



**Associated Students Incorporated  
Cal Poly Pomona**

**FINANCIAL GUIDELINES AND STIPULATIONS  
2017-2018 ASI Annual & Mid-Year Budget Allocations**

The financial guidelines and stipulations listed below are intended to enable ASI to comply with audit standards and foster good business practices to protect the financial and legal interests of the organization. These financial guidelines and stipulations are applicable to all ASI funded groups, programs, events, and activities. Non-compliance with these financial guidelines and stipulations may result into ASI sanctions determined to be appropriate by the ASI Treasurer, in consultation with the ASI Attorney General and the ASI Executive Director, including and up to non-eligibility for ASI annual and mid-year funding support. For additional information or clarification refer to the Smart Spending Manual, visit the ASI Financial Services website and consult the ASI Treasurer or the ASI Director of Financial Services.

**General Guidelines:**

1. ASI funds shall not be used for the following purposes:

- a) Honoraria, stipends, or speaker's fees to any person for their assistance and/or instruction connected with a class
- b) Honoraria, stipends, or speaker's fees to any current Cal Poly Pomona or auxiliary employee
- c) Refreshments at regularly scheduled business meetings or personal events such as birthdays, showers, wedding and similar occasions. However, refreshments may be provided in relation to recruitment, training, speaker presentations and recognition purposes. Exceptions shall be reviewed by the ASI Director of Financial Services and approved by the ASI Executive Director.\*
- d) Flowers in connection with illness, hospitalization, or funeral\*
- e) Gifts for birthdays, showers, weddings, or similar occasions. However, non-cash awards for achievement and recognition are allowed, provided that the amount and frequency are reasonable.\*
- f) Events or fundraisers with the intent of generating additional income.\*
- g) Alcohol, tobacco, and other items prohibited by CSU policies and applicable laws and regulations
- h) Support or opposition of any candidate for public office, whether partisan or not, or to support any issue before the voters (including all matters before legislative bodies) of the state or any subdivision thereof or any city, municipality or local government entity of any kind, as may be permitted by Section 89300 of the Education Code (Section 42403 of Title V). The only exceptions are authorized governmental affairs representatives. (Education Code Section 89300)
- i) Expenditures in violation of the First Amendment of US Constitution
- j) Funding for scholarships, with the exception of ASI elected and appointed student leaders (Senate Bills 92-93:04, 97-98:02, and 12-13:02)
- k) Funding for departments, programs, and activities that are funded by the University General Fund, with the exception of ASI approved partnerships
- l) Groups that receive funding support from the Instructionally Related Activities (IRA) fund with the exception of Athletics and ASI Departments
- m) Premiums for individual student health insurance, excess medical, and auto insurance, as well as group liability and group travel accident insurance; with the exception of ASI's budgeted insurance requirements for its program and service offerings
- n) Hazing or hazing related activities (Education Code Section 32050-32051). Hazing includes any activity that causes, or is likely to cause, bodily danger, physical, and/or mental harm

\*Indicates items that may be funded by the Agency Account

## **2017-18 Financial Guidelines and Stipulations (con't.)**

2. If ASI funds are used to provide honoraria or speaker's fees to any person, the compensation shall be in the form of a check from ASI Financial Services. The appropriate documents or contracts are required to issue a payment check.
3. All documents related to travel must be submitted to ASI Financial Services in accordance with the ASI Travel Policy. Non-compliance may result in the inability to reimburse all travel related costs, in consultation with the ASI Treasurer and ASI Director of Financial Services.
4. International travel must be approved by the University prior to any travel taking place. This process may take up to three (3) months. This requirement is in addition to the above stipulation regarding ASI travel forms.
5. All disbursements for travel must be submitted in accordance with the ASI Travel Policy.
6. ASI budget requests are subject to review by the ASI Executive Director for exposure to high-risk liability. Should a high-risk factor be determined, the allocation of funds shall be delayed until the situation is resolved by the ASI Executive Director, in consultation with the appropriate ASI student leader and/or legal counsel. Once resolved, the allocation shall be approved and the funds will be released after all requirements are met. The requesting group is responsible for managing the risks involved with their program or activity.
7. All groups receiving ASI funds are prohibited from engaging in harassment or discrimination. Any such activity shall lead to their funds being suspended, to or retained by ASI, in accordance with the ASI By-Laws.
8. The Employer Identification Number (EIN) for ASI shall be made available for appropriate use, as determined by the Director of ASI Financial Services with approval from the ASI Executive Director. (Senate Bill 92-93:02)
9. ASI funded groups participating in close contact competition and activities, except Athletics, shall be required to submit a list of participants and signed waiver and liability release forms from each participant as well as comply with other requirements to manage the risks involved. These forms must be submitted prior to the activity. (Senate Bill 92-93:06)

### **Councils, Diversity Groups, and ASI Annually Budgeted Groups:**

10. The ASI Treasurer, in consultation with the ASI Director of Financial Services, shall send out notification to the mandated groups regarding their recommended ASI allocations for the budget year **no later than the first Friday of May**. Groups that receive mandated (Councils, Diversity Programs) ASI budget allocations, must submit a budget plan to the ASI Treasurer for the upcoming fiscal year **no later than 5pm on the last Friday of May** in that current fiscal year. These budget plans are subject to the review and approval by the ASI Treasurer.
11. All ASI annually budgeted groups (BEAT, ASI Departments, ASI Student Government, ASI Elections) which receive an approved allocation that is different from what was requested, are required to submit relined budgets to the ASI Treasurer **no later than 5pm on the last Friday of September**. The ASI Treasurer shall review and approve these, subject to compliance with ASI policies and all applicable regulations, before the allocated funds can be spent.
12. The provision for salary adjustments for ASI employees shall be set in consultation with the Personnel Review Committee and approved by the ASI Senate and University President/designee through the annual budget process.
13. Annually Budgeted groups (BEAT, ASI Departments, ASI Student Government, ASI Elections) receiving ASI funds must have at least one representative attend the mandatory budget meeting to initially prepare the preliminary balanced budget. Groups must be notified by the ASI Financial Services no less than two weeks prior to the meeting.
14. Scholarships for ASI student leaders are determined through the ASI annual budget process as stated in the ASI By-laws. The scholarship amounts shall be adjusted yearly based on the Higher Education Price Index.

## **2017-18 Financial Guidelines and Stipulations (con't.)**

15. All ASI funded groups (with mandated and annual budget allocations) may carry over funds to the next fiscal year. Any excess of actual carryover compared to budgeted carryover for any given fiscal year shall be repossessed and transferred to the following accounts: New Programs and Augmentations (65% of funds), ASI Prior Years II (15% of funds), ASI Prior Years III (10% of funds), and The Green Initiative Fund (10% of funds). The repossession of carryover does not apply to Academic and At-Large Councils.

16. The release of the approved ASI Annual Budget funds shall be done in a two-step approach, in anticipation of any unplanned changes in enrollment. Upon final approval of the ASI Annual Budget, seventy percent (70%) shall be released to ASI annually funded groups and budget line items (ASI Reserves, At-large Councils, Academic Councils, and Diversity Programs). The release of the thirty percent (30%) balance will be contingent on actual enrollment through Winter Quarter, as recommended by the ASI Treasurer. The ASI Senate shall take action on any recommendation to release less than 30% of the annual budget allocations with a 2/3 vote of the seated Senate.

17. Any co-funding of both the ASI and BSC budgets, not approved during the annual budgeting process, must be approved by the ASI Treasurer. The ASI Treasurer must keep the Senate informed of all decisions, prior to the co-funded activity taking place.

### **Council Guidelines:**

18. Academic and At-large Councils shall receive their ASI funding in two (2) phases: 70% of their total funding during Fall Quarter (phase I), and the remaining 30% of their total funding during Spring Quarter (phase II). Councils must allocate 75% of phase I and phase II funding to their clubs and organizations by the first Friday of December, and the last Friday of April, respectively.

19. Councils shall distribute funding to their clubs and organizations through the submission of a completed Budget Transfer Form to ASI Financial Services. The Council's elected Executive Board shall decide how much to allocate to each club based on selected criteria.

20. The president, treasurer, or designee(s) from each At-large and Academic Council is required to attend a minimum of two workshops to be conducted by ASI Financial Services every fiscal year. The first workshop shall cover the administration of council funds and allocations to clubs and organizations. The second workshop shall focus on the preparation of their annual budget for the following fiscal year. These presentations shall be conducted by ASI Financial Services.

### **Student Clubs and Organizations:**

21. All student clubs and organizations must be registered, approved, and in good standing with the Office of Student Life and Cultural Centers (OSLCC) to be eligible for ASI funding.

22. All clubs and organizations must attend the mandatory workshop conducted by ASI Financial Services, as part of the annual registration process.

23. All clubs and organizations must attend a budget workshop conducted by ASI Financial Services in order to submit a request for any funding.

24. Budget requests shall first be submitted to the respective Academic or At-large Council. If additional funding is needed, the budget request can be submitted to the ASI Finance Committee through the ASI Treasurer.

25. All student groups, except ASI annually-budgeted groups, Diversity Programs and Councils, must provide a minimum of 20% of alternative funding sources to cover all annually funded expenses. Student clubs and organizations must generate an amount equivalent to 20% of the actual allocation from the council. Alternative funding sources may include, but are not limited to fundraising, personal contributions, club membership dues, and must exclude other ASI funding.

## 2017-18 Financial Guidelines and Stipulations (con't.)

The 20% of alternative funding must be held in the club's Agency or Cal Poly Pomona Foundations account **no later than March 1st of the current fiscal year**. Inability to meet this deadline will result in the club's or organization's 30% allocation being withheld, and they will be ineligible to receive any additional ASI funds from Councils.

26. Clubs and organizations that have been inactive for two (2) consecutive years shall have their carryover repossessed and transferred to the following accounts: New Programs and Augmentations (65% of funds), ASI Prior Years II (15% of funds), ASI Prior Years III (10% of funds), and The Green Initiative Fund (10% of funds).

### **Mid-Year Budget Request(s):**

27. For student groups that submit a mid-year budget request to the ASI Finance Committee and/or the ASI Senate, a maximum of \$5,500 per group per year shall be funded, not to exceed \$750 per person for a conference, convention, or program. More than one request is permitted per budgeted year, not to exceed a total of \$5,500.

28. Student groups that submit a mid-year budget request must provide a budget presentation at a regularly scheduled meeting of the ASI Finance Committee and/or the ASI Senate in accordance with the guidelines in the ASI Reserves Policy. The budget request must reflect the approved allocation from the council.

- a) Failure to present to the ASI Finance Committee and/or the ASI Senate shall result in dismissal of the club's request.
- b) If the budget request is dismissed by the ASI Finance Committee or the ASI Senate the request shall not be eligible for resubmission for the same program or event unless an exception is recommended by the ASI Treasurer. Student groups must also disclose approved allocations from councils pertaining to the same mid-year funding request.

29. The ASI Treasurer and the ASI Financial Services shall consult with the Office of Student Life & Cultural Centers (OSLCC) and the appropriate ASI Senator to confirm that the club requesting a mid-year budget request from New Programs and Augmentations (NP&A) is in good standing, including, but not limited to generating a minimum of 20% of alternative funding, and provide the information to the ASI Finance Committee. Clubs that are not in good standing may be considered as determined by ASI Finance Committee and/or ASI Senate.

30. All mid-year budget requests from NP&A must be submitted for review and acceptance by the ASI Treasurer before the event occurs. Mid-year budget requests for events that occur between July and October must reflect actual expenses to be submitted once the group's annual budget is approved, and processed on a reimbursement basis.


31. In order to be eligible for mid-year ASI funding, clubs are required to submit and obtain funding approval for their Annual Budget from their council. A copy of the Annual Budget must be verified and on file with ASI Financial Services.

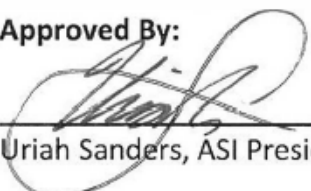
32. Mid-year budget requests shall not be submitted for retreats, banquets, or other general club expenses.

33. The following shall apply to funding requests from The Green Initiative Fund (TGIF):

- a) Mid-year budgets requests shall not exceed \$15,000 from TGIF for any on-campus sustainability project.
- b) Allocations from TGIF shall be subject to the provisions of the ASI Reserves Policy and Sustainability Committee Code.
- c) Multiple allocations from TGIF for the same project are not allowed.
- d) The Finance Committee can allocate up to a total of 70% of the account for the fiscal year. The remaining 30% may only be allocated upon 2/3 approval of the seated Senate.

**FOR ASI USE ONLY:**  
**ASI Senate Approval Date:** June 1, 2017

**Verified By:**  
 6/7/17  
Brandon Whalen, ASI Attorney General      Date

**Approved By:**  
 6/8/17  
Uriah Sanders, ASI President      Date