

EMPLOYEE RELATIONS
CALIFORNIA STATE UNIVERSITY,
HAYWARD

Report Number 03-22
February 17, 2004

Members, Committee on Audit

Shailesh J. Mehta, Chair
Roberta Achtenberg, Vice Chair
Debra S. Farar William Hauck
Frederick W. Pierce, IV

Staff

University Auditor: Larry Mandel
Senior Director: Janice Mirza
Audit Manager: Michelle Schlack

BOARD OF TRUSTEES
THE CALIFORNIA STATE UNIVERSITY

CONTENTS

Executive Summary 1

Introduction 4

 Background 4

 Purpose 5

 Scope and Methodology 6

OBSERVATIONS, RECOMMENDATIONS, AND CAMPUS RESPONSES

Employee Relations Administration 9

 Campus Training 9

 Intra-Campus Communications 11

Complaints and Reconsideration Requests 14

Performance Management 15

Whistleblower Disclosures 17

APPENDICES

APPENDIX A:	Personnel Contacted
APPENDIX B:	Campus Response
APPENDIX C:	Chancellor's Acceptance

ABBREVIATIONS

APC	Academic Professionals of California
CFA	California Faculty Association
CSEA	California State Employees' Association
CSU	California State University
CSUH	California State University, Hayward
EEO	Equal Employment Opportunity
EO	Executive Order
FTE	Full-Time Employment
HEERA	Higher Education Employee-Employer Relations Act
IUOE	International Union of Operating Engineers
MPP	Management Personnel Plan
SAM	State Administrative Manual
SETC	State Employees Trades Council
SUPA	State University Police Association
UAPD	California Federation of the Union of American Physicians and Dentists

EXECUTIVE SUMMARY

As a result of a systemwide risk assessment conducted by the Office of the University Auditor during the last quarter of 2002, the Board of Trustees, at its January 2003 meeting, directed that *Employee Relations* be reviewed.

We visited the California State University, Hayward campus from October 28, 2003, through November 21, 2003, and audited the procedures in effect at that time.

In our opinion, the administration and management of the employee relations function needed significant improvement. The human resources department had experienced ongoing staff vacancies, including the departure of two previous directors, in the past two years. The new assistant vice president was hired a week before the audit commenced and plans to immediately address the noted audit exceptions.

The following summary provides management with an overview of conditions requiring attention. Areas of review not mentioned in this section were found to be satisfactory. Numbers in brackets [] refer to page numbers in the report.

EMPLOYEE RELATIONS ADMINISTRATION [9]

Certain activities that impact the control environment and administration of the employee relations function needed improvement. The campus had not implemented a mandatory new employee orientation program for staff, and not all part-time instructors attended quarterly orientation sessions held by the faculty development office. Further, new faculty orientation did not include discussion of the campus sexual harassment policy and procedures, the proper handling of whistleblower disclosures and allegations of retaliation, and the employee assistance program; and formalized sexual harassment training, including the handling of employee complaints, had not been provided to all faculty and staff. Training efforts for campus managers also needed strengthening since managers were not always aware of certain employee relations policies or whom to contact for complaints, whistleblower disclosures, and allegations of retaliation from staff employees. In addition, controls were not in place to ensure that employee relations information on the campus website and/or in other resources such as the general catalog and staff handbook was updated, consistently presented, and/or complete.

COMPLAINTS AND RECONSIDERATION REQUESTS [14]

The campus sexual harassment policy was outdated and did not reflect the office of equal employment opportunity's current practice for investigating and handling complaints. In addition, written procedures for the internal investigation and handling of complaints, including complaint file maintenance, had not been developed.

PERFORMANCE MANAGEMENT [15]

The campus had not developed, documented, or communicated clear guidelines for the performance management process, human resources did not always receive performance evaluations for campus

EXECUTIVE SUMMARY

employees, and controls were not in place to identify and perform follow-up for past-due performance evaluations.

WHISTLEBLOWER DISCLOSURES [17]

The campus had not developed and documented procedures for processing whistleblower disclosures.

INTRODUCTION

BACKGROUND

With the passage of major employment legislation since the 1960s, human resources management practices at the California State University (CSU) have evolved from the traditional role of hiring and record keeping to include administering labor contracts, providing employee assistance, and ensuring civil rights and other regulatory compliance. These activities embody the employee relations function within the human resources area and help ensure mutually satisfying working conditions and a viable employee-employer relationship.

The campus human resources departments that provide support for all respective employees typically administer the employee relations function. At the CSU, there are two main classes of employees that are designated in accordance with the provisions of the Higher Education Employee-Employer Relations Act (HEERA) of 1979. These classes are as follows:

Represented employees are individuals who belong to one of ten bargaining units at the CSU and whose duties do not include managerial activities as defined by HEERA.

Non-represented employees are individuals who are not included in a bargaining unit and are hired as Management Personnel Plan (MPP), confidential, or excluded employees.

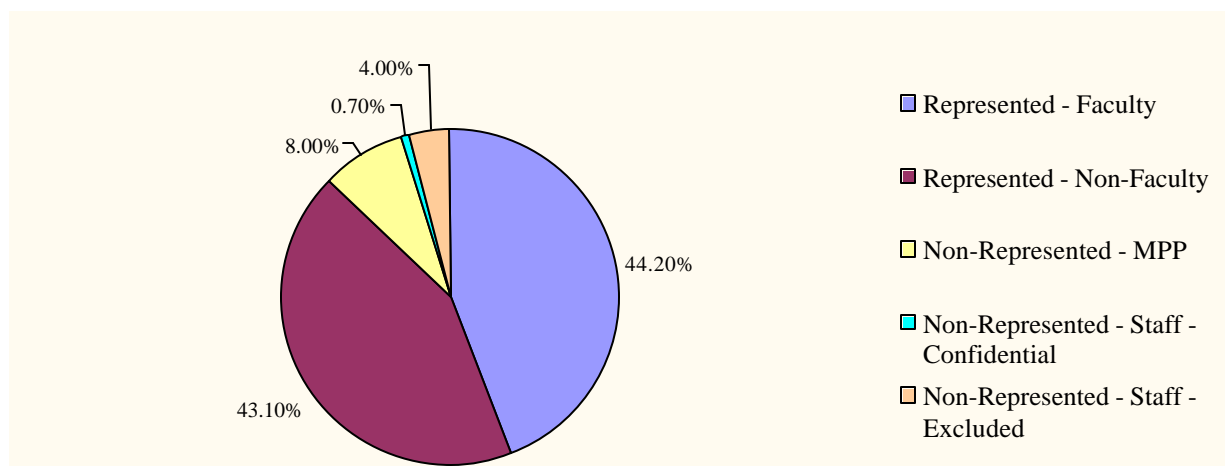
Total full-time employment (FTE) at the CSU has grown from 31,361 to 39,440 active and on-leave employees (excluding hourly employees), which represents a 25.7% increase from October 1995 to October 2002. For administrative and reporting purposes, the CSU has further grouped the represented and non-represented employees into staff, faculty, and MPP categories of which all are provided employee relations support by the campus and designated chancellor's office departments, and reported as follows:

Class	Employee Type	2002	%
Represented	Staff	16,997	43.1
	Faculty	17,422	44.2
Non-Represented	MPP	3,142	8.0
	Staff - Confidential	315	0.7
	Staff - Excluded	1,564	4.0
Total FTE		39,440	100.0

Presently, seven unions represent the 34,419 FTE employees that belong to ten bargaining units. In October 2002, the California Faculty Association (CFA) and the California State Employees' Association (CSEA) included 31,077 total FTE (17,422, and 13,655, respectively), with the remaining 3,341 FTE dispersed between the following unions:

Union	2002 FTE
California Federation of the Union of American Physicians and Dentists (UAPD)	71
Academic Professionals of California (APC)	1,996
State Employees Trades Council (SETC)	973
State University Police Association (SUPA)	288
International Union of Operating Engineers (IUOE)	13
Total	3,341

In the CSU Staffing Trends and Analysis report, dated February 2003, the percentage distribution of total FTEs at the CSU is graphically represented as follows:



PURPOSE

Our overall audit objective was to ascertain the effectiveness of existing policies and procedures related to the administration of the employee relations function and to determine the adequacy of controls over the related processes to ensure compliance with relevant governmental regulations, Trustee policy, Office of the Chancellor directives, and campus procedures.

Within the overall audit, specific goals included making a determination as to whether:

- ▶ Administration and management of the employee relations function provide effective internal controls, clear lines of organizational authority, delegations of authority, and documented policies and procedures.

- ▶ Processes and procedures ensure timely and effective interpretation and communication of CSU policies and other directives impacting the employee-employer relationship, channels for reporting improprieties and escalating grievances and complaints, and resources for resolving both work and non-work related problems.
- ▶ Campus procedures provide for timely reimbursement of union leave.
- ▶ Managers are appropriately trained and knowledgeable of assigned employee relations responsibilities.
- ▶ Complaints and reconsideration requests are handled in compliance with applicable CSU policy and other directives.
- ▶ Employees are provided timely feedback and guidance for performance development and improvement.
- ▶ Disciplinary action is performed in accordance with collective bargaining agreements, CSU policy, and other directives.
- ▶ Whistleblower disclosures are handled in compliance with CSU policy and shared only with individuals who have a legitimate business reason to know.
- ▶ Confidential hardcopy and system information assets such as information pertaining to complaints, reconsideration requests, and performance management activities are reasonably secure.

SCOPE AND METHODOLOGY

The proposed scope of the audit as presented in Attachment B, Audit Item 2 of the January 28-29, 2003, meeting of the Committee on Audit stated that the review would include negotiating and administering collective bargaining agreements with represented employees, administering the management personnel plan for non-represented employees, and the systems for addressing staff grievances and complaints. Potential impacts include inordinate costs, unfavorable contracts, increased exposure to litigation, and unfair labor practices. The Office of the University Auditor has not previously reviewed *Employee Relations*.

Our study and evaluation were conducted in accordance with the *Standards for the Professional Practice of Internal Auditing* issued by the Institute of Internal Auditors, and included the audit tests we considered necessary in determining that operational and administrative controls are in place and operative. This review emphasized, but was not limited to, compliance with state and federal laws, Board of Trustee policies, and Office of the Chancellor and campus policies, letters, and directives. The audit review focused on procedures in effect during fiscal year 2002-2003. Throughout this report, we will refer to employee relations as the primary audit subject. At California State University, Hayward, the assistant

INTRODUCTION

vice president for human resources and the deputy provost of academic affairs administer the employee relations function.

INTRODUCTION

We focused primarily upon internal, administrative, compliance, and operational controls over the management of the employee relations function. Specifically, we reviewed and tested:

- ▶ Administrative policies, procedures, and processes.
- ▶ Interpretation and communication of CSU policies, union provisions, and other directives.
- ▶ Reimbursements for union leave provided to represented employees in all bargaining units.
- ▶ Training provided to campus managers with employee relations responsibilities.
- ▶ Complaint handling for non-represented and certain represented employees.
- ▶ Reconsideration requests from non-represented employees.
- ▶ Performance management for non-represented and represented employees, excluding the CFA.
- ▶ Disciplinary actions for non-represented and represented employees, excluding the CFA.
- ▶ Processing of involuntary terminations for non-represented employees.
- ▶ Handling of whistleblower disclosures and complaints of alleged retaliation.
- ▶ Maintenance and protection of confidential employee relations information.

OBSERVATIONS, RECOMMENDATIONS, AND CAMPUS RESPONSES

EMPLOYEE RELATIONS ADMINISTRATION

CAMPUS TRAINING

Controls to ensure that staff were appropriately trained and knowledgeable of campus and California State University (CSU) employee relations policies needed improvement.

- ▶ The campus had not implemented a mandatory new employee orientation program for staff, and not all part-time instructors attended quarterly orientation sessions that were held by the faculty development office.
- ▶ New faculty orientation did not include discussions of the campus sexual harassment policy and procedures, the proper handling of whistleblower disclosures and allegations of retaliation, and the employee assistance program.
- ▶ Formalized sexual harassment training, including the handling of employee complaints, had not been recently provided to all faculty and staff.

In addition, we noted that efforts to train campus managers in certain employee relations areas needed strengthening. Interviews with five campus managers (including two college deans) disclosed that:

- ▶ Three were not aware of the California State University, Hayward (CSUH) *Sexual Harassment Policy and Procedures for Students and Employees* and the *Non-Discrimination and Affirmative Action Policy*, and two were not aware of the responsible campus administrator for handling sexual harassment complaints.
- ▶ Three had not received formalized training on handling employee complaints, including those of sexual harassment and discrimination, and two had not received recent training in this area.
- ▶ Three had not received a copy of the staff handbook.
- ▶ None had received training on protecting confidential employee information.
- ▶ Two had not received recent training on performance evaluations for non-faculty staff, and one had not received any training in this area.
- ▶ Four were unaware of the campus progressive discipline guidelines and had not received training in this area.

- ▶ Four were unaware of the campus administrator handling whistleblower disclosures and allegations of retaliation. In addition, four were not entirely clear on how to handle whistleblower disclosures.

Executive Order (EO) No. 345, *Prohibition of Sexual Harassment*, dated May 29, 1981, states that to maintain a learning and working environment free from sexual harassment, the campuses are encouraged to educate the campus community, students, and employees regarding sexual harassment.

State Administrative Manual (SAM) §20050 states that the elements of a satisfactory system of internal accounting and administrative controls, shall include, but are not limited to, an established system of practices to be followed in performance of duties and functions and personnel of a quality commensurate with their responsibilities. Sound business practice mandates that a campus develop processes to ensure persons with managerial and oversight responsibilities are trained in campus and CSU policies and other employee relations areas.

CSUH *Sexual Harassment Policy and Procedures for Students and Employees*, dated June 23, 1999, states that the campus sexual harassment prevention education program will be designed to inform the academic community about federal, state, and university regulations against sexual harassment and conduct expectations for students, faculty, staff, and administrators, as well as those designated to handle sexual harassment complaints. The policy also states that the curriculum will be offered annually.

The associate director of human resources stated that with ongoing staff turnover and the departure of two previous human resources directors in the past two years, activities to orient new employees, aside from a one-on-one benefits orientation, and provide formalized sexual harassment and other manager training were given reduced priorities. The assistant vice president of human resources stated that developing and implementing a new employee orientation program is a priority in his new position and that the department is working on an organizational development and training program that will address the training deficiencies for department managers and supervisory personnel. The deputy provost of academic affairs stated that most part-time instructors teach at off-site locations and infrequently come to the campus due to scheduling commitments. He added that the importance of general orientation training for part-time instructors had been routinely discussed with the deans and department chairs. The interim director of the faculty development office stated that orientation sessions were meant to prepare faculty for their teaching responsibilities but acknowledged the need to provide information on sexual harassment and the proper handling of employee disclosures.

Not providing effective training increases the risk of poor employee morale, employee complaints, and potential lawsuits against the campus and the CSU.

Recommendation 1

We recommend that the campus:

- a. Develop and implement a mandatory new employee orientation program for staff.

- b. Require part-time instructors to attend campus orientation sessions and/or identify other alternative methods for providing campus information and critical policies and procedures.
- c. Enhance faculty orientation activities to include discussions of sexual harassment and other employee relations policies and clear instructions for filing complaints.
- d. Provide formalized sexual harassment training plan to all faculty and staff.
- e. Develop a training plan for campus managers to ensure appropriate knowledge of campus policies and procedures in critical employee relations areas, resources for handling sexual harassment complaints, whistleblower disclosures, and allegations of retaliation, and the protection of confidential employee information.

Campus Response

We concur. The campus will:

- a. Develop and implement a mandatory new employee orientation program for staff.
- b. Require part-time instructors to attend campus orientation sessions and/or identify other alternative methods for providing campus information and critical policies and procedures.
- c. Enhance faculty orientation activities to include discussions of sexual harassment and other employee relations policies and clear instructions for filing complaints.
- d. Provide formalized sexual harassment training plan to all faculty and staff.
- e. Develop a training plan for campus managers to ensure appropriate knowledge of campus policies and procedures in critical employee relations areas, resources for handling sexual harassment complaints, whistleblower disclosures, and allegations of retaliation, and the protection of confidential employee information.

Anticipated Completion Date: August 31, 2004

INTRA-CAMPUS COMMUNICATIONS

Certain campus publications did not contain timely, consistent, and/or complete employee relations information.

We noted that:

- ▶ The 2003-2004 general catalog, university policies and procedures on business and financial services website, and the staff handbook included inconsistent policy information regarding alcohol and other drugs, sexual assault, and smoking. Also, none of these resources included policy information on reporting whistleblower disclosures and allegations of retaliation.

- ▶ The staff handbook had not been updated since 2001 and was not distributed to new employees.
- ▶ The online CSUH Faculty Guide was not current and included outdated sexual harassment policy information.

SAM §20050 states that one symptom of a deficient internal control system is policy and procedural or operational manuals that are either not currently maintained or are non-existent.

The associate director of human resources stated that with ongoing staff turnover and the departure of two previous human resources directors in the past two years, duties such as updating the staff handbook and other campus resources were given reduced priorities. The interim director of the faculty development office stated that the faculty guide was revised a few years ago; however, other priorities prevented additional updates since that time.

Untimely/incomplete updates of employee relations information increase the risk that employees will not be aware of campus policies, employment rights, and the correct channels for escalating complaints and other disclosures.

Recommendation 2

We recommend that the campus:

- a. Review and revise the policy information in the general catalog, business and financial services website, staff handbook, and other campus communications. Such revisions should consider relevant employee relations policies and include, but not be limited to, policy information on reporting whistleblower disclosures and allegations of retaliations.
- b. Distribute the revised staff handbook to all new and existing employees.
- c. Update the online faculty guide to include current and useful information.

Campus Response

We concur. The campus will:

- a. Review and revise the policy information in the general catalog, business and financial services website, staff handbook, and other campus communications. Such revisions should consider relevant employee relations policies and include, but not be limited to, policy information on reporting whistleblower disclosures and allegations of retaliations.
- b. Distribute the revised staff handbook to all new and existing employees.
- c. Update the online faculty guide to include current and useful information.

Anticipated Completion Date: August 31, 2004

COMPLAINTS AND RECONSIDERATION REQUESTS

Policies and procedures for certain aspects of the employee relations program were either non-existent or outdated.

We noted that:

- ▶ The campus sexual harassment policy was outdated and did not reflect the office of equal employment opportunity's (EEO) current practice for investigating and handling complaints.
- ▶ EEO had not developed internal written investigation procedures for handling informal and formal employee complaints, including the maintenance of complaint files.

SAM §20050 states that one symptom of a deficient internal control system is policy and procedural or operational manuals that are either not currently maintained or are non-existent.

CSU directive Human Resources/Equal Employment Opportunity 2002-01, *Employee Discrimination Complaint Processing*, dated June 3, 2002, states that campuses should have informal investigation procedures, which detail the manner in which investigations are to occur (e.g., the persons conducting them, privacy concerns, and so on).

The EEO director stated that the sexual harassment policy and procedures for students and employees had been revised prior to the audit and was in the process of review by campus management. She further stated that performing comprehensive investigations of sexual harassment and other employee complaints took precedence over documenting procedures in this area.

Failure to maintain effective policies for sensitive employee relations areas increases the risk of employee dissatisfaction, scrutiny by state regulatory agencies, and potential loss to the campus and the CSU.

During our fieldwork, management provided evidence that the sexual harassment policy was updated and approved by the president.

Recommendation 3

We recommend that the campus develop and document internal written investigation procedures for handling informal and formal complaints, including the maintenance of complaint files.

Campus Response

We concur. The campus will develop and document internal written investigation procedures for handling informal and formal complaints, including the maintenance of complaint files.

Anticipated Completion Date: August 31, 2004

PERFORMANCE MANAGEMENT

The campus had neither developed, documented, nor communicated clear guidelines for the performance evaluation process, nor had human resources always received performance evaluations for campus employees.

We noted that:

- ▶ Although e-mail notifications were sent to management and staff regarding deadlines and forms for the annual performance evaluation process, the campus had not developed, documented, or communicated clear guidelines and expectations for evaluating all employees, including confidential and probationary staff.
- ▶ During a review of official personnel files for 20 represented and 20 non-represented (15 Management Personnel Plan (MPP) and 5 confidential) employees:
 - A 3-, 6-, 11-, and/or 12-month performance evaluation could not be located for two one-year and two two-year probationary employees.
 - The most recent annual evaluations could not be located for 11 represented employees.
 - The most recent annual evaluation could not be located for all 5 confidential and 12 MPP employees. In addition, a 6-month evaluation could not be provided for 5 of the 12 MPP employees.
 - Four evaluations did not evidence all required signatures.
- ▶ Human resources had not implemented controls to identify and perform follow-up for all past-due performance evaluations from respective department managers.

Title 5 §42722 states that MPP employees shall be evaluated after six-months and one year of service, and subsequently at one-year intervals.

Title 5 §43550 states that it is the policy of the CSU to require periodic performance appraisals for each permanent, probationary, or MPP employee.

Article 10.3 of the California State Employees' Association bargaining agreement, for July 1, 2002, through June 30, 2005, states that a probationary employee shall be evaluated by the end of the third, sixth, and eleventh month of the probationary period, unless the employee has earlier been rejected during probation.

Article 18.1.A.1. of the Academic Professionals of California bargaining agreement, for July 1, 2000, through June 30, 2003, states that employees shall be evaluated on at least an annual basis.

Article 12.4 of the State Employees Trades Council bargaining agreement, for July 1, 2002, through June 30, 2005, states that a permanent employee shall be evaluated annually. Article 12.5 states that a probationary employee shall be evaluated periodically but not to exceed four times during his/her probationary period.

The vice president of administration and business affairs stated that campus guidelines for performance evaluations were included in the annual notification e-mail to staff and managers. The associate director of human resources stated that with ongoing staff turnover and the departure of two previous human resources directors in the past two years, duties such as tracking for past-due performance evaluations from department managers and documenting campus guidelines in this area, were given reduced priorities.

Inadequate control over the performance management process increases the risk of non-compliance with collective bargaining agreements, poor staff morale, and possible unjustifiable disciplinary and termination actions.

Recommendation 4

We recommend that the campus:

- a. Develop, document, and communicate clear guidelines for the performance management process that include evaluations requirements for probationary and confidential staff.
- b. Implement effective monitoring controls to ensure that performance evaluations are performed for all represented and non-represented staff.

Campus Response

We concur. The campus will:

- a. Develop, document, and communicate clear guidelines for the performance management process that include evaluations requirements for probationary and confidential staff.
- b. Implement effective monitoring controls to ensure that performance evaluations are performed for all represented and non-represented staff.

Anticipated Completion Date: August 31, 2004

WHISTLEBLOWER DISCLOSURES

Campus policies and procedures for handling whistleblower disclosures had not been developed and documented.

EO No. 821, *Reporting Procedures for Protected Disclosure of Improper Governmental Activities and/or Significant Threats to Health or Safety*, dated May 23, 2002, was established to further the intent of the California Legislature as stated in §8547.1 of the Government Code, a part of the California Whistleblower Protection Act. It established a procedure for employees and applicants for employment at the CSU to make protected disclosures, as defined in the executive order, and it also directs the president of each campus to establish similar procedures.

The assistant vice president of human resources stated that procedures for handling whistleblower disclosures had not been developed by the previous director.

Failure to develop, implement, and comply with policies that address sensitive employee disclosures increases the risk of employee dissatisfaction, scrutiny by state regulatory agencies, and potential loss to the campus and the CSU.

Recommendation 5

We recommend that the campus develop and document procedures for handling whistleblower disclosures.

Campus Response

We concur. The campus will develop and document procedures for handling whistleblower disclosures.

Anticipated Completion Date: August 31, 2004

APPENDIX A: PERSONNEL CONTACTED

<u>Name</u>	<u>Title</u>
Norma S. Rees	President
John Abbey	Assistant Controller
Juanita Aguilar	Benefits Specialist, Human Resources
Eileen Barrett	Professor and Interim Director, Faculty Development Office
Myrtle Brown	Confidential Office Support, Human Resources
Stanley Clark	Deputy Provost, Academic Affairs
Karen Esteller	Accounting Manager
Randy Gale	Director, Facilities Management
Sheryl Garrett	Manager, Human Resources
Neal Hoss	Associate Vice President/Controller, Business and Financial Services
Michael Leung	Dean of College of Sciences
Richard S. Metz	Vice President, Administration and Business Affairs
Gregory Pogue	Assistant Vice President, Human Resources
Alden Reimonenq	Dean, College of Arts, Letters, and Social Sciences
Josie Robles	Confidential Office Support, Human Resources
Amy Sollins	Senior Development Director
Eric Thompson	Procurement Officer/Risk Manager, Procurement and Support Services
Dorian West	Director, Equal Employment Opportunity
Roger Zeedik	Associate Director, Human Resources



CALIFORNIA STATE UNIVERSITY, HAYWARD

25800 Carlos Bee Boulevard, Hayward, California 94542-3002

Office of the Vice President, Administration & Business Affairs

Telephone: (510) 885-3803 Fax: (510) 885-4745

Internet: rmetz@csuhayward.edu

March 3, 2004



Mr. Larry Mandel
University Auditor
The California State University
401 Golden Shore
Long Beach, CA 90802

**Subject: Campus Response to Employee Relations Audit 03-22
California State University, Hayward**

Dear Mr. Mandel,

Please find enclosed California State University, Hayward's response to the recommendations resulting from our Employee Relations Audit 03-22. For each recommendation, we have included a corrective action plan and an anticipated date for implementation.

We appreciate the efforts of you and your staff during the process and the professional manner in which the audit was performed.

Sincerely,

Norma S. Rees
President

Enclosure

Cc: Chancellor Reed
Vice President Metz

EMPLOYEE RELATIONS ADMINISTRATION

CAMPUS TRAINING

Recommendation 1

We recommend that the campus:

- a. Develop and implement a mandatory new employee orientation program for staff.
- b. Require part-time instructors to attend campus orientation sessions and/or identify other alternative methods for providing campus information and critical policies and procedures.
- c. Enhance faculty orientation activities to include discussions of sexual harassment and other employee relations policies and clear instructions for filing complaints.
- d. Provide formalized sexual harassment training plan to all faculty and staff.
- e. Develop a training plan for campus managers to ensure appropriate knowledge of campus policies and procedures in critical employee relations areas, resources for handling sexual harassment complaints, whistleblower disclosures, and allegations of retaliation, and the protection of confidential employee information.

Campus Response

We concur. The campus will:

- a. Develop and implement a mandatory new employee orientation program for staff.
- b. Require part-time instructors to attend campus orientation sessions and/or identify other alternative methods for providing campus information and critical policies and procedures.

Enhance faculty orientation activities to include discussions of sexual harassment and other employee relations policies and clear instructions for filing complaints.
- d. Provide formalized sexual harassment training plan to all faculty and staff.
- e. Develop a training plan for campus managers to ensure appropriate knowledge of campus policies and procedures in critical employee relations areas, resources for handling sexual harassment complaints, whistleblower disclosures, and allegations of retaliation, and the protection of confidential employee information.

Anticipated Completion Date: August 31, 2004

INTRA-CAMPUS COMMUNICATIONS

Recommendation 2

We recommend that the campus:

- a. Review and revise the policy information in the general catalog, business and financial services website, staff handbook, and other campus communications. Such revisions should consider relevant employee relations policies and include, but not be limited to, policy information on reporting whistleblower disclosures and allegations of retaliations.
- b. Distribute the revised staff handbook to all new and existing employees.
- c. Update the online faculty guide to include current and useful information.

Campus Response

We concur. The campus will:

- a. Review and revise the policy information in the general catalog, business and financial services website, staff handbook, and other campus communications. Such revisions should consider relevant employee relations policies and include, but not be limited to, policy information on reporting whistleblower disclosures and allegations of retaliations.
- b. Distribute the revised staff handbook to all new and existing employees.
- c. Update the online faculty guide to include current and useful information.

Anticipated Completion Date: August 31, 2004

COMPLAINTS AND RECONSIDERATION REQUESTS

Recommendation 3

We recommend that the campus develop and document internal written investigation procedures for handling informal and formal complaints, including the maintenance of complaint files.

Campus Response

We concur. The campus will develop and document internal written investigation procedures for handling informal and formal complaints, including the maintenance of complaint files.

Anticipated Completion Date: August 31, 2004

PERFORMANCE MANAGEMENT

Recommendation 4

We recommend that the campus:

- a. Develop, document, and communicate clear guidelines for the performance management process that include evaluations requirements for probationary and confidential staff.
- b. Implement effective monitoring controls to ensure that performance evaluations are performed for all represented and non-represented staff.

Campus Response

We concur. The campus will:

- a. Develop, document, and communicate clear guidelines for the performance management process that include evaluations requirements for probationary and confidential staff.
- b. Implement effective monitoring controls to ensure that performance evaluations are performed for all represented and non-represented staff.

Anticipated Completion Date: August 31, 2004

WHISTLEBLOWER DISCLOSURES

Recommendation 5

We recommend that the campus develop and document procedures for handling whistleblower disclosures.

Campus Response

We concur. The campus will develop and document procedures for handling whistleblower disclosures.

Anticipated Completion Date: August 31, 2004

THE CALIFORNIA STATE UNIVERSITY
OFFICE OF THE CHANCELLOR



BAKERSFIELD

April 20, 2004

CHANNEL ISLANDS

CHICO

DOMINGUEZ HILLS

MEMORANDUM

FRESNO

FULLERTON

TO: Mr. Larry Mandel
University Auditor

HAYWARD

FROM: Charles B. Reed
Chancellor

HUMBOLDT

LONG BEACH

SUBJECT: Draft Final Report Number 03-22 on *Employee Relations*,
California State University, Hayward

LOS ANGELES

MARITIME ACADEMY

MONTEREY BAY

In response to your memorandum of April 20, 2004, I accept the response as
submitted with the draft final report on *Employee Relations*, California State
University, Hayward.

NORTHRIDGE

POMONA

SACRAMENTO

CBR/bth

SAN BERNARDINO

Enclosure

SAN DIEGO

cc: Mr. Richard S. Metz, Vice President, Administration and Business Affairs
Dr. Norma S. Rees, President

SAN FRANCISCO

SAN JOSE

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS