, Chief Financial Officer



Subject: INVESTMENT PORTFOLIO REPORT – 1st Quarter 2023-2024

The Foundation's General Investment Policy 131 requires a comprehensive quarterly report of the investment portfolio's performance be provided to the members of the Finance & Investment Committee and Board of Directors at each regularly scheduled meeting. This quarter's results were greatly impacted by the overall Bear Market and compounded by similar challenges in the bond market.

GENERAL INVESTMENT PORTFOLIO

The General Investment Portfolio ("Portfolio") has a current market value of \$46.5 million as of September 30, 2023 with 27% Fixed Income, 54% Equities, 18% Alternatives, and 1% Cash. All allocations are within current policy ranges. The majority portion managed by Graystone Consulting has a current market value of \$37.4 million. The last twelve-month return (9/30/22-9/30/23) was an increase of 10.7%. In addition, there is \$8.8M in the preferred savings account at Morgan Stanley as of September 30, 2023. Additional information is included in the report provided by Graystone.

Management received capital call notices and has contributed \$236,250 against its commitment of \$250,000 to Capital Partners IV and \$700,500 against its commitment of \$750,000 to Capital Private Equity Partners VII, and received distributions of \$1,803,142. The Capital Balance is valued at \$243,024. The Common Fund Summary Investment and Performance Reports are available for further details.

BE IT RESOLVED, that the members of the Finance & Investment Committee have reviewed the comprehensive quarterly investment report and believe the report is in compliance with the investment policy and recommends the quarterly investment report be presented to the Board of Directors at their next regularly scheduled meeting.

PASSED AND ADOPTED THIS 21ST DAY OF NOVEMBER 2023.

By: _____
Ysabel Trinidad, Chair
Finance & Investment Committee

Graystone
ConsultingSM

A business of Morgan Stanley

Cal Poly Pomona Foundation



Andrew B. Price, CIMA® (310) 788-2043
Managing Director, Wealth Management
Institutional Consulting Director
andrew.price@msgraystone.com

Karin Longhurst, CTFA (310) 788-2156
Senior Vice President, Wealth Management
Senior Institutional Consultant
karin.longhurst@msgraystone.com

Capital Markets Commentary 9-30-2023

1999 Avenue of the Stars, Suite 2400
Los Angeles, CA 90067

Executive Summary

Markets

- After peaking at the end of July at \$4589, the S&P 500 bear market retracement rally, which brought indices to within as much 10% of their 2022 highs, has spent the last 10 weeks stalled out. The S&P 500 has been trading between \$4250 and \$4400 as investor attention shifts from inflation and Fed policy, which has driven the rally through multiple expansion, to achievement of increasingly ambitious and rebounding earnings. Year-to-date, the S&P 500 is up about 12% while the NASDAQ is up about 26%. Equal-weighted indices and the median stock are roughly flat year-to-date.
- The most notable shift in market drivers over the last 10 weeks is the rout in the long-duration Treasury market. Over the last 10 weeks, 10-year interest rates have increased more than 130 basis points to a 16-year high of around 4.8%, with the real rate—critical to equity valuations—hitting around 2.5%, its highest level since 2008. Equally critical is that over the past three months, term premiums have turned strongly positive for the first time in about seven years. Rates are being driven by a set of new factors: excess Treasury supply, owing to US bulging debt; ratings downgrades and concerns about debt sustainability; policy uncertainty; buyer hurdles for Japan and China; and shifting global yield dynamics. Financial conditions are finally starting to tighten.

Economy

- The US consumer and strong fiscal tailwinds to infrastructure-linked capital expenditures continue to support economic growth. Q3 GDP looks to be extremely strong, estimated at over 4%. While consumer headwinds are building, the US labor market remains resilient. Employment remains stable, close to full employment with the unemployment rate at 3.8%. The labor market is also experiencing its highest participation rate post-Covid.
- The inflation picture is also mixed with most metrics hovering around a 4% annual pace of price hikes. Goods prices are entering deflation, while services prices are still increasing well above the 2% inflation target. Additionally, labor unions are extracting aggressive wage concessions, single family home prices (and thus rents) have stabilized, and oil prices have increased roughly 25% from their spring lows. Geopolitical tensions in the Middle East are adding to supply-side uncertainty.
- Risk of recession remains at least 30%-40% in the next 12 months, based on leading economic indicators, policy lags, and the record length of yield curve inversion. A surging US dollar, hitting six-month highs, is not constructive for US multinational corporations.

Fed Policy

- The main drivers of hawkish Fed policy have shifted from containing headline inflation to containing growth and labor market strength, which are the sources of stickier inflation. “Higher for longer” is priced into many parts of the Treasury market, but Fed Funds futures still discount four rate cuts in the coming year, versus Fed guidance of no more than two. Equity markets are still not discounting new level of rates, and the implication is an unattractive equity risk premium for the S&P 500 of about 100 basis points.

Corporate Earnings

- 2023 earnings are now expected to be up to about \$232 per share. Revision trends have been positive, with 12-month forward estimates at \$260 per share and 2025 full-year estimates up 12%, nearing \$285/share.

GIC Recommendations for Portfolio Positioning

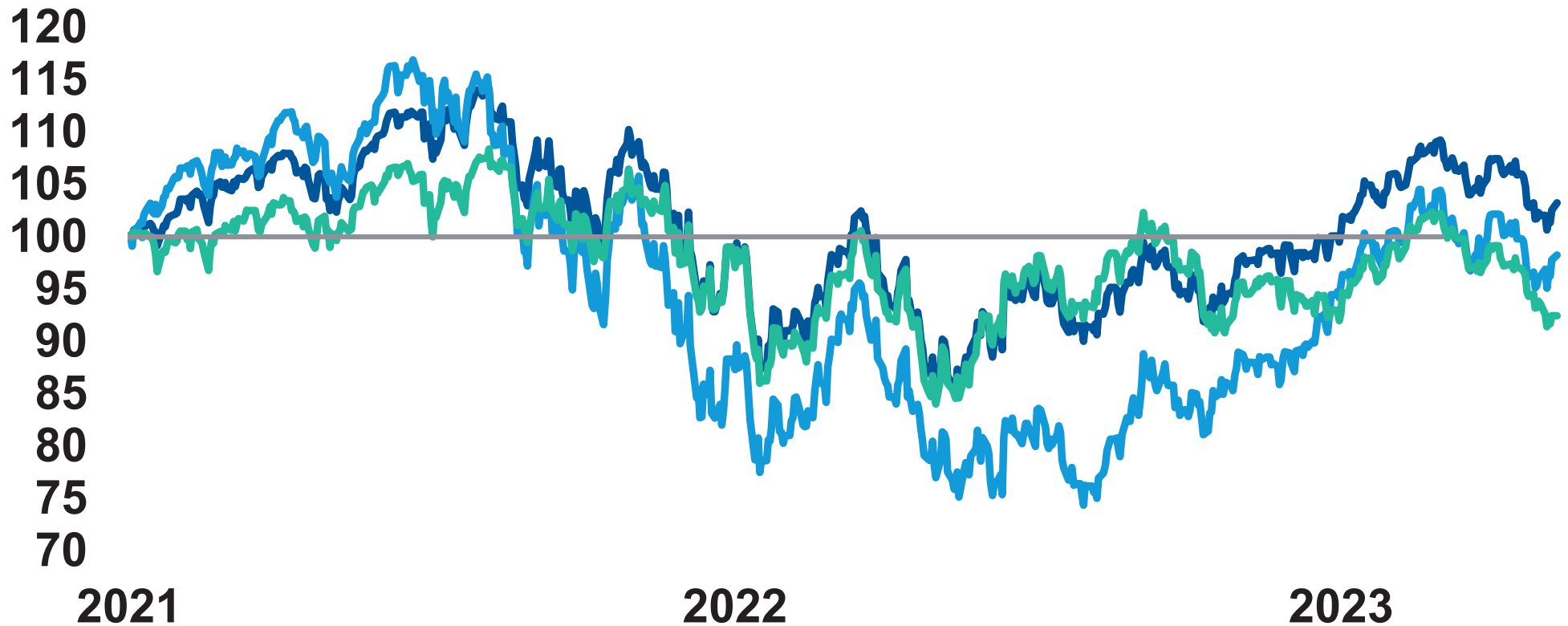
- **Overall, we remain underweight global equities (including US equities), believing that risks remain skewed to the downside, with our June 2024 S&P 500 target price at \$4200. That said, we are inclined to neutralize strong factor positionings. We are balancing exposures between defensive and cyclical, growth and value, and mega-cap and small-cap.**
- **Alternatively, we are remaining overweight fixed income, believing that a “higher-for-longer” regime creates opportunities to own better risk-adjusted returns in current coupons, with the potential for capital gains if rates fade in 2024, as is forecasted. Municipals and investment grade credit remain decent holds barbelled with short-duration Treasuries.**
- **Outside the US, we prefer Japan based on improving growth, inflation dynamics, and a cheap yen. We recently reduced our overweight to emerging markets, believing that US dollar strength and slow China recovery are headwinds.**
- **We also like alternatives in hedge funds, infrastructure, commodities, residential real estate, and private credit.**
- **Remaining fully invested to your personal benchmarks is the most favorable strategy. Do not try to time the markets.**
- **Dollar-cost averaging should be extended and patient, given potential risks ahead. Long-term strategic money should always be deployed in lump sums.**

Source: Morgan Stanley Wealth Management GIC as of October 11, 2023. Equity risk premium is the excess return that an individual stock or the overall stock market provides over a risk-free rate. The risk-free rate represents the interest an investor would expect from an absolutely risk-free investment over a specified period of time.

US Equity Markets Remain in a Bear Market

S&P 500 Index **Nasdaq Composite Index**
S&P 500 Index, Equal-Weighted

June 1, 2021 = 100

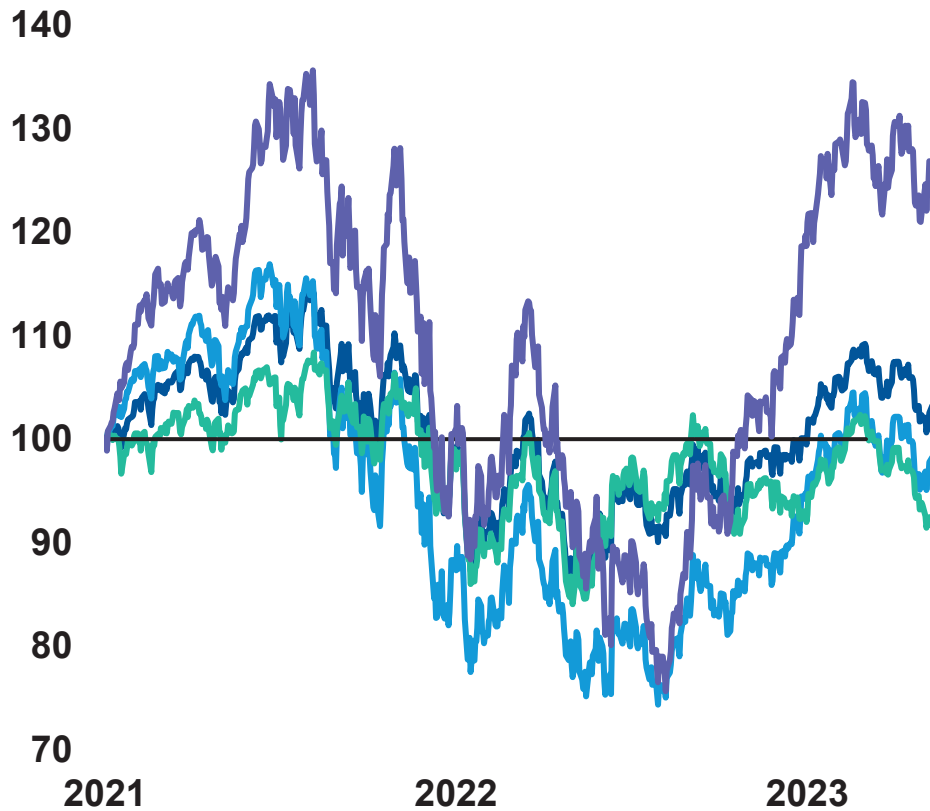


Source: Morgan Stanley Wealth Management GIC, Bloomberg as of October 9, 2023

Past performance is no guarantee of future results. Estimates of future performance are based on assumptions that may not be realized. This material is not a solicitation of any offer to buy or sell any security or other financial instrument or to participate in any trading strategy. Please refer to important information, disclosures and qualifications at the end of this material.

The 2022 Bear Market Retracement Impressive Mostly for the “Magnificent 7”

S&P 500 Index Nasdaq Composite Index
 S&P 500 Index, Equal-Weighted
 "Magnificent Seven" June 1, 2021 = 100



	S&P 500 Index, Cap-Weighted	Nasdaq Composite Index	S&P 500 Index, Equal-Weighted	"Magnificent Seven"
YTD Change in Price Index	11.7%	26.3%	0.3%	61.7%
Change in Earnings, Trailing 12 Months	-1.4%	-4.4%	1.3%	5.1%
YTD Change in P/E Multiple	15.3%	31.9%	0.2%	44.7%

Source: Morgan Stanley Wealth Management GIC, Bloomberg as of October 9, 2023. Magnificent 7 refers to Alphabet, Amazon, Apple, Meta Platforms, Microsoft, Nvidia, Tesla.

Source: Morgan Stanley Wealth Management GIC, Bloomberg as of October 9, 2023

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We Believe the Bull Case for 2024 Is Close to Fully Priced; What to Do Now?

- Neutralize factor extremes of value vs. growth, quality vs. junk, small-cap vs. large- and mega-cap, cyclical vs. defensive
- Focus on GARP (Healthcare, Industrials, Energy, Financials) and defensive Growth (Utilities, REITs)
- Supplement US equal-weighted index exposure with non-US
 - Japan
 - Emerging Markets
- Add investment grade fixed income; Treasury duration + municipals (4-7 years)
- Add equity-leveraged hedge funds
- Add real assets and commodities
- Add private credit

Source: Morgan Stanley Wealth Management GIC, Bloomberg as of October 11, 2023

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Andrew B. Price, CIMA® (310) 788-2043
Managing Director, Wealth Management
Institutional Consulting Director
andrew.price@msgraystone.com

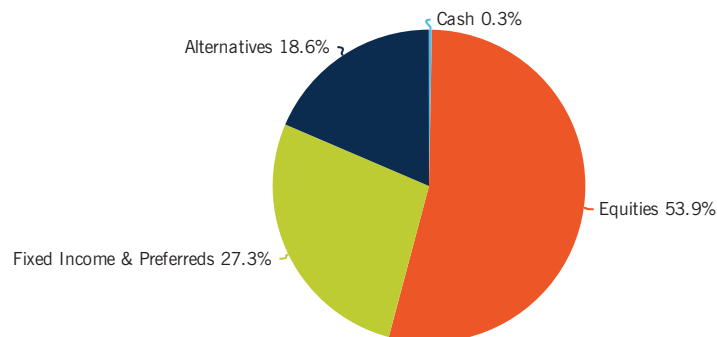
Karin Longhurst, CTFP (310) 788-2156
Senior Vice President, Wealth Management
Senior Institutional Consultant
karin.longhurst@msgraystone.com

Portfolio Review As of September 30, 2023

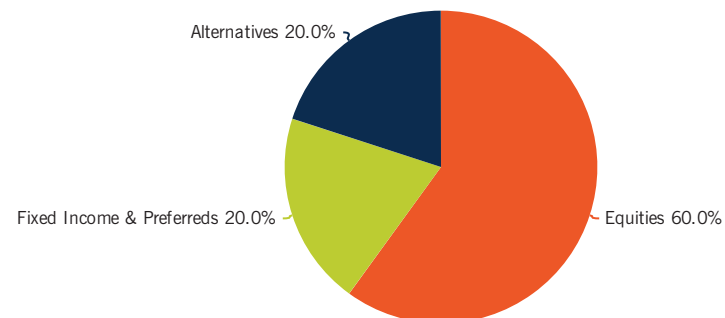
1999 Avenue of the Stars, Suite 2400
Los Angeles, CA 90067

ACTUAL VS. TARGET

Actual

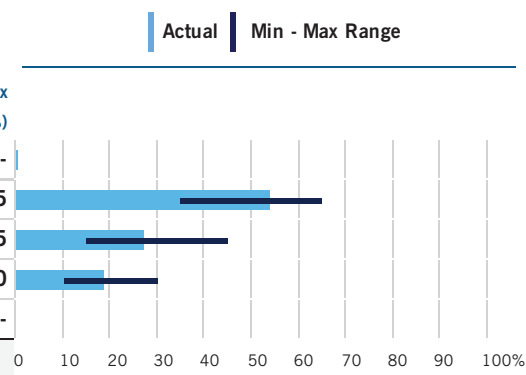


Target



ASSET ALLOCATION: ACTUAL VS. TARGET WITH MIN-MAX RANGE

Asset Class	Actual 09/30/2023		Target		Difference		Min-Max Range (%)
	(\$)	(%)	(\$)	(%)	(\$)	(%)	
Cash	111,132.44	0.30	0.00	0.00	111,132.44	0.30	-
Equities	20,151,748.10	53.87	22,446,038.27	60.00	-2,294,290.17	-6.13	35 - 65
Fixed Income & Preferreds	10,201,714.81	27.27	7,482,012.76	20.00	2,719,702.05	7.27	15 - 45
Alternatives	6,945,468.43	18.57	7,482,012.76	20.00	-536,544.33	-1.43	10 - 30
Other	0.00	0.00	0.00	0.00	0.00	0.00	-
Total Assets	37,410,063.78	100.00	37,410,063.78	100.00			



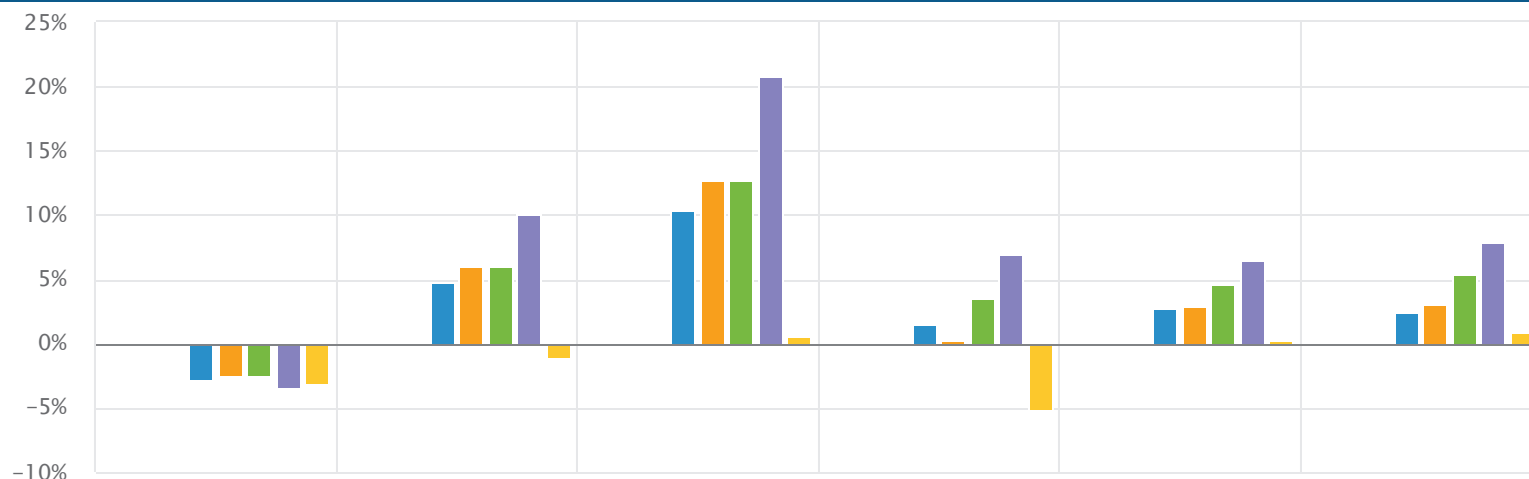
Target Allocation as determined by you and your Financial Advisor for this account only.
Total Value and % of Portfolio are based on US Dollar values.

TIME WEIGHTED PERFORMANCE SUMMARY

OCIO - Cal Poly Pomona Foundation

As of September 30, 2023 | Reporting Currency: USD

RETURN % (GROSS AND NET OF FEES) VS. BENCHMARKS (ANNUALIZED)



	Quarter to Date 06/30/23 - 09/30/23	Year to Date 12/31/22 - 09/30/23	Last 12 Months 09/30/22 - 09/30/23	Last 3 Years 09/30/20 - 09/30/23	Last 5 Years 09/30/18 - 09/30/23	Performance Inception Month End 03/31/13 - 09/30/23
Beginning Total Value (\$)	31,845,271.37	26,407,873.78	27,843,628.13	27,336,543.43	67,631,722.94	24,506,768.54
Net Contributions/Withdrawals (\$)	6,758,494.86	10,090,814.54	7,067,270.70	9,091,316.94	-34,630,885.50	2,569,051.80
Investment Earnings (\$)	-1,147,521.39	957,556.51	2,545,346.01	1,028,384.46	4,455,407.40	10,380,424.50
Ending Total Value (\$)	37,456,244.84	37,456,244.84	37,456,244.84	37,456,244.84	37,456,244.84	37,456,244.84
Return % (Gross of Fees)	-2.80	4.90	10.67	1.78	2.97	2.73
Return % (Net of Fees)	-2.87	4.71	10.40	1.51	2.71	2.48
Cal Poly Pomona - Blended Benchmark (%)	-2.52	6.08	12.75	0.26	2.89	3.02
Cal Poly Pomona Policy BM (%)	-2.52	6.08	12.75	3.61	4.56	5.39
MSCI AC World Net (%)	-3.40	10.06	20.80	6.90	6.46	7.92
Bloomberg US Aggregate (%)	-3.23	-1.21	0.64	-5.21	0.10	0.90
HFRX Global Hedge Fund (%)	0.75	1.38	1.55	1.83	1.94	1.51

The investment returns shown on this page are time-weighted measurements which exclude the effect of the timing and amount of your contributions and withdrawals.

TIME WEIGHTED PERFORMANCE DETAIL

OCIO - Cal Poly Pomona Foundation

As of September 30, 2023 | Reporting Currency: USD

RETURN % (GROSS OF FEES) VS. BENCHMARKS

Account Number	Investment Description/ Benchmark	Performance Inception Date	Total Value (\$) 09/30/23	% Of Portfolio 09/30/23	Month to Date (%) 08/31/23 - 09/30/23	Quarter to Date (%) 06/30/23 - 09/30/23	Year to Date (%) 12/31/22 - 09/30/23	Last 12 Months (%) 09/30/22 - 09/30/23	Performance Inception Month End (%) to 09/30/23
US Large Cap Growth			4,303,763.15	11.49					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 Vanguard Growth ETF <i>CRSP Lg Cap Gr</i>	12/22/21	2,506,184.45	6.69	-5.68 -5.76	-3.71 -3.68	28.18 28.35	27.95 28.16	-8.21 -8.41
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 Brown Advisory LC Sustain Grth <i>Russell 1000 Gr</i>	05/21/21	900,880.64	2.41	-5.82 -5.44	-2.27 -3.13	22.37 24.98	25.11 27.72	1.85 2.65
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 JP Morgan Large Cap Growth <i>Russell 1000 Gr</i>	02/02/23	896,698.06	2.39	-6.01 -5.44	-4.01 -3.13	8.09 13.41	- -	14.94 16.75
US Large Cap Value			6,006,345.97	16.04					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 ClearBridge Large Value ESG <i>Russell 1000 Value</i>	05/21/21	2,405,940.65	6.42	-4.02 -3.86	-1.76 -3.16	6.76 1.79	22.72 14.44	0.64 -0.22
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 Boston Partners LC Value <i>Russell 1000 Value</i>	05/21/21	2,396,833.64	6.40	-3.23 -3.86	-1.37 -3.16	5.01 1.79	17.71 14.44	-0.01 -0.22
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 Vanguard Value ETF <i>CRSP Lg VL</i>	12/22/21	1,203,571.68	3.21	-3.24 -3.28	-2.27 -2.33	0.13 0.15	14.76 14.85	-0.91 -1.08
US Small Cap Value			378,874.94	1.01					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 Neuberger SC Intrinsic Value <i>Russell 2000 VL</i>	04/18/22	378,874.94	1.01	-4.97 -5.21	-5.08 -2.96	5.06 -0.53	13.73 7.84	-3.82 -3.93
US Mid Cap			1,275,878.82	3.41					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 Earnest Prnts Small/Mid Core <i>Russell Midcap</i>	05/21/21	1,275,878.82	3.41	-5.08 -5.02	-6.20 -4.68	2.41 3.91	10.61 13.45	-1.56 -3.54
International Equities			5,100,706.82	13.62					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 T. Rowe Price Intl Eqty ADR <i>MSCI EAFE Net</i>	07/20/22	2,563,125.78	6.84	-4.06 -3.42	-4.64 -4.11	7.29 7.08	25.65 25.65	5.78 7.24
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 iShares ESG Aware MSCI EAFE <i>MSCI EAFE ESG Focus NR USD</i>	05/21/21	2,537,581.04	6.77	-3.73 -3.59	-5.14 -4.45	7.09 7.07	25.94 25.53	-3.89 -3.36

The investment returns shown on this page are time-weighted measurements which exclude the effect of the timing and amount of your contributions and withdrawals. Year to Date(YTD), Quarter to Date(QTD) and Month to Date(MTD): Returns are for the period in which position or account was open.

TIME WEIGHTED PERFORMANCE DETAIL

OCIO - Cal Poly Pomona Foundation

As of September 30, 2023 | Reporting Currency: USD

RETURN % (GROSS OF FEES) VS. BENCHMARKS (Continued)

Account Number	Investment Description/ Benchmark	Performance Inception Date	Total Value (\$) 09/30/23	% Of Portfolio 09/30/23	Month to Date (%) 08/31/23 - 09/30/23	Quarter to Date (%) 06/30/23 - 09/30/23	Year to Date (%) 12/31/22 - 09/30/23	Last 12 Months (%) 09/30/22 - 09/30/23	Performance Inception Month End (%) to 09/30/23
Emerging Market Equities			3,084,080.13	8.23					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 iShares ESG Aware MSCI EM <i>MSCI EM ESG Focus NR USD</i>	05/21/21	1,974,467.96	5.27	-3.07 -2.78	-4.16 -3.12	1.48 1.87	12.15 12.02	-12.80 -13.11
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 Martin Currie Emerging Markets <i>MSCI EM Net</i>	05/21/21	1,109,612.17	2.96	-4.30 -2.62	-7.81 -2.93	-0.42 1.82	11.09 11.70	-14.90 -11.72
Ultra-Short Term F.I.			537,878.43	1.44					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 iShares BC Short Treasury Bd <i>90-Day TBills</i>	08/31/23	537,878.43	1.44	0.39 0.45	0.39 0.47	0.39 0.47	- -	0.39 0.47
Short Term Fixed Income			1,133,938.35	3.03					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 Vanguard Short Term Corp Bond <i>Bloomberg US Corporate 1-5 Y</i>	07/20/22	1,133,938.35	3.03	-0.58 -0.52	0.06 0.25	1.92 2.01	4.10 4.00	0.22 0.39
Securitized			1,961,413.11	5.24					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 JP Morgan Mort Backed Sec Fd <i>BB US Agg Securitized - MBS</i>	07/20/22	1,961,413.11	5.24	-2.22 -3.19	-2.87 -4.05	-0.50 -2.26	0.89 -0.17	-4.70 -7.31
US Taxable Core			6,584,691.01	17.58					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 Federated Hermes Total Ret Bd <i>Bloomberg US Aggregate</i>	07/19/23	1,963,098.64	5.24	-2.45 -2.54	-3.91 -3.62	-3.91 -3.62	- -	-3.09 -3.16
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 Western Core Plus Bond Fd <i>Bloomberg US Aggregate</i>	04/20/22	1,946,536.61	5.20	-4.10 -2.54	-5.31 -3.23	-2.52 -1.21	0.62 0.64	-5.83 -3.59
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 iShares BC Aggregate Bond <i>Bloomberg US Aggregate</i>	04/18/22	1,369,316.44	3.66	-2.57 -2.54	-3.35 -3.23	-1.19 -1.21	0.37 0.64	-3.64 -3.59
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415 CCM Community Impact Bond Fund <i>Bloomberg US Aggregate</i>	05/21/21	746,500.85	1.99	-2.01 -2.54	-2.38 -3.23	-0.99 -1.21	-0.17 0.64	-4.88 -5.98

The investment returns shown on this page are time-weighted measurements which exclude the effect of the timing and amount of your contributions and withdrawals. Year to Date(YTD), Quarter to Date(QTD) and Month to Date(MTD): Returns are for the period in which position or account was open.

TIME WEIGHTED PERFORMANCE DETAIL

OCIO - Cal Poly Pomona Foundation

As of September 30, 2023 | Reporting Currency: USD

RETURN % (GROSS OF FEES) VS. BENCHMARKS (Continued)

	Account Number	Investment Description/ Benchmark	Performance Inception Date	Total Value (\$) 09/30/23	% Of Portfolio 09/30/23	Month to Date (%) 08/31/23 - 09/30/23	Quarter to Date (%) 06/30/23 - 09/30/23	Year to Date (%) 12/31/22 - 09/30/23	Last 12 Months (%) 09/30/22 - 09/30/23	Performance Inception Month End (%) to 09/30/23
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415	iShares BC 7-10 Yr Treas Bd <i>ICE BofA US Treasury 7-10 Y</i>	07/20/22	559,238.47	1.49	-3.11 -3.11	-4.44 -4.39	-2.59 -2.85	-2.03 -1.89	-8.87 -8.80
Alternatives				6,581,604.06	17.57					
CAL POLY POMONA FOUNDATION INC (Alternative Investments Advisory) - Alternative Investments	835-XXX416	Alternative Investments Advisory <i>HFRX Global Hedge Fund</i>	06/25/21	3,922,004.14	10.47	-0.42 -0.10	0.96 0.75	3.66 1.38	5.82 1.55	1.40 -1.42
CAL POLY POMONA FOUNDATION INC (Alternative Investments Advisory) - Hamilton Lane	835-XXX325	Alternative Investments Advisory <i>HFRX Global Hedge Fund</i>	06/05/17	2,550,212.19	6.81	0.00 -0.10	0.00 0.75	0.91 1.38	3.56 1.55	10.11 1.88
CAL POLY POMONA FOUNDATION INC (Alternative Investments Advisory) - Alternative Investments	835-XXX245	Alternative Investments Advisory <i>HFRX Global Hedge Fund</i>	05/11/23	109,387.73	0.29	0.12 -0.10	-0.20 0.75	48.37 1.15	- -	47.83 1.52
Managed Futures				392,074.87	1.05					
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415	Abbey Capital Futures Fd <i>CS Managed Futures Hedged Fund</i>	04/18/22	392,074.87	1.05	3.10 3.77	1.68 2.77	1.65 0.62	-4.25 -2.83	2.88 1.53
Other				3,536.69	0.01					
N/A			09/29/23	3,536.69	0.01	-	-	-	-	-
CAL POLY POMONA FOUNDATION INC (Select UMA) - Unified Managed Account	835-XXX415	N/A	09/29/23	3,536.69	0.01	-	-	-	-	-
Cash				111,458.49	0.30					
CAL POLY POMONA FOUNDATION INC (AAA) - Short Term FI	812-XXX546	Cash	03/07/13	75,152.01	0.20	-	-	-	-	-
CAL POLY POMONA FOUNDATION INC (Alternative Investments Advisory) - Hamilton Lane	835-XXX325	Alternative Investments Advisory	06/05/17	35,909.67	0.10	-	-	-	-	-
CAL POLY POMONA FOUNDATION INC (Alternative Investments Advisory) - Alternative Investments	835-XXX416	Alternative Investments Advisory	06/22/21	395.63	0.00	-	-	-	-	-
CAL POLY POMONA FOUNDATION INC (Alternative Investments Advisory) - Alternative Investments	835-XXX245	Alternative Investments Advisory	05/02/23	1.18	0.00	-	-	-	-	-

The investment returns shown on this page are time-weighted measurements which exclude the effect of the timing and amount of your contributions and withdrawals. Year to Date(YTD), Quarter to Date(QTD) and Month to Date(MTD): Returns are for the period in which position or account was open.

POSITIONS TIME WEIGHTED PERFORMANCE DETAIL - ADVISORY ASSETS

Alternative Investments 835-XXX416 - Alternative Investments Advisory

As of September 30, 2023 | Reporting Currency: USD

RETURN % (GROSS OF FEES) (ANNUALIZED)

Product/ Security Description ▲	Performance Inception Date	Ending Total Value (\$)	Quarter to Date (%) 06/30/23 - 09/30/23	Year to Date (%) 12/31/22 - 09/30/23	Last 12 Months (%) 09/30/22 - 09/30/23	% of Portfolio
Total Portfolio (Gross of Fees)	06/22/2021	3,922,007.02	0.96	3.65	5.73	100.00
<i>HFRX Global Hedge Fund</i>			0.75	1.38	1.55	
Others						
BLACKSTONE BCRED(BCJ25)	07/01/2021	240,573.85	4.14	10.74	13.28	6.13
BREIT CL I(BBF37)	07/01/2021	529,172.08	2.01	3.34	2.57	13.49
COATUE OFFSHORE(BBH04)	06/28/2021	255,432.32	0.50	13.67	13.24	6.51
HP/STARBOARD VALUE LTD(HPC6E)	07/30/2021	277,666.13	1.47	7.28	12.94	7.08
HUDSON BAY LTD - ADVISORY(BCQ55)	12/29/2021	589,434.11	2.05	4.18	4.98	15.03
HUDSON BAY LTD TRNCHE II MS(BCT31)	07/27/2023	253,626.05	1.45	1.45	-	6.47
PARTNERS GROUP PE - I(BBP03)	07/01/2021	476,044.70	1.60	6.55	11.49	12.14
SCHONFELD LTD(BCI57)	11/28/2022	833,394.57	0.73	0.28	-	21.25
SEG PARTNERS OFFSH CLASS I(BBZ77)	06/28/2021	241,649.83	-6.07	-8.35	-2.93	6.16
THIRD POINT(BBN11)	06/28/2021	225,010.50	-0.62	-3.52	-2.40	5.74
Cash, MMF and Bank Deposits						
Cash(0000MONEY)	09/28/2023	2.88	-	-	-	0.00

The investment returns shown on this page are time-weighted measurements which exclude the effect of the timing and amount of your contributions and withdrawals. Position level performance detail is only available since 12/31/2014.

ILLIQUID ALTERNATIVE INVESTMENTS

Security Description / Account Number	Inception Date	Valuation Date	As Of Valuation Date (1)						Since Last Valuation		
			Comm. Amt. (\$) / Unfunded (\$) (2)	Contr. Inside Comm. To Date (\$) (2)	Total Contr. To Date (\$) (2)	Non-Recall (\$) / Recall Dist To Date (\$) (2)	Est. Val. (\$) / Est. Profit / (Loss) (\$) (5)	Fund Net IRR (%) (6) / MOIC (x)	Net Cash Flow Since Last Val. (\$) (3) (4)	Adjusted Val. (\$) (3)	Most Recent Cash Flow (4)
HAMILTON LANE PMOF FOF SER 835-XXX325 <i>Symbol/Cusip: BBB92</i>	06/05/17	06/30/23	3,000,000 576,612	2,603,237	2,605,684	1,059,151 179,849	2,586,093 1,219,409	13.15 1.47	-35,881	2,550,212	09/25/23
PREMIER LCP X OFFSHORE 835-XXX245 <i>Symbol/Cusip: BDF27</i>	06/29/23	06/30/23	400,000 396,000	4,000	4,000	0 0	16,746 12,746	NM 4.19	59,630	75,776	07/28/23
OAK STREET REC FUND VI OFF 835-XXX245 <i>Symbol/Cusip: BDD03</i>	05/12/23	06/30/23	300,000 281,949	18,051	18,449	344 0	16,096 -2,009	NM 0.89	17,226	33,611	09/15/23
Illiquid Alternative Investments Total			3,700,000 1,254,561	2,625,288	2,628,133	1,059,495 179,849	2,618,935 1,230,146		40,976	2,659,600	

Footnotes

(1) Transactions pending valuation are not included until the valuation inclusive of the activity is posted.

(2) Total Contributions to date may include certain transaction types which do not reduce Unfunded Commitment (e.g. Contribution Outside Commitment, External Fees and Expenses, Sub Close Interest Paid).

(3) Net Cash Flows Since Last Valuation may include transaction types which do not impact Adjusted Valuation (e.g. External Fees and Expenses, Interest/Income).

(4) Period end dates other than prior business day will exclude cash flows subsequent to the period end.

(5) Estimated Profit / (Loss) = Estimated Valuation + Total Distribution to Date - Total Contributions to Date

(6) Fund Net IRR - the value displayed in this field was calculated and provided by the Alternative Investments manager. Alternative Investments managers may have varying definitions of what constitutes a "Net IRR." The amount is generally an overall fund IRR and may not represent any individual client's experience in the fund. The following values may also appear in this field, as applicable: "NM" - represents IRRs that are determined to be not meaningful during the early stages of the fund's life. "-" - represents that a return is not available for the given period.

Account Summary

Active Assets Account
812-023973-541

CAL POLY POMONA FOUNDATION INC
C/O JARED G CEJA, RANDALL TOWNSEND
Nickname: Short Term FI

BALANCE SHEET (^ includes accrued interest)

	Last Period (as of 8/31/23)	This Period (as of 9/30/23)
Cash, BDP, MMFs	\$111,557.98	\$113,721.36
Mutual Funds	8,709,513.74	8,653,969.63
Total Assets	\$8,821,071.72	\$8,767,690.99
Total Liabilities (outstanding balance)	—	—
TOTAL VALUE	\$8,821,071.72	\$8,767,690.99

INCOME AND DISTRIBUTION SUMMARY

	This Period (9/1/23-9/30/23)	This Year (1/1/23-9/30/23)
Other Dividends	\$38,447.47	\$253,343.91
Interest	—	65,118.21
Income And Distributions	\$38,447.47	\$318,462.12
Tax-Exempt Income	—	—
TOTAL INCOME AND DISTRIBUTIONS	\$38,447.47	\$318,462.12

Taxable and tax exempt income classifications are based on the characteristics of the underlying securities and not the taxable status of the account.

CASH FLOW

	This Period (9/1/23-9/30/23)	This Year (1/1/23-9/30/23)
OPENING CASH, BDP, MMFs	\$111,557.98	—
Purchases	—	(29,059,446.36)
Dividend Reinvestments	(36,935.88)	(244,179.95)
Sales and Redemptions	92,479.99	25,190,713.74
Income and Distributions	38,447.47	318,462.12
Total Investment Related Activity	\$93,991.58	\$(3,794,450.45)
Electronic Transfers-Credits	651.79	24,000,651.79
Electronic Transfers-Debits	(92,479.99)	(20,092,479.98)
Total Cash Related Activity	\$(91,828.20)	\$3,908,171.81
Total Card/Check Activity	—	—
CLOSING CASH, BDP, MMFs	\$113,721.36	\$113,721.36

GAIN/(LOSS) SUMMARY

	Realized This Period (9/1/23-9/30/23)	Realized This Year (1/1/23-9/30/23)	Unrealized Inception to Date (as of 9/30/23)
TOTAL GAIN/(LOSS)	—	—	—

This Summary may change due to basis adjustments and should not be used for tax preparation. Refer to the Expanded Disclosures or go to www.morganstanley.com/wealth/disclosures/disclosures.asp.

Private Programs Investment Report

Cal Poly Pomona Foundation

All Accounts

July 1, 2023 - September 30, 2023



commonfund

All Accounts

July 1, 2023 - September 30, 2023

ACCOUNT SUMMARY AS OF 9/30/2023

	Vintage Year	Capital Committed	Capital Called	Remaining Capital to be Called	Capital Distributions	Capital Balance	Multiple	IRR	Value Date
General Fund - 06									
Commonfund Real Estate									
Realty Investors 2004-12 (Tranche)	2005	\$1,500,000	\$1,500,000	\$0	(\$283,096)		0.2	-26.2%	
Total Commonfund Real Estate		\$1,500,000	\$1,500,000	\$0	(\$283,096)		0.2	-26.2%	
US Private Equity									
Private Equity Partners VII	2007	\$750,000	\$700,500	\$49,500	(\$1,401,976)	\$186,143	2.3	13.9%	6/30/2023
Total US Private Equity		\$750,000	\$700,500	\$49,500	(\$1,401,976)	\$186,143	2.3	13.9%	6/30/2023
Multi-Asset									
Capital Partners IV	2007	\$250,000	\$236,250	\$13,750	(\$401,166)	\$56,881	1.9	10.0%	6/30/2023
Total Multi-Asset		\$250,000	\$236,250	\$13,750	(\$401,166)	\$56,881	1.9	10.0%	6/30/2023
Total General Fund - 06		\$2,500,000	\$2,436,750	\$63,250	(\$2,086,238)	\$243,024	1.0	-0.5%	6/30/2023
Grand Total		\$2,500,000	\$2,436,750	\$63,250	(\$2,086,238)	\$243,024	1.0	-0.5%	6/30/2023

Explanatory Notes:

- Performance data is net of all fees and carried interest. Transaction flows and capital for these funds are included in the appropriate totals.

Fund performance is depicted net of fees. Manager and strategy performance is net of sub-advisor management fees and gross of other Commonfund Fund expenses. Past performance is not indicative of future performance.

All Accounts

July 1, 2023 - September 30, 2023

- Multiple, also referred to as TVPI, total value to invested capital net of the general partners and special limited partners (Capital Distributions + Capital Balance/Capital Distributions).
- Each partnership's net IRR (Internal Rate of Return) should be evaluated in light of information on such partnership's investment program, the risks associated therewith, and partnership performance as disclosed in the respective Offering Memorandum and Annual and Quarterly Reports. Return information calculated on a dollar-weighted (e.g., internal rate of return), since inception basis, which is standard for the private capital industry, rather than the time-weighted (e.g., annual or other period rate of return) basis. Comparison of returns calculated on a net IRR basis with returns on a time-weighted basis is not appropriate. There can be no assurance that unrealized investments ultimately will be realized at the valuations used in calculating net IRRs or Net Multiples or that the calculated net IRRs will be obtained. Actual realized returns will depend on, among other factors, future operating results, the value of assets and market conditions at the time of disposition, any related transaction costs and the timing and manner of sale.
- Capital Called and Capital Distributions are since inception through the report End Date.

NON-MARKETABLE INVESTMENTS ROLL FORWARD FROM VALUE DATE TO 9/30/2023

Non-Marketable Fund	Incep. Date	Commitment	Valuation Date	Most Recent Valuation	Capital Calls since Valuation Date	Distributions since Valuation Date	Adjusted Market Value
Private Equity Partners VII	9/30/2007	\$750,000.00	6/30/2023	\$186,143.00	\$1,125.00	(\$11,257.00)	\$176,011.00
Capital Partners IV	9/30/2007	\$250,000.00	6/30/2023	\$56,881.00	\$0.00	(\$3,123.00)	\$53,758.00
Total Core Funds		\$1,000,000.00	6/30/2023	\$243,024.00	\$1,125.00	(\$14,380.00)	\$229,769.00
Non-Marketable Total		\$1,000,000.00	6/30/2023	\$243,024.00	\$1,125.00	(\$14,380.00)	\$229,769.00

Fund performance is depicted net of fees. Manager and strategy performance is net of sub-advisor management fees and gross of other Commonfund Fund expenses. Past performance is not indicative of future performance.

All Accounts

July 1, 2023 - September 30, 2023

PERFORMANCE AS OF 9/30/2023

Performance Item	QTD	CYTD	1 Year	3 Years	5 Years	10 Years
Private Equity Partners VII	4.01	2.73	2.76	14.27	12.89	15.86
US Private Equity	4.01	2.73	2.76	14.27	12.89	15.86
Capital Partners IV	0.03	-1.07	-1.98	8.55	6.87	10.32
Multi-Asset	0.03	-1.07	-1.98	8.55	6.87	10.32
Total Non-Marketable	3.07	1.84	1.61	12.94	11.47	14.52
Total Portfolio	3.07	1.84	1.61	12.94	11.47	15.19

Investments in Programs for closed-end investment products are carried as of the most recent valuation date, which may not correspond to the marketable securities valuation dates. Distressed Debt programs are reported with a one quarter lag. For example, if the report 'As of' date is 9/30/YY then Distressed Debt programs are represented using 6/30/YY, or previous quarter values. Private Capital programs are reported with a one quarter lag. For example, if the report 'As of' date is 9/30/YY then Private Capital and Real Estate programs are represented using 6/30/YY, or previous quarter values. Private Investment returns are normally reported as an Internal Rate of Return (IRR). All other Commonfund investment returns are reported as Time Weighted Rates of Return (TWR). For Consolidated Performance reporting purposes, TWRs are used for all individual and composite returns.

Fund performance is depicted net of fees. Manager and strategy performance is net of sub-advisor management fees and gross of other Commonfund Fund expenses. Past performance is not indicative of future performance.

Memorandum



Date: November 21, 2023

To: Finance & Investment Committee

From: Joanne Mathew, CFO
Celeste Salinas, Director – Children’s Center

Attached: Parent Handbook

Subject: **Children’s Center Authorized Signature and Parent Handbook Review**

- (1) CCSP and CCTR grants require that the Child Care Center Director be authorized, on an annual basis by the Board, to sign contractual documents. The Director is to be authorized as the responsible person for programmatic management and conduct of the contract/project, for the purpose of providing child care and development services in compliance with the educational mission of the University, the policies and procedures of Enterprises, and the restrictions imposed by the awarding agency. This signing authority is consistent with that given to Principal Investigators on other grants.
- (2) The Parent Handbook, as issued by the Center serves a variety of purposes, some of which include hours of operation and providing information about the operation, mission and vision, and the early learning and care philosophy.

In addition, the handbook provides information that the Center is legally required to provide to parents by Community Care Licensing, the California State Preschool (CSPP) contract and the General Child Care (CCTR) state contract. Each year updates are made to stay current with early care and education trends as well as with licensing and state legislation.

PROPOSED ACTION:

Management recommends that the Finance and Investment Committee accept the Parent Handbook as presented and approve the Children Center Director as an authorized signer on the CCSP and CCTR grants.

BE IT RESOLVED that the Finance and Investment Committee accepts the Parent Handbook as presented, and approves Children’s Center Director Celeste Salinas as an authorized signer on the CCSP and CCTR grants, and forwards the request to the Board of Directors for review and approval at its next regularly scheduled meeting.

Passed and adopted this 21st day of November 2023.

By: _____
Ysabel Trinidad, Chair
Finance & Investment Committee

PARENT HANDBOOK SIGNATURE FORM

I have received and will read the Cal Poly Pomona Children's Center Parent Handbook.

I understand and agree to abide by the Policies and Procedures as stated. I further understand that if these policies or procedures change, I will be notified in writing, and I agree to abide by any updates made.

Child's Name: _____ Birthday: _____

Child's Name: _____ Birthday: _____

Child's Name: _____ Birthday: _____

Parent's Name: _____

Parent's Signature: _____

Date: _____



Cal Poly Pomona Children's Center

Parent Handbook 23-24 School Year

Operating Hours:
M-TH 7:45-5:15 , F 7:45-3:30
Phone # (909)869-2284

Lic. # 191503823

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General Information

1.1 Welcome

Welcome to the Cal Poly Pomona (CPP) Children's Center, a quality early care and education program that is operated jointly through a partnership between the Associated Students Inc. (ASI) and CPP. The CPP Children's Center opened in 1974 to help support student parents achieve their educational goals while attending CPP. Given CPP's diverse student population, the CPP Children's Center benefits from exposure to various cultures, ethnicities, languages and ideas. We are nationally accredited by the National Association for the Education of Young Children (NAEYC), and are a nonprofit program, funded by state and federal grants, ASI, and the University.

The CPP Children's Center is licensed by the California Department of Social Services, Community Care Licensing, and complies with Title 22 and Title 5 regulations. The Center is licensed to serve 71 children and operates on a non-discriminatory basis, affording equal access to services without regard to sex, race, color, ancestry, religious creed, national origin, physical disability, mental disability, medical condition, age or marital status. Children with special needs are welcome.

The CPP Children's Center strives to affirm and celebrate diversity by supporting inclusive, culturally and linguistically affirming early learning services for all children. We acknowledge to our families that our center resides on the land of the Tongva/Gabrieleno Nation, who lived and continue to live here. We recognize the Tongva Nation and their spiritual connection to the land as the first stewards and the traditional caretakers of this area we now call Pomona. We thank them for their strength, perseverance and resistance.

We also wish to acknowledge the other Indigenous Peoples who now call Pomona their home, for their shared struggle to maintain their cultures, languages, worldview and identities in our diverse city and society.

The Staff at the CPP Children's Center looks forward to getting to know each of you, your families, and your children, as we build relationships that support learning and inclusivity. We have an open-door policy and encourage you to stop in the office or classroom any time you have questions. We are excited for the year ahead!

1.2 Philosophy, Mission & Vision

Early Care & Learning Philosophy

Our center places a high value on intentional and respectful relationships; with the children in our care, with their families, with the supporting adults in their children's lives and with members of the larger CPP community we are a part of. We recognize that parents are their child's first and most important teacher, and that together we can work to support healthy growth and development in a child centered environment.

At the Children's Center we:

- **Value & respect** all children and adults
- **Embrace** differences

- **Encourage** all children to explore and experiment in safe yet challenging environments that empower children to take reasonable risks.
- **Encourage** independent thinking
- **Promote** intellectual inquiry & problem solving
- **Guide** children to nurturing solutions
- **Care for** our earth and all living things
- **Engage** children in relationships
- **Nurture** creativity in all its forms
- **Build awareness & acceptance** of the rich diversity in our community and world

Mission Statement

Parenting Students who are attending Cal Poly Pomona University have priority for enrollment. We work to provide parenting students with on-campus, accessible, affordable, and quality year-round early education & care. We also work to support our parenting students in meeting their academic goals through providing study time and assistance in finding resources and services they need to be successful. We provide parent education on a variety of topics to assist parents in meeting their family and educational goals. Second priority for enrollment spaces are Cal Poly Pomona staff and faculty. Community members may also be enrolled if space becomes available.

As part of the CPP community, the CPP Children's Center provides CPP students from the Early Childhood Studies Program and other degree programs on campus a quality center at which to volunteer, complete service-learning projects, internships, observations, and practicum hours. Staff at the CPP Children's Center work to create a child centered environment that provides support & guidance for children and adults that reflects our Early Care and Learning Philosophy. In a relationship-based environment our teaching teams work to intentionally extend children's learning, support healthy growth and development, create critical thinkers, and value the diversity of each child, family, and student we serve.

Vision Statement

The CPP Children's Center Vision is for the children we serve to experience engaging learning experiences and to explore the joy and of wonders of childhood, that the Parenting Students and Cal Poly Pomona students who participate in our program graduate and achieve their goals, and that they all become an integral part of giving back to our world community.

Our ASI vision is to *transform lives*.

1.3 About Our Staff

Each CPP Children's Center staff member holds an ECE permit issued through the California Department of Teacher Credentialing and are also CPR/First Aid certified. Our staff attend regular professional growth training and continue learning new skills. For your child's protection all our staff undergo extensive background checks and are medically cleared before working with the children.

Professional Development Policy

As part of our Professional Development (PD) Plan all staff are encouraged to take ongoing professional development through trainings, college classes, or conferences. Each staff member is asked to complete a

minimum of 21 professional growth hours each fiscal year. PD activities vary for each staff member, based on their individual strengths and interests. They can cover, but are not limited to, topics such as Supervising Adults, Working with Culturally Diverse Families, Children's Assessments and Strategies for modifying and adapting curriculum, Extending Children's Learning, Special Needs children and Strategies for supporting inclusion, Family Engagement/Partnership, and Community resources.

Staff create annual goals to continue their learning in various areas of Early Care and Education. The CPP Children's Center currently closes six days each year for PD, and release time is provided to staff members during their regular workday to attend PD activities.

1.4 Program Operations

We serve children ages eighteen months to six years old, or entry into kindergarten. Our toddler & preschool programs operate year-round. We offer a full day full year program for our families.

As part of our normal operations our center offers a variety of events during the academic year to include families and enhance the children's experiences. We frequently take the children on walking field trips on campus, as safe and appropriate. When events are held during our center operations (for example 4-5 pm) children who are still signed in will be kept under the direct oversight of staff, and any outside children (siblings) will be under the supervision of their parents. If we determine that it is in the best interests of the children's safety, we will modify our center hours to be closed during the event, with no less than thirty days' notice given to our families.

1.5 Parking

There are several Children's Center parking spots in front of our center. Once your child is enrolled in our program you will receive a parking slip to put in the front dashboard of your car. This parking slip will be updated throughout the year and will let our parking enforcement team know that you still have children enrolled at the center. These parking spaces are ONLY for your use when dropping off or picking up children, NOT for when you are going to class or somewhere else on campus. If you receive a parking ticket Children Center staff will be unable to assist you with this, you will need to go on-line as indicated on the ticket and work with the Department of Parking and Transportation.

1.6 Parent Advisory Board

The Parent Advisory Board was established to assist the Children's Center with recommendations on Center Policies, parent education and site activities, safety issues, advocacy for the center or the Early Education field, fundraising and field trips. This is a wonderful opportunity for parents to get involved.

The members of the Parent Advisory Board are parents of children currently enrolled at the Children's Center, a member of one of our Teaching Teams and the Associate Director or Director of the Children's Center (non-voting member). The members are expected to attend monthly or quarterly meetings for a one-year term.

Enrollment and Admission Procedures

2.1 Enrollment Eligibility & Need for Care

The CPP Children's Center is open to CPP students, staff, faculty, alumni and community, in that order. Families of children enrolled in the California State Preschool (CSPP) or General Child Care (CCTR) programs must show proof that they are both **eligible for services** (per CSPP and CCTR contract guidelines), and if enrolling in full time CSPP or in CCTR programs must show a **need for care**.

First priority for services, as stated in Education Code section 8263(b)(1), are children receiving protective services through the local county welfare department and shall be enrolled before children identified as at risk of being neglected or abused. *When not all of the children in a family are certified based on child protective services, or the child's special need, the other children or the parents in the family must meet both eligibility and need criteria as specified in Education Code section 8263(a)(1) and (a)(2) prior to enrollment and shall be admitted in accordance with priorities specified in Education Code section 8263(b).*

Families with children enrolled currently in CSPP or CCTR programs shall be next priority to have their siblings enrolled if there is room in the program. Children with an active IEP/IFSP will be eligible for services regardless of family income, and need may be based on the IEP/IFSP services.

Following the above priorities for enrollment income eligible families then receive priority registration among each category (CPP students, staff, faculty, alumni and community), from lowest income to highest income based on the ranking number derived from family size and income. If there are insufficient income eligible families among CPP students, staff, and faculty families to earn our CSPP and CCTR contracts, children from community families may be enrolled prior to enrolling staff or faculty children. This is necessary to maintain our budget. For clarification on this procedure please see the Director. **ADMISSION TO THE CENTER FROM OUR WAITLIST IS NOT GIVEN ON A FIRST COME FIRST SERVED BASIS.**

Families eligible for full day State Preschool (CSPP) or General Child Care (CCTR) services must meet one or more of the following **need criteria**: employment, self-employment, seeking employment, vocational training, parent incapacitation, homeless, seeking permanent housing, CPS and/or At-risk of abuse.

Children must be eighteen months through five years old to enroll. All children must show proof of age, immunizations, and a current physical prior to enrollment into the program.

During a scheduled meeting with program staff each family will complete all necessary forms and both **eligibility** and the **need for care** will be determined, as well as best placement to serve both the child's and family's needs. Each family need for care is considered individually, however the minimum days a child may be enrolled is two days per week. Any fees for service and the actual hours and days of care will be determined at this meeting as well.

Once the enrollment is complete each parent will receive a Notice of Action which will include the child's start date, hours of care approved, fee (if any), and Parents Right To Appeal on the reverse of the form. A parent may file a request for a hearing within fourteen (14) days of the date the NOA was received if he or she disagrees with a proposed action. The CPP Children's Center will notify the parent within ten (10) days of receiving his or her request for a hearing to schedule an appointment. During the appeal childcare services will still be provided. Any time there is a change in a child's service a Notice of Action will be issued.

All children's records will be kept in a locked filing cabinet, to maintain confidentiality. Administrative staff and teaching staff have access to the child's records upon request, as well as DSS licensing personnel. Custodial parents may ask to see their child's records at any time.

2.2 Admission's Agreement

The Admission Agreement contains important information that parents must agree to upon enrolling their child into our program. Licensing requires that all licensed childcare programs have an admission agreement. A copy of our admission agreement is in the Appendix at the back of this handbook.

CPP Immunization Policy

The Cal Poly Pomona Children's Center does not allow children entry into the program who have not been immunized, per the regulations listed below.

California Code of Regulations Title 17, Division 1, chapter 4 Article 2 *Requirements for Admission and Continued Attendance* 6025.Unconditional Admission.

(a)(3) A personal beliefs exemption in accordance with Health and Safety Code section 120335.

Health and Safety Code section 120335 (g) (1) **"A pupil who, prior to January 1, 2016,** submitted a letter or affidavit on file at a private or public elementary or secondary school, child day care center, nursery school or family day care home stating beliefs opposed to immunizations shall be allowed enrollment."

As we are now past January 1, 2016, no children without immunizations may be enrolled in the Center.

If a child is behind on immunizations the center will give deadlines to parents to comply with to continue enrollment at the CPP Children's Center.

2.3 Family Orientation

All parents are strongly encouraged to attend an Orientation meeting. It is at this meeting that you will receive updated information about school procedures. Topics covered include, but are not limited to:

- Review of Center procedures
- Parent Participation opportunities
- Attendance and sign in/out procedures
- Review of the Center curriculum, daily routine and classroom expectations.

2.4 Determination of Fees

At the enrollment meeting program staff will determine what fees, if any, a family will need to pay for care. For income eligible families there is no fee for the part day state preschool program. For all other families we will use the CDE or CDSS State Fiscal Year 2023-24 Fee Schedule to determine the appropriate fee.

For non-subsidized families (who do not qualify for the CSPP or CCTR program) staff will determine the daily rate to be charged, using the approved Daily Rate Schedule. Factors that will affect the rate charged

are; age of the child, hours of daily care needed, and the status of the parent (student, staff, faculty of CPP or community member).

Bills will be issued on the 20th of each month for the following month. Payments are due in ADVANCE of services, at the beginning of each month. It is the responsibility of the parent/guardian to make payments with a check or money order made payable to **the Cal Poly Pomona Foundation Inc.** Payments can be made in the front office of the Children's Center. A receipt will be issued at the time of payment. Payments may be made by check, money order or cash, however we are unable to make change for cash payments.

If your payment has not been received by seven calendar days after the due date, your child/children will be issued a Notice of Action with a termination of services date. All past due fees must be paid by the date on the NOA, or a Payment Plan has been agreed upon. Once a Payment Plan is put in place any deviation from this plan will result in termination of services.

2.5 Other Fees

Overtime fees may be charged for hours of care that exceed your child's approved hours of care and are after center operation hours. For additional information please ask program staff.

No fees, outside of state approved family fees, may be charged to CSPP or CCTR families for childcare services.

2.6 Termination of Enrollment

Either the parent or the Cal Poly Pomona Children's Center may initiate termination of services. A two-week notice must be given by the parent when terminating services. An "Exit form" must be used to give notice of termination. If the parent does not provide a two-week notice, the parent will be charged the cost of care for the two weeks. All cost for care must be paid during that billing period.

Children's Center grounds for termination of enrollment include but are not limited to:

- Failure to provide necessary paperwork, or **falsification of paperwork.**
- Failure to maintain adequate progress towards the parental vocational goal and to maintain a GPA of 2.0 or above (after parents 24-month eligibility has finished).
- Failure to make payments in a timely manner. (Please communicate with us if you are experiencing financial difficulties)
- Failure to communicate with the center for seven consecutive calendar days and not notifying staff of the reason the family is not using services. Program administration shall promptly use the contact information on file, and shall attempt to contact the parent through a variety of communication methods. At least one communication attempt shall be in writing, which may be through electronic methods. Program administration shall keep documentation of all communication attempts, including the written attempt, in the family data file. Program administration shall inform the parent in these communications that failure to communicate with the school may result in termination of early learning and care services. Program administration shall issue a notice of action to disenroll the family based on **abandonment of care** when there has been no communication for a total of 30 consecutive calendar days.

- Disorderly conduct of the parent that threatens the mental and physical wellbeing of the children and/or staff, as well as verbal or written harassment by the parents towards other parents and their children and/or staff. Documentation of any incidents will be maintained, and an Unusual Incident report filed with licensing.

Program Procedures

3.1 Attendance

All families (non-subsidized and subsidized) are expected to notify the office or their child's teacher when their child is going to be absent. Parents are still billed for days their child is absent. Upon returning from an absence families are asked to complete an absence slip, noting why their child was absent and signing their full signature.

After enrollment parents will be given a four-digit PIN that will be used to sign-in and out daily. A QR code will be posted outside each classroom for a parent to scan with their smart phone, enter their four-digit PIN, and sign their child and in or out for the day. Parents may also use the iPad in the front office to sign in or out (there is sanitizer next to the iPad for parents to sanitize before and after use). If you forget your four-digit PIN office assistants or the teacher can assist.

During academic breaks (Winter, Spring and Summer) children's enrollment does not change. This means that children should continue to attend, allowing families to work, attend internship programs, or otherwise further their academic career. This is important for the continuity of care for each child as well as to maintain each child's space in our program. Request for a hardship exception may be made to program staff in advance of the academic break and may be granted due to such issues as distance from the campus and financial concerns and would be considered a "family emergency" (see below).

We feel strongly that your child will benefit greatly by being in school every day they are scheduled, however we realize that some absences are unavoidable. Following is a list of **excused absences**:

1. Illness of child, parent, or sibling (there is no limit to the number of excused illness absences, however communication with the school regarding the nature of the illness is important).
2. Family emergencies- situations that cause the parent to keep the child with them and out of school that can be documented and is out of the parent's control. Extended illness, quarantine or death of a family member or close family friend, travel away from home for legal issues such as court or visa related issues, travel due to work or school, car problems or lack of transportation or housing problems (car breaks down, broken water pipe at home), attendance during academic breaks when there is a documented hardship such as distance from the campus to the parents' home (over 15 miles) and the commute would cause a financial burden to the family, custody issues or incarceration/arrest of family member, or unexpected cancellation of parents class on campus.
3. "Best Interest of the Child" (subsidized families only)-10 days per fiscal year (July 1 through June 30) is allowed for absences that revolve around special events for children and their families such as vacation.
4. Time spent away from home required by court order (such as shared custody of a child).
5. Unexcused absences are those absences that are not defined above as an excused absence.

Full cost families are eligible for two weeks of vacation, commensurate with their enrollment (two days per week of enrollment = two weeks/four days of vacation). Full cost families will not be charged for these days.

Release of Children Policy

A child may only be released to the child's custodial parent(s) or those individuals authorized by the parent(s). Authorized person(s) are those individuals listed on each child's emergency card or person(s) that the parent has given written authorization via a letter or email to the Children's Center.

If a non-custodial parent has been denied access or granted limited access to the child by court order, the Children's Center should have a copy of the court document on file. Any court order will be attached to a child's emergency card which is in the front office.

If a parent does not pick up their child at the time of the Center's daily closing the following procedures will be followed:

1. Employees will attempt to contact the parent(s) or person(s) authorized by the parents.
2. An hour or more after closing time, and provided that other arrangements for releasing the child to his/her parent(s) or authorized person(s) have failed and the staff member cannot continue to supervise the child at the center, the staff member shall call the Campus police at extension 3070.
3. When campus police arrive, they will be given a copy of the child's emergency card and anything else the child needs to remain comfortable and well cared for (allergy information, special needs, food/snacks, etc.).
4. An Unusual Incident report must be completed within twenty-four hours of this incident and reported to Licensing.

If the person picking up a child appears to be physically or emotionally impaired to the extent that, in the judgment of the Director and/or employee, the child would be placed at risk of harm if released to this person the procedures listed above will be followed. If the adult who has come to pick up the child objects to not being allowed to pick up their child, then the Children Center employee should call campus police at extension 3070 for assistance.

Employee Drop-Off and Pick-Up of Enrolled Children

The Children's Center has the legal responsibility for the safety of every child in the program. Employees who assume responsibility for the drop-off, pick-up, or childcare of enrolled children may only do so before or after the employees scheduled work hours.

3.2 Nutrition

The Cal Poly Pomona Children's Center is a nut aware school. This means if we have a child enrolled with nut allergies, or other allergies, we will take every precaution needed to protect the child from exposure. We do serve foods that contain and/or might contain nuts.

The Children's Center prepares and serves hot and nutritious meals that comply with the Child and Adult Care Food Program guidelines. We serve breakfast, lunch, and an afternoon snack. If your child has any special dietary or religious food needs, please make sure you inform us so that we may accommodate

these needs. We do not allow any foods from home at the center. There are no additional charges for meals.

U.S. Department of Agriculture Nondiscrimination Statement:

The US Department of Agriculture prohibits discrimination against its customers, employees, and applicants for employment based on the bases of race, color, national origin, age, disability, sex, gender identity, religion, reprisal, and where applicable, political beliefs, marital status, familial or parental status, sexual orientation, or all or part of an individual's income is derived from any public assistance program, or protected genetic information in employment or in any program or activity conducted or funded by the Department (Not all prohibited bases will apply to all programs and/or employment activities).

If you wish to file a Civil Rights program complaint of discrimination, complete the USDA Program Discrimination Complaint Form, found online at http://www.ascr.usda.gov/complaint_filing_cust.html or at any USDA office or call 866-632-9992 to request the form. You may also write a letter containing all of the information requested in the form. Send your completed complaint form or letter to us by mail at U.S. Department of Agriculture, Director, Office of Adjudication, 1400 Independence Avenue, S.W., Washington, D. C. 20250-9410, by fax 202-690-7442, or email at program.intake@usda.gov.

Individuals who are deaf, hard of hearing or have speech disabilities may contact USDA through the Federal Relay Service at 800-877-8339; or 800-845-6136 (Spanish).

"USDA is an equal opportunity employer".

Note: The protected classes for the Child and Adult Care Food Program are race, color, national origin, age, sex, and disability.

3.3 Health Policy

Only children who are in good health may be brought to the Center. Children showing signs of illness must be kept home for your child's health and for the health of the other children. If a child develops signs of illness during the day, parents will be called to pick up the child. While the child is waiting to be picked up, we will separate them from the other children to prevent the spread of illness.

Please do not ask us to keep a child inside because of a cold or other illness. Children in all programs will play outdoors daily, weather permitting. Parents are responsible for sending children in suitable clothing and footwear to maintain good health during outdoor play in all weather conditions, including normal winter temperatures. Please be advised that a child who is too sick to go outside is too sick to be in a social situation with other children.

During the pandemic we are being particularly careful about not allowing any sick child, or a child with sick family members to come to school. Teachers will do a visual weel check when your child arrives at school. Please help us all stay healthy and observe best practices for COVID 19 both on and off campus.

Our Illness Policy

- All children must be well enough to participate in daily activities to attend the Children's Center.
- Children will be sent home if they have a temperature of 100.4°+, vomiting/diarrhea; unusual lethargy, persistent crying, or other signs of severe illness; or any infectious disease (pink eye, impetigo, strep throat, etc.).
- Children must be fever free without the use of fever reducing medicine for 24 hours of wellness before returning to school.
- Parents must notify the Children's Center of the reason for all their child's absences, as we are required to report some illnesses to the Public Health Department. Parents will be informed of any cases of contagious diseases at the Children's Center.
- Any child out sick for more than four days must provide a doctor's note when they return stating that they are illness free and able to return to school.

To Prevent the Spread of Illness, staff, parents, and children must wash their hands with soap and water at the beginning of each day, after toileting, after outside play or playing with sensory items, before and after eating. All classroom items that come in contact with children's mouths are removed from play environment for sanitization later in the day.

Public Health Recommended Insect Repellent

In the case that a high-risk insect-borne disease may be on the rise, the Children's Center staff will only use repellants containing DEET. The repellent will be applied to the children, no more than once a day with written parental permission.

Medication Administration

If parents need medication to be administered to their child while they are in childcare parents must complete a medication administration release form. Some medications need a physician's signature. Please ask office staff for assistance.

Employees who dispense medication to children will receive medication administration training, called the "five rights." Employees will also complete a form indicating when medication is dispensed. Medications will always be secured in an area that children cannot reach or that is locked.

Program Health Services Offered

The children enrolled at the Children's Center will receive free vision, hearing, and a local dentist in the area will be contacted to give dental screenings. These services are contingent on funding and availability. Parents may sign a form denying the service if they wish to.

Sunscreen Procedure/UV Index

The opening person in the office during the months of September through May will go to the website: www.woweather.com/california/pomona/uvindex.htm to verify the UV Index for the day. The Office Staff will notify Teachers in each classroom of daily UV Index rating. Teachers will then apply sunscreen on

children by 10:00 AM. In the summer months June through August, the staff will apply sunscreen to the children at 10 AM and 3 PM.

3.4 Communication

Each month all parents are sent an email with the center's menus and any pertinent information about upcoming events at the center or on campus. Hard copies of these are available for parents and families who do not have email access. Billing statements are also emailed to families unless they request a hard copy. Any student incident reports are kept by the teaching staff until a parent or other adult arrives to pick up the child, and then it is signed and filed. Other information is posted on the classroom and office doors.

Parent Communication Procedure

Communication between school and home is important to the children's development and future school success. Staff understand, support, and participate in the following:

1. Communicate with parents daily through email, phone, or in person regarding child's developmental needs and goals.
2. Parent meetings address classroom activities, upcoming events, assessments, and answer any parent concerns or questions. Formal conferences are held twice each academic year to share information on your child's development and progress. A written report will be given to each parent at the meeting. **During the pandemic, these meetings may be held virtually and the report emailed.**
3. Family literacy nights provide parents with information and are a wonderful way for families and staff to interact and build positive relationships. **These events will only be held this year if considered safe to do so.**

Procedure for Negotiating Differences, Questions, or Concerns with Parents

Families sometimes have questions and/or concerns about their child's experience at the Children's Center. Families are encouraged to reach out to their child's teacher if they are having a concern about their child. From time to time, teachers and families may need to negotiate differences. If the parent believes they are not able to resolve the issue directly with the teaching staff they may reach out to any of our administrative staff, including the Associate Director or the Director. Together we will work to make this the best experience possible for you and your child.

Procedures for Supporting Families

All staff at the Children's Center are here to support families and their children. The Associate Director and the Director are here to support families in accessing resources they may need to meet their family goals, while teaching staff are an excellent resource for questions on child development and how children learn. Our goal is for the family to learn how to be their own best advocate for themselves and for their children.

If families need referrals for outside services, we will attempt to find the best contact information possible so that parents may find the services they need. If the concern is regarding a child's

development, we will work with the parent to address the child's needs at the center, as well as direct the family to either the local Regional Center or appropriate school district depending upon the child's age.

3.5 Classroom Placement & Transitions

Our emphasis at the center is on building relationships. In both our toddler and preschool classrooms each child will be assigned a primary caregiver who assists your child throughout the day. This adult will be the one to complete your child's assessment and to meet with the parent for fall and spring parent conferences.

Our 18-month-old children will be placed in the toddler classroom. Children will remain in this classroom placement until it is determined that they are developmentally and socially ready to move to the preschool classroom. This could be anywhere between the ages of thirty to thirty-six months. Three-year-old children may not remain in the toddler classroom, per licensing guidelines. The toddler teaching team will notify parents when they believe their child is ready to make this transition and will begin a gradual transition process with the child. This will consist of short visits to the new classroom, gradually lengthening as the child becomes comfortable in their new classroom.

Preschool children will be placed in one of three mixed age preschool classrooms, from older twos to five years old. This age grouping allows us to meet your child's needs, whatever developmental stage they are at, and encourages our more mature children to nurture and assist the younger children. Children will remain in this preschool classroom until they leave the center, allowing children, their families, and the teaching team to develop strong positive relationships.

New children entering the toddler or preschool classroom for the first time may experience a variety of reactions. Some children cry and cling to their parents. Some children are ready to get right into things day one and two, but suddenly may cling to their parents or cry after a week in care. Other children never cry and separate easily from their parents. All these reactions are completely normal.

We encourage families to visit the center before the first day, so they can see the classroom and meet the teachers. Children need to learn to separate from their families, and this is one of their first big steps in that direction. If your child cries when you drop them off, please give them your usual goodbye and assure them you will be back at a specific time (after lunch, after rest time). Children may bring a small comfort item with them if this helps with their transition. Once parents have said goodbye they should not linger, as this will draw out the child's distress- the child is trying to figure out if their parent will stay longer if they cry longer. Staff will comfort your child and reassure them that their parents will be coming back. As parents get to know and trust their child's teaching team children will also. Teaching teams and all support staff are here to care for children and their families, and to make this experience a positive one. **During the pandemic access to the classrooms may be limited.**

3.6 Child Abuse and Neglect

California Penal Code 11166 requires mandated reporters to report suspected instances of child abuse or neglect to the Department of Social Services or a law enforcement agency. All staff at the Children's Center are mandated reporters and as such are required to report any cases of suspected child abuse. Additionally, licensing requires that all childcare staff take two hours on-line mandated reporter training under AB (Assembly Bill) 1207.

Further, as employees of ASI all CPP Children's Center staff are required to report any suspected cases of child abuse. ASI maintains a Code of Conduct for working with minors, and all ASI employees that work with minors must abide by these procedures.

To avoid misunderstandings please communicate with your child's teaching team about any injuries such as cuts or bruises that your child may have received at home. By working together, we can help to ensure your child's safety and security.

3.7 School Clothing & Messy Play

Our program invites children to uninhibitedly explore the environment. This exploration means that children are often involved in "messy" activities. Although we encourage the use of aprons, we will not insist upon it if it stops a child from participating in any activity. Even the use of aprons does not guarantee that a child's clothing will remain spotless.

We encourage you to dress your child in clothes that allow them to move about freely and play without worrying. If you need your child to be dressed in clean clothes at the end of the day, please bring an extra set of clothes that you can change your child into.

To aid us, we ask you to label all your child's clothing (especially jackets, socks, and shoes).

Please send your child in shoes that are comfortable and practical for running, climbing, and walking.

Should your child have a toileting accident, we will have them change into the extra clothing you have provided for them. If you have forgotten to provide extra clothes, we will have your child change into clean clothes that we have available at the Children's Center. Please wash and return the Children's Center clothing and provide an extra set of clothes for your child's needs in the future.

During warm weather, children participate in activities involving lots of water play. Children are allowed to wear swimsuits for these special occasions and water shoes, particularly during the summer months. For your child's extra protection, we encourage you to apply sunscreen before your child comes to the Center.

Appropriate Clothing for Weather

Parents are encouraged to bring children to school in layered clothing during the cooler months of the year (November to April). This way the teachers can assist the children and remove layers of clothing as the weather becomes warmer during the day. If a child's clothes become soaked due to weather related reasons and their own clothes are not available, the center will provide a dry change of clothes/shoes and socks.

3.8 Parent Involvement

Although parents are not currently encouraged to participate in their child's classroom due to the pandemic, they can still be involved. Getting involved in your child's school life helps to boost your child's self-esteem, establishes a positive attitude toward education and opens the lines of communication between home and school. We especially encourage parents to share any special family traditions or skills they may have. Parents should work with their child's teaching team to find a suitable time to

participate in a class virtually. Parents could read a special book, share about a special family tradition, or teach an art project. Many things can be done via technology!

Please know that we have an **Open-Door Policy**, and parents are always welcome to drop in for a quick visit with their child. At this time, we highly discourage classroom visits to limit the germs we are exposing the children to, but we can have parents observe from a window or the door or even possibly from a zoom screen. We can be creative to help you see what is happening in the classroom.

4.0 About Our Programs

4.1 Curriculum & Daily Routines

The Cal Poly Pomona Children's Center is designed to create an atmosphere where children can grow emotionally, intellectually, socially, and physically. We value and nurture relationships. Every child is treated as an individual and is provided with a diverse and responsive environment. We use the emergent curriculum, which allows teaching teams to focus on children's interests and developmental stages, and to build daily routines and lesson plans based around the children's interests. The research-based Infant-toddler and Preschool Foundations & Frameworks serve as a resource for our teaching team's lesson plans. Teachers plan for both teacher led and child-initiated play activities.

The Outdoor Curriculum also guides teaching staff as they weave nature and the outdoors into challenging and reasonable risk activities. Daily routines are changed to accommodate the needs of the children in the classroom, and are posted on the classroom's parent board, as well as handed out at Parent Orientation. For consistency for your child, we ask that parents make every effort to bring their child by their assigned drop off time. This not only will build a solid routine your child can count on, but will prepare your family for kindergarten, where children must be on time to school each day.

Supervision of Children

Teaching staff who are responsible for the care of the children enrolled in the Children's Center must actively supervise children at all times. Employees supervising need to always be able to hear all toddlers and preschoolers. Toddlers should always be easily seen (if not in the direct line of sight, then by looking up or by slightly adjusting one's position) by at least one member of the teaching team. Staff do not need to be directly looking at each child at all times to meet the requirement for sight supervision. Preschool children may be supervised for short periods of time by sound only, if teachers check on them frequently (for example children who are able to use the toilet independently).

When supervising napping children, and some of the children are awake, teaching team members need to remember to place themselves where they can supervise the children who are awake and still see and hear the children who are resting. If an employee is supervising toddlers who are resting and a child needs to be diapered, they should call the office for assistance. In a preschool classroom children may be allowed to use the restroom independently if the teacher can still hear them. If a staff member needs assistance at any time while supervising a class of napping children, they should call the office for assistance.

Television/Videos/Computer Use

Short video clips shown on ipads or classroom computers are intended to reinforce or introduce

appropriate developmental themes, supplement planned lessons, or for special occasions. Video clips or pictures looked up on the computer should be used to enhance and extend children's learning. Teaching Teams must ensure they are using appropriate web sites and should verify ahead of time before using with the children.

Naptime Policy

It is the policy of the Center to provide the opportunity for all children to rest. Children will be provided with their own blanket and cot which will be washed weekly. Children who have outgrown napping or who do not require a nap, because their parents will be arriving soon to pick them up, will be asked to rest or play quietly in their classroom. Children will always have a supervising teacher who will continuously observe children during naptime.

Assessments Policy

Each Fall and Spring all enrolled children are assessed using the Desired Results Developmental Profiles 2015 (DRDP 2015). These assessments assist teaching teams to better understand children's progress and areas of development. The assessment is completed from observations the teaching team members complete as part of their daily routine. Efforts are made to assess children in their home languages when possible. Additionally, the Ages and Stages document is also given to new families to complete and return to their child's classroom teaching team. This tool helps our teaching teams understand what a child is doing at home, versus what teachers may be seeing in school.

Through assessment teaching teams come to understand much about the way in which children develop and how we can support and challenge their growth and learning. Children are assessed sixty days after they are enrolled and every six months thereafter (this is typically in the Fall and Spring, but if a new child is enrolled at a different time their first assessment will be completed within sixty days). Teaching teams use the assessment information, the Ages and Stages information, and information that parents share with them, to help guide their daily and weekly lesson plans. Our goal is to provide an environment which is responsive to individual children's needs and that will support optimal learning activities (NAEYC 4.A.03.d).

4.2 Diversity & Inclusion

Center Celebrations

At the CPP Children's Center we honor and respect the cultural, linguistic, and religious customs and beliefs of each family. We want all families and children to not only be recognized, but to be welcomed as an important part of our community. Due to the diverse community that we serve, we realize that certain holidays and celebrations are not recognized by all our families. To respect each family's individual values and beliefs we strive to work with all our families so that we can learn about and share important traditions, celebrations and values held by the families we serve. We encourage all our families to share information with us so that we do not inadvertently disrespect any culture. We hope that by educating our adults and children about the many different beliefs that people hold we can build a community of understanding and respect for all people.

If for any reason, a child's religious or cultural background does not permit a child to take part in a celebration or activity occurring in the classroom or at the center we ask that parents work closely with their child's teaching team to come to a decision that is satisfactory to everyone involved. If a family

decides to keep their child home on a certain day due to religious beliefs or customs, this will be an excused absence.

Birthday Celebrations

At our center we want to recognize your child's birthday as a special day in your child's life, if that is your family's practice. We will have a fun activity in the classroom on your child's birthday and we encourage you to talk with your child's teacher and work together to make this day reflective of your child's interests and family culture. Many teachers read a special book to the children or do a cooking activity. Parents can bring in a book that their child especially likes, and "gift" the book to their child's classroom, with a dedication from the child. If the teacher does a cooking activity parents may want to suggest a specific recipe that they use at home.

Currently we ask parents not to send food to the classroom for their child's birthday.

4.3 NAEYC Certification

Our center is currently accredited by the National Association for the Education of Young Children (NAEYC). This certification means that we are a high-quality center that must follow specific procedures that are in the best interest of young children. Throughout this handbook certain procedures are referenced that are specific to our continued accreditation. If you have any questions about this accreditation, please do not hesitate to ask. We are extremely proud to have earned this distinction and strive to continue to maintain high quality services for our children and families.

4.4 Student Volunteers, Interns & Practicum Students

We work closely with Cal Poly Pomona to provide a site where students can come to perform their Practicum Hours, work as an intern, complete a class project, read to the children, or just volunteer to work in the Center. These students provide a wide diversity of experiences for the children at our Center, and we are extremely fortunate to have this valuable resource.

All students who come into our center are cleared to work in the center prior to their entry. We abide by all Title 22 Licensing Regulations regarding volunteers. Students are never allowed to be alone with the children, and do not assist with any toileting or personal care routines. The primary role of students is to provide one on one attention for children, or small group interaction. All students who come into our center are provided an orientation and are cleared to work in the center prior to their entry.

4.5 Non-Religious Instruction or Worship

In accordance with California Department of Education regulations, the Children's Center **does not** provide religious instruction or worship as any part of the curriculum or program.

4.6 Discipline Policy

The Children's Center works to encourage children to make positive choices during the day. Teaching team members use positive reinforcement, redirection, and other developmentally appropriate methods when working with the children. Children are encouraged to "use their words" to voice their feelings and needs. It is important for employees to reflect with the children and name the child's emotions and actions so that the children can begin to identify the emotions they are feeling and begin to gain control (this helps build a child's executive function).

The Children's Center does not allow the use of corporal punishment, such as shaking or hitting and does not engage in psychological abuse or coercion such as threats or derogatory comments. Staff will never interfere with a child's daily functions such as eating, sleeping, or toileting or in any other way abuse a child's personal rights per LIC613A.

Discipline is a complex topic and is defined differently by everyone. We approach discipline in positive terms. We see discipline as a structure through which a child's involvement helps them become responsible for their actions toward others, as well as towards property. For young children, redirection with words to explain the adult's actions gives the child a clear message about acceptable or unacceptable behavior. Labeling a child's feelings also helps a child to understand what they are feeling and helps them learn control. Discipline is only effective when children are given consistent and age-appropriate limits, meaningful language to use to express their feelings, and a healthy environment. With gentle adult guidance, children gain the confidence to express themselves and the tools they need to work through difficult situations.

If a child's behavior is bringing harm to themselves, other children, or staff in the environment, and we are unable to guide the behavior with our normal procedures we will call for a parent conference. In this conference we will discuss what needs the child is trying to meet, and plan for how we can better address the needs and the resulting behaviors. The goal of the conference is to create an individualized plan that will help us to work with the child in a way that meets the child's needs and results in behaviors the child can use that do not harm the child, other children in the classroom, or any adults in the classroom. Outside consultation or testing for the child may be part of the plans' recommendations.

If, after the conference occurs and we have implemented all parts of the plan with no significant results (the child's behaviors are still bringing harm to themselves, other children or staff and we are not able to redirect the behaviors) we may ask to have the child moved to another placement.

4.7 Toilet Learning

Children learn to use the toilet at their own pace, usually somewhere between two and three years of age. We work closely with families to determine when it is the right time for their child to transition out of diapers and begin using the toilet. Once a child begins learning how to use the toilet, we will have an agreement that is signed by both the parent and the teacher, agreeing on what will happen at home and what will happen at the center to facilitate this process.

For children entering the preschool program this is a particularly sensitive issue. In the preschool classrooms our adult to child ratio is 1:8 (in the toddler room it is 1:4), and the classrooms are not ideal for changing diapers. We strongly encourage parents to work on toilet learning prior to preschool entry, but please be assured that we will support each child and parent if the toilet learning process is not yet complete. We want this to be a positive experience for all involved, resulting in a confident child who knows how to use the toilet!

4.8 Emergency Preparedness

Medical and Dental Emergencies

Emergency information is kept on file at the Children's Center in the office. In case of illness or injury this information will be used to notify the parent, or the person designated by the parent, of the child's status. If a child is injured while at the Children's Center, first aid will be administered. If treatment by a doctor is necessary, we will make every effort to contact the parent, or the doctor listed on the emergency card.

In all cases, an Incident report is completed and signed by teachers and parents. In the case of a significant injury the NAEYC procedures for notification will be followed, and an Unusual Incident report submitted to Community Care Licensing. It is especially important that all emergency contact information is kept up to date and correct. Parents are responsible for all costs involved in emergency medical treatment, including emergency transportation if required.

Note: In case of a serious accident or sudden illness requiring immediate medical attention, the following procedures will be followed.

1. A phone call to 911 is made
2. Child's parents (or emergency contacts) are called
3. The child is appropriately cared for until the parent or emergency personnel arrive.
4. Parent, provider, or ambulance takes the child and health records to the doctor or hospital.

Required Emergency Supplies for Children

We ask that each parent bring their child an extra change of clothes for school, as well as a zip lock bag with the following supplies: a family photo, a comforting message from you, a water bottle, and a few food items such as a granola bar, fruit snacks, cheese n crackers, etc.

Emergency Drills

Both earthquake and fire drills are conducted regularly at the Children's Center. While drills are being conducted the front door will be locked, and parents will have to wait until the drill is complete to enter the school. In an actual emergency once the front door is locked it will not be unlocked until the emergency has been declared to be over. Please understand that our priority always will be for the safety of your children.

Emergency Evacuation of the Center

In case of an ordered evacuation, a notice will be posted at the Children's Center front gate stating directions for the parents as to where we have taken the children. If there is a fire or other emergency the children will be evacuated from the Center and walked to the nearest area that is deemed safe, such as Bronco Commons or the Bronco Student Center. Staff will always remain with the children. Parents will be notified about the evacuation as quickly as possible.

It is important that your child is signed in and out daily and your child's Emergency Card with work, home, cell, and emergency numbers is kept up to date in case we need to call you to pick up your child/children. Staff will ask to see ID of the person picking up the child.

If an emergency arises after hours, the Disaster Plan activation procedures will vary depending on the nature of the emergency, the time of day, etc. To determine whether the University has been affected by

an event you have seen or heard about, and if you are unable to reach us at the center, **you may call the on-campus police department at 909-869-3070 for further information.**

All procedures in this Parent Handbook are subject to change due to changes in Licensing, Grant requirements or any other emergency. You will receive addendums as needed.

Thank You

The Children's Center would like to thank you in advance for taking the time to select our school to help your child grow and develop to their fullest potential. Working together, we can make a difference in your child's life.

Parent Handbook revisions are made to continue to abide by changing CSPP and CCTR contract regulations, and are approved in consultation with our Parent Advisory Board and the Cal Poly Pomona Foundation Inc. Advisory Board.

APPENDIX

Samples of Routinely Used Forms Following This Page:

- Admission Agreement
- Parents Rights
- Personal Rights
- Notice of Action Appeal Procedure- CDE & CDSS

Admission Agreement

Program Description: The Cal Poly Pomona Children’s Center Program is operated jointly through Associated Students Inc. & Cal Poly Pomona University. The program provides both part- and full-time care for children ages eighteen months to five years old, in a year-round program. Services are offered on a non-discriminatory basis, giving equal treatment without regard to physical handicap, race, color, creed, religion, national origin or ancestry. The program does not engage in religious instruction or worship.

The program serves full cost and income eligible families. Families who qualify for state subsidized care be aware that per Funding Terms & Conditions we must screen each family for eligibility and need upon entry into the program and annually to continue enrollment. Each family applying for subsidized services will be given a Notice of Action each time services are approved or changed.

I/we, the parent/guardian/authorized representative of _____ (child’s name) agree to the following:

- I/we agree to attend a Children’s Center Parent Orientation meeting.
- I/we have received a copy of the Children’s Center’s Preschool or Kids University Parent Handbook and agree to read and abide by the terms set forth in the Parent Handbook.
- I/we agree that the Children’s Center staff have explained the center’s policies and procedures, and my questions about the program have been answered to my satisfaction.
- I/we agree to pay the tuition each month when due, in advance of care. Families whose fees are not paid in a timely basis will have their services suspended and/or terminated. Families may make a payment plan for past due fees.
- I/we are aware of and agree to the Children’s Center’s “**NO REFUND**” policy for Materials and Registration fees.
- I/we understand that there is **no credit/refund on family fees paid for absences due to illness or best interest days**.
- I/we understand that there may be late charges or additional charges for care outside of contracted services.
- I/we understand that subsidized families can apply for family emergency and full cost families can apply for a vacation request, to hold a child’s space without cost to the family. Leaves and requests are limited, per the parent handbook.
- I/we agree to notify the Children’s Center office in writing at least two weeks prior to withdrawing my child from the program. I/we understand that childcare fees will be charged for those two weeks and that all charges are to be paid by the final withdrawal date. If payment has been made past the two weeks you will be refunded.
- I/we understand that a child who is absent for four (4) consecutive days or more due to illness must bring a “Return to School” notice from their health care provider stating that the doctor approves the child’s return to school.
- I/we understand that parents may not knowingly bring their child to school with a fever of 101 degrees or more and that children must be fever free for a complete 24 hours without fever reducing medication before returning to school.
- I/we agree that we have received a copy of our Parent’s Rights, Caregiver Background Check Process and Personal Rights.
- I/we understand that children’s behavior must not endanger themselves or other children in the program. Staff work closely with parents to resolve any behavior issues together.
- I/we understand that I/we must treat program personnel with respect and must refrain from the following: disorderly conduct, verbal abuse, or profanity towards anyone present at the program, or suspension or termination of services may result.
- I/we understand that I/we must cooperate fully with all program policies.

I/we agree to abide by the conditions of this Admission Agreement for the Cal Poly Pomona Children’s Center.

Parent’s Name	Parent’s Signature	Date
Enrollment Staff Name	Enrollment Staff Signature	Date

California State Polytechnic University Pomona
Associated Students, Inc. in partnership with the Division of Student Affairs
3801 W. Temple Avenue, Pomona, CA 91768-2557
(909)869-2284

PERSONAL RIGHTS (LIC 613A)**Child Care Centers**

Personal Rights, See Section 101223 for waiver conditions applicable to Child Care Centers.

(a) Child Care Centers. Each child receiving services from a Child Care Center shall have rights which include, but are not limited to, the following:

- (1) To be accorded dignity in his/her personal relationships with staff and other persons.
- (2) To be accorded safe, healthful and comfortable accommodations, furnishings and equipment to meet his/her needs.
- (3) To be free from corporal or unusual punishment, infliction of pain, humiliation, intimidation, ridicule, coercion, threat, mental abuse, or other actions of a punitive nature, including but not limited to: interference with daily living functions, including eating, sleeping, or toileting; or withholding of shelter, clothing, medication or aids to physical functioning.
- (4) To be informed, and to have his/her authorized representative, if any, informed by the licensee of the provisions of law regarding complaints including, but not limited to, the address and telephone number of the complaint receiving unit of the licensing agency and of information regarding confidentiality.
- (5) To be free to attend religious services or activities of his/her choice and to have visits from the spiritual advisor of his/her choice. Attendance at religious services, either in or outside the facility, shall be on a completely voluntary basis. In Child Care Centers, decisions concerning attendance at religious services or visits from spiritual advisors shall be made by the parent(s), or guardian(s) of the child.
- (6) Not to be locked in any room, building, or facility premises by day or night.
- (7) Not to be placed in any restraining device, except a supportive restraint approved in advance by the licensing agency.

THE REPRESENTATIVE/PARENT/GUARDIAN HAS THE RIGHT TO BE INFORMED OF THE APPROPRIATE LICENSING AGENCY TO CONTACT REGARDING COMPLAINTS, WHICH IS:

Department of Social Services
Community Care Licensing Division
L.A. Day Care East District Office
1000 Corporate Center Dr., Suite 200B
Monterey Park, CA 91754

213-981-3300

CHILD CARE CENTER**NOTIFICATION OF PARENTS' RIGHTS** (LIC 995)

As a Parent/Authorized Representative, you have the right to:

1. Enter and inspect the childcare center without advance notice whenever children are in care.
2. File a complaint against the licensee with the licensing office and review the licensee's public file kept by the licensing office.
3. Review, at the childcare center, reports of licensing visits and substantiated complaints against the licensee made during the last three years.
4. Complain to the licensing office and inspect the childcare center without discrimination or retaliation against you or your child.
5. Request in writing that a parent not be allowed to visit your child or take your child from the child care center, provided you have shown a certified copy of a court order.
6. Receive from the licensee the name, address and telephone number of the local licensing office.

Licensing Office Name: see above

Licensing Office Address: _____

Licensing Office Telephone #: _____

7. Be informed by the licensee, upon request, of the name and type of association to the childcare center for any adult who has been granted a criminal record exemption, and that the name of the person may also be obtained by contacting the local licensing office.

8. Receive, from the licensee, the Caregiver Background Check Process form.

NOTE: CALIFORNIA STATE LAW PROVIDES THAT THE LICENSEE MAY DENY ACCESS TO THE CHILD CARE CENTER TO A PARENT/AUTHORIZED REPRESENTATIVE IF THE BEHAVIOR OF THE PARENT/AUTHORIZED REPRESENTATIVE POSES A RISK TO CHILDREN IN CARE.

For the Department of Justice "Registered Sex Offender" database, go to www.meganslaw.ca.gov

Notice of Action Appeal Information- CDE & CDSS

CDE:

California Department of Education
Early Learning and Care Division

NOTICE OF ACTION

Form CD-7617, (Rev. 6/14)

Appeal Information: If you do not agree with the agency's action as stated in the Notice of Action, you may appeal the intended action. To protect your appeal rights, you must follow the instructions described in each step listed below. If you do not respond by the required due dates or fail to submit the required appeal information with your appeal request, your appeal may be considered abandoned.

STEP 1: Complete the following appeal information to request a local hearing:

Name of Parent/Caretaker		Telephone No.	
Address	City	Zip	
In this section, please explain why you disagree with the agency's action.			
Check Box if an Interpreter is Needed at the Local Hearing:	Signature of Person Requesting a Local Hearing	Date	

STEP 2: Mail or deliver your local hearing request within 14 days of receipt of this notice to:

<u>This section must be completed by the agency before the notice is</u>	
A. Agency Name	<u>Cal Pol Pomona Foundation Inc.</u>
B. Agency Address	<u>3801 W Temple Ave, bldg 121 rm. 2511</u>
C. City/State/Zip	<u>Pomona CA, 91768-2557</u>
D. Name of Agency Contact	<u>Megan Stang, AVP Student Experience</u>
E. Agency Telephone	<u>(909) 869-3768 x</u>

- STEP 3:** Within ten (10) calendar days following the agency’s receipt of your appeal request, the agency will notify you of the time and place of the hearing. You or your authorized representative are required to attend the hearing. If you or your representative do not attend the hearing, you abandon your rights to an appeal, and the action of the agency will be implemented.
- STEP 4:** Within ten (10) calendar days following the hearing, the agency shall mail or delivery to you a written decision.
- STEP 5:** **If you disagree with the written decision of the agency, you have 14 calendar days in which to appeal to the Early Education and Support Division (EESD). Your appeal to the EESD must include the following documents and information: (1) a written statement specifying the reasons you believe the agency’s decision was incorrect, (2) a copy of the agency’s decision letter, and (3) a copy of both sides of this notice. You may either fax your appeal to 916-323-6853, or mail your appeal to the following address:**
- California Department of Education
 Early Learning and Care Division
 Attn: Appeals Coordinator
 1430 N Street, Suite 3410
 Sacramento, CA 95814
 Phone: 916-322-1273
 Fax: 916-323-6853
 Email: ELCDappeals@cde.ca.gov
- STEP 6:** Within 30 calendar days after the receipt of your appeal, CDD will issue a written decision to you and the agency. If your appeal is denied, the agency will stop providing child care and development services immediately upon receipt of CDE’s decision letter.

[CDE_0065]Cal Poly Pomona Children’s Center • 3801 W Temple Ave • Pomona, CA 91768-2557 • (909) 869-2284
 x •

CDSS

California Health & Human Services Agency

California Department of Social Services

Appeal Information: If you do not agree with the agency’s action as stated in the Notice of Action, you may appeal the intended action. To protect your appeal rights, you must follow the instructions described in each step listed below. If you do not respond by the required due dates or fail to submit the required appeal information with your appeal request, your appeal may be considered abandoned.

STEP 1: Complete the following appeal information to request a local hearing:

Name of Parent/Caretaker		Telephone No.	
Address		City	Zip
In this section, please explain why you disagree with the agency’s action.			
Check Box If an Interpreter is Needed at the Local Hearing:	Signature of Person Requesting a Local Hearing		Date

STEP 2: Mail or deliver your local hearing request within 14 days of receipt of this notice to: This section must be completed by the agency before the notice is served

- A. Agency Name: Cal Poly Pomona Foundation Inc.
- B. Agency Address: 3801 W Temple Ave, bldg 121 rm. 2511
- C. City/State/Zip: Pomona CA, 91768-2557
- D. Name of Agency Contact: Megan Stang, AVP of Student Experience
- E. Agency Telephone Number: (909) 869-3768

STEP 3: Within ten (10) calendar days following the agency’s receipt of your appeal request, the agency will notify you of the time and place of the hearing. You or your authorized representative are required to attend the hearing. If you or your representative do not attend the hearing, you abandon your rights to an appeal, and the action of the agency will be implemented.

STEP 4: Within ten (10) calendar days following the hearing, the agency shall mail or deliver to you a written decision.

STEP 5: If you disagree with the written decision of the agency, you have 14 calendar days in which to appeal to the Child Care and Development Division (CCDD). Your appeal to the CCDD must include the following documents and information: (1) a written statement specifying the reasons you believe the agency’s decision was incorrect, (2) a copy of the agency’s decision letter, and (3) a copy of both sides of this notice. You may either fax or mail your appeal to the contact information below:

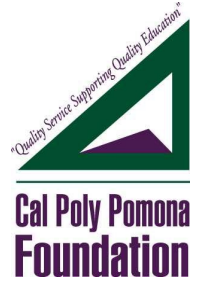
California Department of Social
 Services Child Care and
 Development Division Attn:
 Appeals Coordinator
 744 P Street, MS 9-8-351
 Sacramento, CA 95814
 Phone: 1(833) 559-2417
 Fax: (916) 654-1048
 Email: CCDDAppeals@dss.ca.gov

STEP 6: Within 30 calendar days after the receipt of your appeal, the CCDD will issue a written decision to you and the agency. *If your appeal is denied, the agency will stop providing child care and development services immediately upon receipt of California Department of Social Services’ decision letter.*



Memorandum

Date: November 21, 2023
To: Finance & Investment Committee
From: Jared Ceja, Chief Executive Officer
Attached: Policy 122 (tracked changes)
Subject: **Minimum Authorized Signatures Policy #122 update**



Policy #122 requires regular review and updates based on changes that occur in our organization. The proposed updates include changing Cal Poly Pomona Foundation's name in the policy from 'Enterprise Foundation' to 'Enterprises', in line with the dba Cal Poly Pomona Enterprises.

Additional changes include adding clarity to externally sponsored projects and awards and sub-award agreements. The latter is intended to also provide consistency with current practice by spelling out "issued by Enterprises".

The authorized signers have also been updated in two areas. The Assistant Director of Contracts & Project Management replaced the Director of Real Estate under Extramural Projects, Agreements and Awards. The Manager of Grants and Contracts has been added for Extramural Sub-Award Agreements issued by Enterprises.

Policy Number
122

Title
Minimum Authorized Signatures

RECOMMENDED ACTION:

Management is requesting that the Finance & Investment Committee approve the updated Minimum Authorized Signatures Policy Number 122 as presented to reflect appropriate authorized signers, and added clarification.

BE IT RESOLVED, that the members of the Finance & Investment Committee have reviewed and approved the presented changes to Minimum Authorized Signatures Policy Number 122 to be forwarded for consideration at the next scheduled meeting of the Board of Directors.

PASSED AND ADOPTED THIS 21st DAY OF NOVEMBER 2023

By: _____
Ysabel Trinidad, Chair
Finance & Investment Committee



POLICIES AND PROCEDURES

CORPORATE POLICY

Subject: Minimum Authorized Signatures

Policy No.: 122

Orig. Date: 06/04/02

Last Revision Date: ~~9/23/21~~ 12/12/23

Revision: 154

- A. Purpose
 - B. Definitions
 - C. Position Titles and Acronyms
 - D. Documentation and Limits
-

A. Purpose

To designate the minimum authorized signatures on documents for Cal Poly Pomona Foundation (“Enterprises ~~Foundation~~”) transactions.

B. Definitions

Authorized signer: Any individual employed by the Enterprises ~~Foundation~~ who has actual authority to transact business and/or has the right to sign and execute documents that commit the organization.

Designee: Any individual who has been explicitly authorized by an authorized signer, whether temporarily or permanently, to sign documents on behalf of the authorized signer. Designees, either by title or name, may be outlined in unit policies/procedures or communicated to impacted employees when temporary needs arise.

Preparer: Any individual employed by the Enterprises ~~Foundation~~ who is responsible for initiating and populating the documentation for signature.

C. Position Titles and Acronyms

CEO: Executive Director and Chief Executive Officer

CFO: Director of Financial Services and Chief Financial Officer

CHRO: Director of Employment Services and Chief Human Resources Officer

COO: Associate Executive Director and Chief Operating Officer



POLICIES AND PROCEDURES

D. Documentation and Limits

The following is a description of documents and corresponding authorized signatures. Transactions greater than \$200,000, except as otherwise stated in the following sections, require two signatures, one of which must be the CEO or CFO. To ensure proper segregation of duties, authorized signers may not (1) authorize transactions for their own direct benefit, (2) prepare and approve the same document, or (3) approve a purchase order, agreement, or other financial commitment and subsequently approve the disbursement or payment for such transaction.

Should temporary or permanent vacancies result in fewer than three authorized signers in any category, the CEO may designate temporary signature authority to one or more Foundation members. Temporarily designated positions must be at Associate Director level and above.

<u>Transaction Type/Document</u>	<u>Authorization</u>
Bank Account Transfers	CEO, CFO, COO
Letter/Line of Credit Transactions	CEO, CFO, COO
Investment Account Transfers	CEO, CFO, Board Chair, Board Vice-Chair, Board Secretary/Treasurer
Contractual Documents:	
Agreements, Leases, MOU's and Licenses	CEO, CFO, COO, Board Chair, Board Vice Chair, Board Secretary/Treasurer
<u>Extramural</u> (Externally Sponsored) Projects Agreements and Awards	CEO, CFO, COO, Board Chair, Board Vice Chair, Secretary/Treasurer, Director of Real Estate Development Asst. <u>Director – Contracts & Project Mgmt.</u>
<u>Extramural</u> (Externally Sponsored) Sub-Award Recipient Agreements <u>issued by Enterprises</u>	CEO, CFO, <u>Manager of Grants and Contracts</u> , Associate Vice President of Research (University), Director of Research and Sponsored Programs (University)
Expenditure Request/Authorization:	
Disbursement Voucher/Interdepartmental Transfers	CEO, CFO, COO, CHRO, Director of Real Estate Development, Assistant Director of Financial Services, or their designee and Account Authorized Signers (Restricted Foundation programs)



POLICIES AND PROCEDURES

	and scholarship programs require two signatures for Inter department Transfers; one from the authorized signer or supervisor or their designee and one from the Foundation Internal Manager for amounts in excess of \$5,000)
Purchase Orders	CEO, CFO, COO, CHRO, Director of Real Estate Development, Assistant Director of Financial Services, Manager of Grants and Contracts or their designee
Purchase Orders for Resale	CEO, CFO, COO, Enterprise Division Directors, Enterprise Division Associate/Assistant Directors, or their designated buyers
Negotiable Instruments:	
Commercial Checks/Electronic Transfers (i.e. wires, automated clearing house transactions)	CEO, CFO, COO, CHRO, Board Chair, Board Vice Chair, Board Secretary/Treasurer (Two signatures required for all checks of \$10,000 or more.)
Payroll Checks	CEO, CFO, COO, CHRO, Board Chair, Board Vice Chair, Board Secretary/Treasurer (Two signatures required for all checks of \$10,000 or more.)
Other:	
Foundation Program / Scholarship Agreements	CEO, CFO, COO, University Chief Financial Officer, Dean or Vice President (3 Signatures; minimum 1 from University)
Certifications and Assurances Relating to Sponsored Project Proposal	CEO, CFO, COO, Board Chair, Board Vice Chair, Board Secretary/Treasurer, Director of Real Estate Development
Federal Voucher Certifications	CEO, CFO, COO, Manager of Grants and Contracts
Financial Reports to Granting Agencies	CEO, CFO, COO, Manager of Grants and Contracts
Employee Transaction Forms (ETFs)	CEO, CFO, CHRO, COO, Unit Directors, Manager of Grants and



POLICIES AND PROCEDURES

	Contracts, or their designee, Authorized Account Signers (2 Signatures)
Real Property Conveyance	Board Chair, Board Vice Chair, CEO
Information and Tax Returns	CEO, CFO, Board Chair, Board Vice Chair, Secretary/ Treasurer (2 Signatures)
Travel Authorization	CEO, CFO, COO, CHRO, Assistant Director of Financial Services, Manager of Grants and Contracts, or their designee, and Account Authorized Signers (2 Signatures)
Journal Entries	Signatures by the approver and preparer are required for each journal entry transaction. The approver shall be one of the following: CFO, Assistant Director of Financial Services, Manager of Grants and Contracts, Director of Real Estate Development, Accounts Payable Supervisor, Financial Systems Manager, or their designee