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Memorandum

Code: AA-2009-26

Date: December 2, 2009

To: Campus Presidents
Provosts
Vice Presidents for Student Affairs
Campus Registrars

From: Allison G. Jones 
Assistant Vice Chancellor

Subject: Requests pertaining to the Public Records Act
Campus compliance with various provisions of Executive Order 1037
Campus compliance with the provisions of Executive Order 796
Campus compliance with Executive Order 1014

The results of an audit completed in 2008 (California State University Audit Report 08-35) indicate that some campuses have exhibited less than complete compliance with several CSU policy statements regarding students records practices. The purpose of this memorandum and at least one which will follow is to draw attention to several areas in which campus compliance with policy needs to be improved. In addition, several areas in which the CSU Common management System (CMS) can and often does support campus compliance with CSU policy have been noted:

1. Campus leadership and registrars in particular should be aware of the Records Access Manual provided by the CSU Office of the General Counsel (http://www.calstate.edu/gc/OGC_Manuals_on_Legal_Issues.shtml). As a result of consulting that document, "Each campus should have central point of contact for coordination of Public Records Act requests".
2. CSU policy regarding the enrollment and grading of students are described in Executive Order (EO) 792 and its successor EO 1037 (<http://www.calstate.edu/EO/EO-1037.html>). These policies are designed to provide compliance with state and federal law, equity for students and to facilitate graduation. Specific areas towards which campus attention should be directed include:

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

- a. withdrawal from class(es) and the recording of last dates of attendance,
- b. the appropriate “lapsing” of the delayed reporting of grades, i.e. grades of RD, and
- c. the requirement that there be student members of committees, which consider grade appeals

The “baseline version” of the Common Management Systems (CMS) has been modified to address automatically posting the “last dates of attendance” or an acceptable “default date”. Similarly, CMS has been modified to monitor grades of “RD” and trigger the lapsing of such grades to an appropriate grade, e.g. “A-F”.

As a part of this memorandum, campus presidents and their designees are reminded of the requirement (EO 1037) that student representatives serve on any committees considering grade appeals. Written notification of compliance with this requirement must be provided to Office of the Chancellor, Division of Academic Affairs, Student Academic Support, no later than May 1, 2010.

3. CSU Executive Order 796 (<http://www.calstate.edu/EO/EO-796.pdf>) requires that campuses indicate compliance with CSU policy regarding privacy and personal information management on an annual basis. Campus presidents and their designees are requested to communicate in writing the specifics of their compliance with the provisions of EO 796 by June 1 (beginning with June 1, 2010) to the Student Academic Support unit, Division of Academic Affairs, Office of the Chancellor.

Student Academic Support will assemble campus responses regarding EO 796 and report the outcomes to the Executive Vice Chancellor/Chief Academic Officer with copies to the University Auditor no later than June 1 of each year.

4. CSU Executive Orders 921 and 1014 address the need and requirement for “business continuity plans” for all units, which “provide essential functions”. As a part of the recent Student Records Audit, several campuses were found to not have business continuity plans for their registrar’s offices. By this memorandum, campus presidents are requested to designate registrar offices as “essential functions” and to incorporate those offices in their campus business continuity plans.

No later than February 1, 2010, Student Academic Support in conjunction with the CSU Office of Risk Management will provide guidance regarding student records and business continuity plans.

The maintenance of accurate and adequate student records is one of the oldest of university administrative functions. The work of presidents and their designees in supporting the record keeping functions is both essential and appreciated.

Questions and inquiries concerning the contents of this memorandum or student records in general may be referred to Dr. James Blackburn, Director of Enrollment Management Services, jblackburn@calstate.edu or 562 951 4726.

AGJ:mlh-d

- c: Dr. Charles B. Reed, Chancellor
Dr. Jeri Echeverria, Executive Vice Chancellor/Chief Academic Officer
Dr. Benjamin Quillian, Executive Vice Chancellor/Chief Financial Officer
Mr. Larry Mandel, University Auditor
Mr. Amir Dabirian, Assistant Vice Chancellor, ITS and CIO
Mr. Michael McBride, Interim Director, Software Operations and Support