

**Academic Affairs, Student Academic Support**  
401 Golden Shore, 6th Floor  
Long Beach, CA 90802-4210

[www.calstate.edu](http://www.calstate.edu)

**Allison G. Jones**  
Assistant Vice Chancellor


562-951-4744  
Fax 562-951-4867  
E-mail [ajones@calstate.edu](mailto:ajones@calstate.edu)

**MEMORANDUM**

**Coded: AA-2010-03**

**Date:** February 3, 2010

**To:** Campus Presidents  
Provosts/Vice President for Academic Affairs  
Vice Presidents for Student Affairs  
Campus Registrars

**From:** Allison G. Jones   
Assistant Vice Chancellor

**Subject:** **Additional Issues Related to Systemwide Audit Report 08-35 and Clarification Related to Coded Memorandum AA-2009-26**

The purposes of the memorandum are to clarify topics 2-3 in AA-2009-26 (December 2, 2009) and to address the remaining recommendations, which were offered by the University Auditor in the CSU Audit of Student Records and Registration (Audit Report 08-35).

A. Clarifications of AA-2009-26

1. The CSU Common Management System (CMS) has been modified to provide reports to use in identifying, tracking, and "aging" of all grades of "RD". Such reports can assist campuses in the periodic "updating" of Report Delayed (RD) grades. CMS does not provide "automatic triggers" for the updating of grades of RD.
2. Campus and CMS Central staff agree that it would be unwise to attempt to solve the "RD" problem "programmatically". Campuses must, therefore, establish local procedures, time limits, etc. for using the CMS reports to guide the lapsing on grades of RD to more nearly permanent grades such as A, B, C, D, or F.
3. CSU Executive Order 796 requires **biennial** reports of campus compliance with the CSU policy concerning privacy and personal information.
  - a. The reports of campus compliance with CSU policy re privacy and personal information are due in the Student Academic Support unit of CSU Academic Affairs no later than June 1 of every other year beginning with 2010.

**CSU Campuses**

Bakersfield • Channel Islands • Chico • Dominguez Hills • East Bay • Fresno • Fullerton • Humboldt • Long Beach • Los Angeles • Maritime Academy • Monterey Bay Northridge • Pomona • Sacramento • San Bernardino • San Diego • San Francisco • San José • San Luis Obispo • San Marcos • Sonoma • Stanislaus

B. Other Matters Concerning the CSU Systemwide Audit of Student Records and Registration.

1. Registration Priority

- a. **Campus presidents are requested to require the relevant campus authority to monitor the assignment of registration priorities.**
- b. Campus and CMS Central staff have conferred regarding the feasibility and cost effectiveness of providing CMS “baseline” capability for the assignment and monitoring of registration priority. As the result of that consultation, the following is noted:
  - The CMS baseline product already provides audit trails for the setting and overriding of assigned registration priorities.
  - The CMS baseline product already provides audit trails for the assignment and removal of holds and overriding of assigned registration priorities.
  - The addition of audits will be recommended to the CMS modification governance structure to track any changes in registration priorities of individual students.

2. Grading Symbols

- a. **Campus presidents are requested to require the relevant campus authority to award and post only the grades which are authorized in CSU Executive Order 1037.**
- b. Campuses are not currently required to remove unauthorized grades, which may have been previously awarded and recorded, i.e. prior to the Fall 2009 term.
- c. Campus and CMS Central staff members have conferred regarding the potentiality of using CMS to control the use of unauthorized grades. As the result of that consultation, it should be noted that:
  - The CMS baseline product already provides a method by which each campus may specify the authorized grade options for entry by instructors.
  - As indicated in Item 2-a above, campus presidents have been requested to require that only the grades authorized in Executive Order 1037 be used beginning with the Fall term of 2009.
  - The capability of creating reports to identify and track grades awarded is also provided in CMS.

- d. **The alignment of current campus grading options with those authorized in Executive Order 1037 must be completed by March 1, 2010.**

3. Notification of Instructors in the Event of Grade Changes

- a. **Campus presidents are requested to require that “instructors of record” be informed in writing, whenever a previously recorded grade is changed.**

- b. Campus and CMS Central staff members have conferred regarding the efficacy providing “baseline “capability in CMS for the notification of instructors, when grades are changed. The results of that consultation are:

- Given the disparate methods by which campuses inform instructors of grade changes, there is consensus that a mandatory grade change notification in CMS was unwise.
- CMS already has the facility to permit instructors to change grades on-line.
- Many campuses prefer not to permit on- line subsequent changes of grade by instructors.

4. Limitations of the Number and/or Proportions of Staff Authorized to Record Grade Changes

- a. Campus and CSU Academic Affairs staff members are conferring in an effort to suggest the principles for CSU guidance regarding the number/proportion of CSU staff, which should have the capability for changing grades.

- b. **A report of suggested principles for grade change notification will be provided to Academic Affairs, Student Academic Support prior to February 15, 2010, and Systemwide policy concerning the notification of instructors, when grade changes are recorded will be issued no later than April 15, 2010.**

5. Business Continuity Plans for Registrar’s Offices

- a. **As noted in AA-2009-26, campus presidents have been requested to designate registrar’s offices as “essential functions” as per CSU Executive Orders 921 and 1014.**

- b. In response to this required designation as an essential function, business continuity plans must be developed for all registrars’ offices, which do not already have one.

- c. At minimum, business continuity plans for registrar’s offices should include:

- Identification of critical functions performed by the office

- Provisions which have been made the adequate “back up” of the records and tools , which support each critical function
- Designations of the responsibility for “re-starting” each critical function
- Other requirements which may be part of the campus business continuity plan(s)

As previously indicated, the maintenance of accurate and adequate student records and the implementation of fair and effective registration for classes are among any university’s oldest and most essential functions. Each of us owes the students and instructors whom we serve the best in terms of student records and registration.

Questions concerning the matter addressed here may be referred to Dr. James Blackburn at [jblackburn@calstate.edu](mailto:jblackburn@calstate.edu) or (562) 951-4726.

AGJ:jcb

c: Chancellor Charles B. Reed

Dr. Jeri Echeverria, Executive Vice Chancellor and Chief Academic Officer

Dr. Ben Quillian, Executive Vice Chancellor and Chief Financial Officer

Mr. Larry Mandel, University Auditor

Mr. Amir Dabirian, Assistant Vice Chancellor, ITS and Chief Information Officer

Mr. George Ashkar, Interim Asst. Vice Chancellor/Controller, Financial Services

Dr. James Blackburn, Director of Enrollment Management Services

Mr. Michael McBride, Interim Director, Software Operations and Support

Mr. Jim Usher, Audit Manager