OFF-CAMPUS ACTIVITIES

SYSTEMWIDE

Audit Report 09-54
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Members, Committee on Audit

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ABBREVIATIONS

AA  Academic Affairs
CSU  California State University
EO  Executive Order
GC  Government Code
ICSUAM  Integrated CSU Administrative Manual
MYSLP  My Service Learning Placement
NSE  National Student Exchange
OCA  Off-Campus Activities
REP  Resolution of the Committee on Educational Policy
SEARS  Social Behavioral Research Institute
SNAPS  Student Needs and Priorities Survey
EXECUTIVE SUMMARY

As a result of a systemwide risk assessment conducted by the Office of the University Auditor during the last quarter of 2008, the Board of Trustees, at its January 2009 meeting, directed that Off-Campus Activities (OCA) be reviewed. The Office of the University Auditor has never reviewed OCA as a combined subject but certain aspects have received some coverage as part of the Risk Management and Insurance and Student Activities audits in 2003 and 2004, respectively.

We visited nine campuses from April 13, 2009, through November 20, 2009, and audited the procedures in effect at that time. Campus-specific findings and recommendations have been discussed and reported individually. Some areas of systemwide concern include policy clarity and completeness, knowledge of existing policies, and the absence of systems to effectively monitor policy compliance.

Our study and evaluation revealed certain conditions that, in our opinion, could result in significant risk exposures if not corrected. Specifically, adequate internal controls were not in place in key areas at the campus level. In our opinion, except for the effect of the weaknesses described above, the operational and administrative controls for off-campus activities in effect as of November 20, 2009, taken as a whole, were sufficient to meet the objectives stated below.

As a result of changing conditions and the degree of compliance with procedures, the effectiveness of controls changes over time. Specific limitations that may hinder the effectiveness of an otherwise adequate system of controls include, but are not limited to, resource constraints, faulty judgments, unintentional errors, circumvention by collusion, and management overrides. Establishing controls that would prevent all these limitations would not be cost-effective; moreover, an audit may not always detect these limitations.

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.

GENERAL ENVIRONMENT [7]

Systemwide policies and procedures for OCA administration were inadequate in multiple areas discussed throughout this report. Acceptance of digital signatures from students on participation consent forms for off-campus activities has started in the California State University (CSU) without adequate systemwide policies or use of an approved methodology.

STUDY ABROAD [9]

Student documentation for study abroad courses/programs was not always complete or consistently obtained and the execution and maintenance of study abroad/exchange program agreements needed improvement at all nine campus visited. Reciprocity in student exchange programs needed improvement at five of the nine campuses visited. The CSU has not adequately addressed requirements when students travel independently to/from study abroad and international exchange program locations.
FIELD TRIPS [15]

Systemwide policies for field trips were outdated and did not address record retention of field trip documents. Administration of field trips at most campuses was highly decentralized without a system for adequate training or monitoring of compliance.

COMMUNITY ENGAGEMENT [18]

Processes for accumulating and validating service learning statistical estimates were inefficient and potentially error-prone. Implementation of service learning best practices needed improvement. The campuses did not consistently maintain documentation for internships.
INTRODUCTION

BACKGROUND

In 1999, former Governor Gray Davis called for a community service requirement for all students of California’s public higher education institutions. In response, the Board of Trustees passed a resolution of the Committee on Educational Policy (REP) 03-02-00, Community Service: Responding to the Governor’s Call, which requires campus presidents to ensure that all students have opportunities to participate in community service/service learning. The resolution further required that the chancellor annually report to the Board of Trustees on efforts to provide those opportunities to all students.

In November 2005, the Board of Trustees also enacted changes to California Code of Regulations, Title 5 §41301, Student Code of Conduct, through REP 11-05-07 that updated expectations and clarified the applicability of the code to off-campus behaviors.

Some Off-Campus Activities (OCA) definitions provided in the 2002 California State University (CSU) publication Best Practices for Managing Risks in Service Learning include:

Service Learning

A teaching method that promotes student learning through active participation in meaningful and planned service experiences in the community that are directly related to course content. Through reflective activities, students enhance their understanding of course content, general knowledge, sense of civic responsibility, self-awareness, and commitment to the community.

Community Service

Any work provided by individuals that contributes to the quality of life in the community. Community service work can be provided in several ways and for different purposes. Students may be involved in community service on their own, with a group or club, or through academic course work.

Other major OCA components are internships, field trips, study abroad, and student exchange programs.

Internships

There is no common, CSU systemwide definition of internships. One campus defines them as follows:

Internships are processes of education, which formally integrate the students' academic study with practical experience in cooperating organizations. Through this interaction of study and practical experience, students enhance their academic knowledge, their personal development, and their professional preparation. The teaching faculty and the on-site supervisors share in the educational process of internship.
Field Trips

Similar to academic internships, the CSU does not specifically define field trips on a systemwide basis. One campus defines field trips as “required activities outside the regularly scheduled classroom/laboratory environment led by the faculty and/or university staff,” while another campus uses a somewhat shorter definition of “supervised, curriculum-related activities held off-campus.”

Study Abroad

Study abroad includes the international programs administered on a systemwide basis in the Office of the Chancellor as well as campus-based programs. In 2009/10, the systemwide international program operated through 19 country sites.

Campuses have authority to establish campus-based, study abroad programs that do not compete with the systemwide program. Campus-based, study abroad programs can be either state-funded or self-supporting. They also have to be short-term (one year or less in duration) and cannot be offered as degree programs. In addition, the continuing or extended education divisions of the campus have to operate the self-supporting study abroad programs.

Student Exchange Programs

Student exchange programs are discussed in Education Code §89705(b) and Executive Order 605, Delegation of Authority to Approve International Student Exchanges, Tuition Waivers for International Students, and Tuition Waivers for Nonresident U.S. Graduate Students, dated July 21, 1993, as:

Agreements with foreign institutions of higher education, governmental agencies, or nonprofit corporations or associations executed by the campuses in order to enhance international goodwill and understanding through the exchange of students.

Various CSU campuses also participate in at least one domestic student exchange program – the National Student Exchange.

In the Office of the Chancellor, the Division of Academic Affairs administers OCA primarily through the Center for Community Engagement and the Office of International Programs. The California State University Risk Management Authority and the Office of Risk Management in the Business and Finance Division at the chancellor’s office also provide some program oversight and certain insurances applicable to OCA. At the campus level, there are organizational entities involved in OCA similar to the chancellor’s office that report to different vice presidents.
PURPOSE

The overall audit objective was to ascertain the effectiveness of existing policies and procedures related to the administration of OCA and to determine the adequacy of controls that ensure compliance with relevant governmental regulations, Trustee policy, Office of the Chancellor directives, and campus procedures.

Within the overall audit objective, specific goals included determining whether:

- Accountability for off-campus functions has been clearly defined and documented including delineation of roles and responsibilities, provisions for formulation of goals/objectives, and measurement of outcomes.

- OCA policies, procedures, and standard forms are current and comprehensive and aligned with relevant federal and state laws/regulations and CSU directives.

- The chancellor’s office and the campuses have established adequate mitigating measures for risks in service learning, community service, academic internships, field trips, study abroad, and student exchange programs.

- Internal controls in service learning, community service, academic internships, field trips, study abroad, and exchange programs operate as intended.

- There is an equitable balance in the number of incoming versus outgoing students in exchange programs.

- Access to automated systems containing OCA information is controlled and limited to authorized users; data backup procedures are in place; and physical security over system hardware is adequate.

SCOPE AND METHODOLOGY

The proposed scope of the audit as presented in Attachment B, Agenda Item 2 of the January 27-28, 2009, meeting of the Committee on Audit stated that Off-Campus Activities includes service learning, study abroad programs, internships, field trips, and club sports. Subsequent to this presentation, the audit of club sports was deferred based on substantial CSU work-in-progress to develop and implement a systemwide club sports manual.

Our study and evaluation were conducted in accordance with the International 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 whether 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 for primarily fiscal year 2008/09.
Specifically, we reviewed and tested:

- Identification of risks and implementation of risk mitigation measures for service learning, community service, academic internships, field trips, study abroad, and student exchange programs.
- Service learning best practices including site visits and learning agreements with community partners.
- Involvement with volunteer initiatives.
- Selection and approval of internships.
- Field trip notifications and procedures.
- Execution of study abroad contracts.
- Relationships with study abroad providers.
- Student exchange reciprocity.

During the course of the audit, we visited nine campuses: Bakersfield, Fullerton, Humboldt, Los Angeles, Northridge, Pomona, Sacramento, San Diego, and San Jose. We interviewed campus personnel and audited procedures in effect at the time of audit.
OBSERVATIONS, RECOMMENDATIONS, AND MANAGEMENT RESPONSES

GENERAL ENVIRONMENT

POLICY FRAMEWORK

Systemwide policies and procedures for administration of off-campus activities (OCA) were inadequate in multiple areas discussed throughout this report.

At the campuses visited and in the chancellor’s office, we found numerous OCA policy issues involving various academic and administrative operating units with different reporting lines. The traditional system of executive orders and coded memorandums augmented with campus policies and procedures was incoherent, ineffective, and subject to:

- Incomplete, outdated or unclear policies and procedures.
- Policies and procedures not being communicated and disseminated.
- A lack of policy and procedure training for appropriate faculty and staff.

A separate systemwide initiative already underway pertaining to the development of the Integrated California State University Administrative Manual (ICSUAM) may provide a model for OCA policies. Thus far, ICSUAM has emphasized financially related policies and procedures. The California State University (CSU) has not adopted an ICSUAM-type document for non-financial policy matters.

Government Code (GC) §13402 and §13403 require a system or systems of internal accounting and administrative controls so that reasonable assurances can be given that measures to safeguard assets, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies are being followed.

Failure to implement, communicate, provide training, and update appropriate OCA policies and procedures increases the risk of misunderstandings, inconsistencies in compliance, and undue risk exposures.

Recommendation 1

We recommend that the chancellor’s office consider revising the process for OCA policy formulation and dissemination to include consolidation of OCA policies, improvement in OCA policy distribution, training for all appropriate staff on OCA policies, and establishment of a specific means for future review and maintenance of OCA systemwide policies.
Management Response

We concur. Academic Affairs (AA) will designate staff to be responsible for policy development and review to be posted on an OCA website. This site will also aggregate policies related to the various activities under this rubric. Finally, AA will develop a plan for distribution and training in these areas. This will be completed by August 1, 2011.

RELEASE FORM/DIGITAL SIGNATURES

Acceptance of digital signatures from students on participation consent forms for off-campus activities has started in the CSU without adequate systemwide policies or use of an approved methodology.

Signing a consent form is a general prerequisite for students to participate in off-campus activities such as service learning. There were a number of different legacy forms in use for this purpose at the campuses visited. The CSU has recently completed a Release of Liability, Promise Not To Sue, Assumption of Risk and Agreement to Pay Claims form intended to consolidate and supersede all previously used documents; however, it has not yet been distributed as official CSU systemwide policy.

One campus of the nine campuses visited was particularly advanced in allowing students to sign participation consent forms for service learning electronically through its student portal. This campus makes a persuasive case that obtaining student participation consent via digital signatures through the portal is a good use of technology, as students already use the portal application for other purposes, including online registration and accepting financial aid offers.

The older online participation consent forms and the newer Release of Liability, Promise Not To Sue, Assumption of Risk and Agreement to Pay Claims form contain certain representations and understandings with potential financial and legal ramifications that require a student signature and date and if the student is under 18 years old, a signature and date by a parent or guardian.

GC §16.5 and California Code of Regulations §22000 address digital signatures and regulations for acceptance of such signatures which include use of a methodology approved by the California Secretary of State.

Adoption of a systemwide digital signature policy has been drafted in the ICSUAM initiative, but it has not yet been finalized and issued.

The inconsistent use of student consent forms and absence of digital signatures unnecessarily exposes the university to liability and/or embarrassment, increases the risk of misunderstandings with student participants, and potentially compromises evidence in claims/litigation.
Recommendation 2

We recommend that the chancellor’s office:

a. Establish a systemwide policy requiring use of the *Release of Liability, Promise Not To Sue, Assumption of Risk and Agreement to Pay Claims* form for students participating in off-campus activities.

b. Finalize a systemwide digital signature policy and specifically clarify whether electronic acknowledgments by students of the *Release of Liability, Promise Not To Sue, Assumption of Risk and Agreement to Pay Claims* forms through student portals are acceptable.

c. Establish requirements to ensure that staff receives appropriate training on policies integral to performance of their responsibilities relating to digital signatures.

Management Response

We concur. Systemwide Risk Management and the Office of General Counsel have developed and codified through Executive Order (EO) 1051 the approved “waiver of liability.” This executive order was disseminated to campus presidents on July 23, 2010.

Systemwide Risk Management, working with the Office of General of General Counsel, will develop policy related to the use of electronic signatures on the waiver of liability and like kind of documents. Said policy will also establish requirements to ensure that staff receives appropriate training on policies integral to the performance of their responsibilities relating to digital signatures. This will be completed by February 1, 2011.

STUDY ABROAD

PARTICIPANT DOCUMENTATION

Documentation for student participation in study abroad programs was not always complete or consistently obtained.

Three of the campuses visited had not obtained liability releases or student health insurance information for all programs reviewed. At two campuses, documentation for certain programs could not be located and were not available for review.

EO 590, *Student Air Travel*, dated March 26, 1992, requires minimum travel insurance for students and the use of a release of liability waiver for all programs that involve air travel.

EO 998, *Study Abroad Programs*, dated January 25, 2007, requires students to carry medical insurance that will be valid in the host country(s) for all study abroad programs.
GC §13402 and §13403 require a system or systems of internal accounting and administrative controls so that reasonable assurances can be given that measures to safeguard assets, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies are being followed.

Campus management cited various reasons for not maintaining student documentation for study abroad courses/programs, including misunderstanding of the documentation requirements on recently implemented programs and the division of responsibility between campus offices for collecting the information.

Failure to obtain appropriate student participant documentation unnecessarily exposes the university to financial loss and/or embarrassment and increases the risk of misunderstandings with student participants.

**Recommendation 3**

We recommend that the chancellor’s office remind the campuses of the need to obtain necessary documentation for student participation in study abroad programs including, but not limited to, the liability releases and student health information.

**Management Response**

We concur. AA International staff will prepare an AA coded memorandum including the policies, updates, and reminders resulting from the audit. The issue will be raised at the provosts meeting and at a meeting of the senior international officers. This will be completed by November 1, 2010.

**AGREEMENTS**

The execution and maintenance of study abroad/exchange program agreements needed improvement at all nine campuses visited.

Our review of study abroad/exchange program agreements disclosed the following:

- Three campuses did not always obtain and/or refresh study abroad/exchange agreements at periodic intervals. There were inconsistencies among the campuses in the length of time for demonstrating and documenting reciprocity, specifically, whether it had to be annually or whether averaging over a multiple-year period (e.g., three to five years) was acceptable.

- At six campuses, agreements did not include the appropriate hold harmless clause and/or indemnification language between the university partner and the campus, and three campuses maintained agreements that renewed indefinitely.

- Six campuses did not document delegations of authority to sign agreements.
EO 605, *Delegation of Authority to Approve International Student Exchanges, Tuition Waivers for International Students, and Tuition Waivers for Nonresident U.S. Graduate Students*, dated July 21, 1993, states, in part, that campus presidents or their designees may initiate agreements with foreign institutions of higher education, governmental agencies, or non-profit corporations or associations in order to enhance international goodwill and understanding through the exchange of students.

EO 775, *Acquisition of Personal Property and Services*, dated June 6, 2001, states that authority is hereby delegated to each campus president or designee to acquire personal property and services including information technology resources, goods, and services where applicable provisions of *The California State University Policy Manual for Contracting and Procurement*, issued and maintained by the Office of the Chancellor, have been followed.

EO 849, *California State University Insurance Requirements*, dated February 5, 2003, states that a placement agreement, typically used when students are placed at an agency or institution for the purpose of course-required work experience, shall contain minimum insurance requirements applicable to the contracting parties and shall contain hold harmless provisions representative of the needs of the contracting party.

EO 1022, *Study Abroad Through Non-CSU Program Providers*, dated September 24, 2007, delegates authority to the campus president or designee to initiate and conduct study abroad programs with non-CSU providers.

*The California State University Policy Manual for Contracting and Procurement* §102 requires campus presidents to maintain documentation on delegations of purchasing authority as follows:

Responsibility for the preparation of campus internal policies and procedures consistent with the provision of this manual remains with the campus presidents. Should campus presidents choose to further delegate their purchasing authority, campuses must maintain documentation of such delegation.

*The California State University Policy Manual for Contracting and Procurement* §240.1 states that it is the campus’ responsibility to include, in each contract, terms and conditions necessary to protect the interests of the CSU, comply with applicable laws, reasonably mitigate risks, and provide best value to the CSU.

Campus management stated that program agreements were not always properly executed and maintained due to imprecise guidance on the length of time that could be covered by an agreement, resource constraints, and a lack of awareness of necessary contracting language.

The absence of appropriate provisions and authorizations for study abroad agreements increases the risk of misunderstandings and potential legal liabilities.
Recommendation 4

We recommend that the chancellor’s office:

a. Establish policy on the maximum period of time that study abroad/exchange agreements should be extended without formal review and renewal.

b. Remind the campuses of the need to maintain current, complete, and properly authorized agreements for all study abroad/exchange programs.

c. Ensure that appropriate delegations of authority are in place for those who sign study abroad and exchange agreements.

Management Response

We concur. AA International staff will prepare an AA coded memorandum including the policies, updates, and reminders resulting from the audit. AA will work with the Office of General Counsel to establish a standard duration for study abroad and exchange agreements. The issue will be raised at the provosts meeting and at a meeting of the senior international officers.

AA will further remind campuses that the authority to enter into agreements is delegated to the campus president and of the need to have a process for review and delegation of authority properly filed for those who sign agreements related to international activity. This will be completed by November 1, 2010.

EXCHANGE RECIPROCITY

Reciprocity in student exchange programs needed improvement at five of the nine campuses visited.

Four campuses had not adequately documented the value received under exchange agreements; and at one campus in recent years, there has been a negative imbalance in the National Student Exchange (NSE) program. Additionally, the definition of comparability was subject to interpretation and could involve a mix of students and faculty exchanges as part of the same agreement.

EO 605, Delegation of Authority to Approve International Student Exchanges, Tuition Waivers for International Students, and Tuition Waivers for Nonresident U.S. Graduate Students, dated July 21, 1993, authorizes campuses to participate in student exchange agreements provided that comparable expenses are met or waived by, or on behalf of, the foreign entity entering into the agreement.

GC §8314 states that it is unlawful for a state employee to use or permit others to use public resources for personal or other purposes which are not authorized by law.

GC §13402 and §13403 require a system or systems of internal accounting and administrative controls so that reasonable assurances can be given that measures to safeguard assets, check the
accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies are being followed.

Campus management stated that they were either unaware of the requirement to perform reviews of exchange programs for reciprocity or their existing reviews did not check for this requirement. Regarding the NSE program, the campus with the negative imbalance indicated that the number of students was low because the campus had not been effectively promoting participation.

Failure to adequately document and demonstrate the value received under exchange agreements exposes the campuses and CSU to criticisms of fiscal improprieties.

**Recommendation 5**

We recommend that the chancellor’s office:

a. Clarify the types of comparable expenses acceptable in student exchange programs.

b. Remind the campuses of the need to adequately document and demonstrate reciprocity in student exchange agreements.

**Management Response**

We concur. AA International staff will prepare an AA coded memorandum including the policies, updates, and reminders resulting from the audit. The issue will be raised at the provosts meeting and at a meeting of the senior international officers. This will be completed by November 1, 2010.

**INDEPENDENT TRAVEL**

The CSU has not adequately addressed requirements when students travel independently to/from study abroad and international exchange program locations.

Independent travel to/from study abroad and international exchange program locations is a common occurrence. Under this type of arrangement, the majority of campuses and the chancellor’s office international programs office routinely obtain transportation specifics for these students such as the name of the air carrier, the flight number, the date and time of departure, and the date, time, and location of arrival. However, one campus we visited took the position that systemwide policy was unclear and that, in the absence of specific direction, proceeding to collect similar information would have implied some liability for the travel. Despite this argument, the campus did comply with other components of systemwide travel policy such as making the required written notifications to traveling students and obtaining the necessary student acknowledgments.

EO 1041, *California State University Student Travel Policy*, dated July 1, 2009, states that student travel required in CSU-affiliated programs shall be conducted in compliance with Trustee Policy on Student Travel, Board of Trustees’ Resolution REP 1-92-02. The resolution defines applicability of
the policy to student travel sponsored by, or pursuant to, a program of the CSU or any campus of the
CSU. A number of additional requirements then apply including:

- Conducting the travel in ways that offer the least risk to the safety of participants and to the
  liability of the CSU.

- Review and approval on the use of scheduled or chartered transportation services by the
  president or designees for campus-based programs by the chancellor or designees in the case of
  student travel conducted on a systemwide basis.

- Minimum travel insurance.

- Written notification to the students that program participation is voluntary and that travel
  involves risks to personal safety that could result in damage to property, injury, or death.

- A signed written acknowledgement from students participating in the affiliated programs stating
  that they have been informed of the risks, certifying that they undertake such travel voluntarily,
  and that they release and hold harmless CSU institutions and persons.

EO 715, California State University Risk Management Policy, dated October 27, 1999, states that the
systemwide office of risk management shall provide guidance on the application of risk management
techniques and procedures appropriate to the CSU.

EO 1013, California State University Emergency Management Program, dated August 7, 2007,
requires that each campus develop a campus emergency plan.

GC §13402 and §13403 require a system or systems of internal accounting and administrative
controls so that reasonable assurances can be given that measures to safeguard assets, check the
accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence
to prescribed managerial policies are being followed.

The Forum on Education Abroad’s Standards of Good Practice for Short-Term Education Abroad
Programs states that programs should be organized with close attention to risk management issues.

Ambiguity in the administration of study abroad and exchange programs exposes the university to
liability and/or embarrassment due to misunderstandings of risks and responsibilities and increases
the risk of inadequate response to emergencies abroad before and after CSU-affiliated programs.

Recommendation 6

We recommend that the chancellor’s office:

a. Clarify and document systemwide policy on whether campuses should obtain emergency contact
and arrival information on students traveling independently to/from CSU-related programs at
international locations.
b. Advise campuses of policies on students traveling independently.

c. Establish requirements for campuses to monitor policy compliance for students traveling independently.

Management Response

We concur. Systemwide Risk Management will distribute a technical letter recommending that campuses collect applicable contact and travel itinerary information from students who travel independently to/from CSU-related programs at international locations. The technical letter will include recommended policies and good practices for a campus to implement related to student’s independent travel, including, but not limited to, the establishment of requirements for campuses to follow in monitoring policy compliance and adherence to good foreign travel practices. This will be completed by February 1, 2011.

FIELD TRIPS

DOCUMENTATION AND RECORD RETENTION

Systemwide policies for field trips were outdated and record retention requirements for field trip documents were unclear.

The primary source for systemwide guidance on field trips is EO 715, California State University Risk Management Policy, dated October 27, 1999. This policy is over ten years old, and it does not address record retention of required field trip documentation.

Our review of nine campuses disclosed several instances in which field trip documentation was not available for review:

- For seven campuses, signed liability waivers were not available for all field trip participants.
- For seven campuses, evidence that student emergency contact information had been obtained prior to the field trip taking place was not documented for all field trips reviewed.
- For six campuses, documentation that participants had received a detailed instructional agenda that included such topics as health/safety information, emergency procedures, and student code of conduct was not available for all field trips reviewed.
- For three campuses, evidence that instructors had visited the field trip site or demonstrated sufficient knowledge of the area prior to the field trip taking place was not available for all field trips reviewed.
In addition, four of the campuses reviewed specifically stated that field trip documentation had been collected but was not available for review because there were no requirements to maintain the documentation after the field trip had taken place.

EO 1031, Systemwide Records/Information Retention and Disposition Schedules Implementation, dated February 27, 2008, discusses record retention requirements but the schedules referenced therein also do not specifically identify and establish retention periods for field trip documents completed by student participants.

GC §911.2 provides general provisions for the length of time during which an individual or entity can file a claim against the state and its respective agencies for a particular activity and thereby creates a basis for the amount of time defensive documentation must be retained after a campus-sponsored activity is completed.

GC §13402 and §13403 state that management is responsible for establishing and maintaining a system of internal administrative controls, which includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions. Further, administrative controls are the methods through which reasonable assurance can be given that measures adopted by state agency heads to safeguard assets and promote operational efficiency are being followed.

At several campuses, responsibility for retention of field trip documentation had been delegated to the individual faculty members who were unaware of retention requirements and frequently discarded documentation on a premature basis when the trip concluded or after the end of the academic term.

The absence of current and complete field trip policies and procedures increases the risk of misunderstandings related to the responsibilities of the campus in obtaining and maintaining appropriate field trip documentation, unnecessarily exposes participating students to undue risk, and increases the potential for loss to the campus and the CSU.

**Recommendation 7**

We recommend that the chancellor’s office:

a. Review and update existing field trip systemwide policies and records retention schedules to specifically identify field trip documentation and address required retention periods.

b. Establish a specific means for future review and maintenance of systemwide field trip policies to ensure that they are updated and communicated at appropriate intervals.

c. Remind the campuses of the need to retain field trip documentation for appropriate periods.
Management Response

We concur. AA, working with Risk Management, will identify required documentation and retention periods. The responsibility for policy implementation is delegated to the campus president. This will be completed by August 1, 2011.

ADMINISTRATION

Administration of field trips at most campuses was highly decentralized without a system for adequate training or monitoring of compliance.

We noted that:

- Administration of field trips varied by campus, but generally there was no centralized record to identify classes with off-campus field trips. Individual instructors or departments were responsible for identifying classes that conducted field trips and for maintaining field trip documentation. Due to this decentralization, it was difficult to obtain a complete listing of field trips that had taken place.

- Although risk management or other similar offices within the campuses were often involved in the creation of field trip policies, these policies did not provide for adequate departmental training or monitoring of departmental compliance, nor were these offices involved in the training or monitoring function. Seven of nine campuses reviewed were specifically cited in this area.

EO 715, California State University Risk Management Policy, dated October 27, 1999, includes multiple guidelines to control risk in off-campus activities. It further states that campus policy to implement these guidelines should include a provision for documenting compliance, and that campus policy and procedures should be reviewed annually.

GC §13402 and §13403 require a system or systems of internal accounting and administrative controls so that reasonable assurances can be given that measures to safeguard assets, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies are being followed.

Campus management cited various reasons for not monitoring field trips including the decentralized operation of academic departments and the frequency of field trips.

The failure to track and identify classes that involve off-campus field trips and to ensure that these classes are in compliance with field trip policies and procedures unnecessarily exposes participating students to undue risk and increases the potential for loss to the campus and the CSU.
Recommendation 8

We recommend that the chancellor’s office:

a. Establish a policy requiring campuses to identify all classes involving off-campus field trips.

b. Reinforce the requirement of campuses to monitor and document compliance with field trip policies and procedures.

Management Response

We concur. AA will develop a policy for campuses to identify all classes with a field trip and to monitor compliance with field trip policies. The responsibility for implementation is delegated to the campus president. This will be completed by August 1, 2011.

COMMUNITY ENGAGEMENT

STATISTICS

Processes for accumulating and validating service learning statistical estimates were inefficient and potentially error-prone because of estimates that could not be verified.

A patchwork of different systems were utilized on the campuses to estimate data on the extent of service learning such as the number of course sections, the number of students involved, and the number of hours contributed to the community. Four campuses were specifically cited for a need to improve systems for gathering and documenting information about service learning. Systemwide, various resources have been utilized for collecting and reporting service learning statistics including:

- The Academic Planning Database reports the number of service learning course sections; but it can be inaccurate depending on whether the data can be successfully corroborated with academic departments and the extent to which other variables are not accounted for, such as course sections with different service learning hours or courses where the service learning component is optional.

- Annual Reports for the California Call to Service.

- Various discontinued surveys conducted at different intervals which included service learning components such as the Student Needs and Priorities Survey (SNAPS), the Student Expenses and Resources Survey (SEARS), and the CSU Technology Metrics Questionnaire administered by the Social and Behavioral Research Institute at California State University, San Marcos.

- Federal work-study funds designated for community service placements.
The systems at the campuses and systemwide level have produced estimates or projections of service learning activity, but not accurate numbers with adequate verifiable supporting documentation.

Service learning activity is subject to campus and systemwide reporting for various purposes including recognition through The Carnegie Foundation of the Advancement of Teaching that annually selects colleges and universities for community engagement classification awards.

GC §13402 and §13403 require a system or systems of internal accounting and administrative controls so that reasonable assurances can be given that measures to safeguard assets, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies are being followed.

Some campuses stated that the capability to capture and report statistics changed with the transition to the Common Management Systems and that system coding by academic departments was unreliable.

Inefficient systems and unreliable statistics on service learning activity create misleading information on program accomplishments and jeopardize CSU credibility.

**Recommendation 9**

We recommend that the chancellor’s office work with the campuses to improve the way in which service learning statistics are generated and documented.

**Management Response**

We concur. Community Engagement will work with campuses to improve data collection in three areas: possible implementation of Monterey Bay’s PeopleSoft module, My Service Learning Placement (MYSLP) with a majority of campuses; strengthen the Academic Planning Database data collection process on individual campuses; and secure an annual or biannual systemwide survey of students’ community engagement efforts. This will be completed by August 1, 2011.

**PARTNER AGREEMENTS AND SITE VISITS**

Implementation of service learning best practices needed improvement.

Seven campuses had not visited enough community partner locations, and six campuses did not have an adequate number of partnership agreements for service learning. Documentation of community orientations, service learning placement records, and emergency contact information was weak at some campuses.

The 2002 CSU publication *Best Practices for Managing Risks in Service Learning* provides for:

- Community orientation.
- Student learning plans.
OBSERVATIONS, RECOMMENDATIONS, AND MANAGEMENT RESPONSES

- Site visits.
- Community partner agreements.
- Inclusion of service learning requirements in course descriptions.
- Student service logs.
- Service learning placement records.
- Identification of emergency contacts.

EO 715, *California State University Risk Management Policy*, dated October 27, 1999, states that the campus is responsible for managing and controlling risks.

Recognition of site visits and partner agreements were not universally endorsed as a requirement on all campuses, and other campuses cited resource limitations restricting more thorough implementation of best practices. Some campuses cited the volume of partner locations as an impediment to doing more site visits and agreements given existing resource limitations.

Failure to do site visits and obtain appropriate agreements with internship partners affects student safety and exposes the university to liability due to misunderstandings of risks and responsibilities.

**Recommendation 10**

We recommend that the chancellor’s office revisit *Best Practices for Managing Risks in Service Learning* and establish, document, and communicate realistic policy and minimum standards for required service learning activities, particularly site visits and community partnership agreements.

**Management Response**

We concur. Systemwide Risk Management and AA/Community Engagement will review its *Best Practices* manual and update or amend as applicable. The updated manual will be distributed systemwide, and it will establish, document, and communicate realistic policy and minimum standards for required service learning activities. This will be completed by August 1, 2011.

**INTERNSHIPS**

The campuses did not consistently maintain documentation for internships.

In our review of internships, we noted that multiple campuses did not document:

- Familiarity with the internships location.
- Adequate orientation of hosting companies and students.
- Placement agreements addressing insurance and hold harmless provisions.
- Emergency planning arrangements.

EO 715, *California State University Risk Management Policy*, dated October 27, 1999, states that the campus is responsible to manage and control risks, and that one way in which liability and exposure related to activities linked to the mission of the CSU could be minimized is through the use of
third-party waivers or hold harmless agreements. Additionally, the policy includes multiple guidelines to control risk in off-campus activities, including:

- Visit the general area where the activity will be held prior to the field study course or demonstrate sufficient knowledge of the area.

- Prepare a detailed day-to-day instructional agenda including health and safety instructions for all participants.

- Review emergency preparedness processes and the crisis response plan. Distribute a handout for students with emergency phone numbers and contacts.

- Communicate codes of conduct for staff and students.

EO 715 contains appendices for various types of risk exposures but there is not one specifically labeled for internships. Internships also lack the same type of systemwide guidance provided to service learning through the 2002 CSU publication *Best Practices for Managing Risks in Service Learning*.

EO 849, *California State University Insurance Requirements*, dated February 5, 2003, states that placement agreements for course-required work experience must be documented and shall specify minimum insurance requirements applicable to the contracting parties and appropriate hold harmless provisions based on the needs of the contracting parties.

The U.S. Department of Labor has also recently issued new rules for educational internships that apply a six-part test from the Fair Labor Standards Act particularly applicable to unpaid internships at for-profit companies.

Some campuses or individual departments stated that since they did not actually place students in internships, EO 849 requirements did not apply because it was part of the student’s learning experience to locate and make the internship arrangement on their own. Some campuses or individual departments also indicated they might need to treat internships differently based on variables such as whether the internship was paid or unpaid, optional or required, or when students do not opt to apply for academic credit.

Failure to address adequate terms in internship contracts and obtain appropriate student documentation affects student safety and exposes the university to liability and/or embarrassment due to misunderstandings of risk and responsibilities.

**Recommendation 11**

We recommend that the chancellor’s office:

a. Establish and issue appropriate policies for the different types of internships.
b. Remind the campuses of the need to obtain internship documentation and monitor compliance with systemwide internship policies and procedures.

Management Response

We concur. In discussions with Risk Management, AA will establish policies for internships (other than in the areas of teacher preparation and clinical placements, which owing to their specialized nature are governed separately). The responsibility for implementing those policies is delegated to the campus president. This will be completed by August 1, 2011.
# APPENDIX A: PERSONNEL CONTACTED

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
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</thead>
<tbody>
<tr>
<td><strong>Office of the Chancellor</strong></td>
<td></td>
</tr>
<tr>
<td>Judy Botelho</td>
<td>Interim Director, Center for Community Engagement</td>
</tr>
<tr>
<td>Gail Brooks</td>
<td>Vice Chancellor, Human Resources</td>
</tr>
<tr>
<td>Jeri Echeverria</td>
<td>Executive Vice Chancellor and Chief Academic Officer</td>
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<tr>
<td>(At time of review)</td>
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</tr>
<tr>
<td>Phil Garcia</td>
<td>Senior Director, Analytic Studies</td>
</tr>
<tr>
<td>Bruce Gibson</td>
<td>Senior Director, Systemwide Benefits</td>
</tr>
<tr>
<td>Zachary Gifford</td>
<td>Assistant Systemwide Risk Manager</td>
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<tr>
<td>Dean Kulju</td>
<td>Director, Student Academic Support</td>
</tr>
<tr>
<td>Charlene Minnick</td>
<td>Assistant Vice Chancellor, Risk Management and Public Safety</td>
</tr>
<tr>
<td>Benjamin F. Quillian</td>
<td>Executive Vice Chancellor and Chief Financial Officer</td>
</tr>
<tr>
<td>Erika Randall</td>
<td>Special Consultant</td>
</tr>
<tr>
<td>Dana Rosen</td>
<td>Assistant Director, International Programs</td>
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<tr>
<td>Lorie Roth</td>
<td>Assistant Vice Chancellor, Academic Programs</td>
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<tr>
<td>Monique Shay</td>
<td>Attorney, Office of General Counsel</td>
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<tr>
<td>Rebecca Skidmore</td>
<td>Risk Management Analyst</td>
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<tr>
<td>Leo Van Cleve</td>
<td>Director, International Programs</td>
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<tr>
<td><strong>California State University, Bakersfield</strong></td>
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<tr>
<td>Horace Mitchell</td>
<td>President</td>
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<tr>
<td>David Beadle</td>
<td>Director, Safety and Risk Management</td>
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<tr>
<td>Mustafah Dhada</td>
<td>Assistant Vice President, Academic Programs</td>
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<tr>
<td>John Dirkse</td>
<td>Associate Dean of Academic Programs</td>
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<tr>
<td>Douglas Dodd</td>
<td>Professor, History Department</td>
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<tr>
<td>Bruce Friedman</td>
<td>Chair, Department of Social Work</td>
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<tr>
<td>Rita Gustafson</td>
<td>Registrar</td>
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<tr>
<td>Jacqueline Hughes</td>
<td>Chair, Department of Teacher Education</td>
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<tr>
<td>Michelle Jackson</td>
<td>Director, Community Partnerships and Service Learning</td>
</tr>
<tr>
<td>Antoinette Jacobs</td>
<td>Multiple Subjects Student Teaching Placement Coordinator</td>
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<tr>
<td>Norman Keltner</td>
<td>Chair, Department of Nursing</td>
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<tr>
<td>Marina Manzano</td>
<td>Contracts Technician/Buyer II, Procurement</td>
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<tr>
<td>Jacqueline Minms</td>
<td>Associate Vice President, Enrollment Management</td>
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<tr>
<td>Cheryl Lane Moore</td>
<td>Administrative Support Coordinator, Department of Nursing</td>
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<tr>
<td>Michael Neal</td>
<td>Vice President, Business and Administrative Services</td>
</tr>
<tr>
<td>Frances Peterson</td>
<td>Secondary Field Coordinator, School of Education</td>
</tr>
<tr>
<td>Robert Provenencia</td>
<td>Chair, Department of Music</td>
</tr>
<tr>
<td>Mandy Rees</td>
<td>Chair, Theatre Department</td>
</tr>
<tr>
<td>Amanda Thrasher</td>
<td>Multiple and Single Subject Evaluator, Department of Teacher Education</td>
</tr>
<tr>
<td>Douglas Wade</td>
<td>Associate Vice President, Fiscal Affairs</td>
</tr>
</tbody>
</table>
APPENDIX A: PERSONNEL CONTACTED

California State University, Fullerton
Milton A. Gordon            President
Silas Abrego                Associate Vice President, Student Affairs
Jane Evan Anderson          Administrative Support Coordinator,
                            Division of Politics, Administration, and Justice
Jack Bedell                 Chair, Department of Anthropology
John Beisner                Director, Risk Management
Kim Bette-Wright            Administrative Support Coordinator, Department of Geography
John Carroll                Chair, Department of Geography
Pat Carroll                 Executive Assistant
Jim Case                    Director, Career Center
James Choi                  Chair, Computer Science Department
Susan Cooper                Dean, Irvine Campus
Kathleen Costello           Assistant Director, Center for Internships and Community
                            Engagement
Carole Hampton Cotter       Production and Business Coordinator,
                            Department of Theatre and Dance
Jeanne Crawford             Administrative Support Assistant, Department of Biological Sciences
Bill Dickerson              Executive Director, Auxiliary Services Corporation
Carmen Dunlap               Associate Dean, College of Education
Ed Fink                     Chair, Department of Radio, Television, and Film
Howard Foreman              Professor, Marketing Department
Naomi Goodwin               Assistant Vice President, Administration and Finance
Don Green                   Director, Contracts and Procurement
Cindy Greenberg            Chair, Department of Nursing
Willie Hagan                Vice President, Administration and Finance/Chief Financial Officer
Susan Hallman               Chair, Department of Theatre and Dance
Katrin Harich               Marketing Professor and Director, Center for International Business
Bahram Hatefi               Director of Internal Audit
Paula Herberg               Acting Associate Vice President, International Programs
Mikel Hogan                 Chair, Human Services Department
Jeannie Kim-Han             Director, Center for Internships and Community Engagement
Robert Koch                 Chair, Department of Biological Sciences
Irene Lange                 Chair, Marketing Department
Joe Luzzi                   Assistant Director, Enterprise Resource Planning
Ken Ly                      Director, System Infrastructure and Application Development
Amy Mattern                 Coordinator, Volunteer and Service Center
Maria Mezhinsky             Director, Information Technology (Admissions and Records Office)
Kari Knutson Miller         Chair, Department of Child and Adolescent Studies
Kathryn Morrissey           Study Abroad Program Assistant
Harry Norman                Dean, University Extended Education
Lilian Pahn                 Placement Coordinator, Center for Internships and Community
                            Engagement
Robert Palmer               Vice President, Student Affairs
Diana Ruiz                  Administrative Support Coordinator, Risk Management
Ephraim Smith               Vice President, Academic Affairs
Raphael Sonenshein          Chair, Division of Politics, Administration, and Justice
APPENDIX A: PERSONNEL CONTACTED

California State University, Fullerton (cont.)
Lay Tuan Tan Director, Office of International Education and Exchange
Esquio Uballe Associate Dean of Students, Student Life
Angela Della Volpe Acting Dean, College of Humanities and Social Sciences
Angela Warren Buyer, Contracts and Procurement
Tom Whitfield Director, Environmental Health and Instructional Safety
Sally Yassine Associate Director, Contracts and Procurement

Humboldt State University
Rollin C. Richmond President
Joy Adams Assistant Professor, Geography Department
Jyl Barnett Service Learning Community Partner Liaison
Annie Bolick-Foss Director, Service Learning
Lorena Boswell Program Manager, Youth Educational Services
David Bugbee Director, Contracts, Procurement, and Risk Management
Mary Ann Creadon Chair, Department of English
Donna Gephart Administrative Assistant, College of Professional Studies
Carl Hansen Director, Extended Education and International Programs
Kenna Hyatt Administrative Support Coordinator, Department of World Languages and Cultures
Kim King Administrative Support Assistant, Plant Operations
Mark Larson Chair, Department of Journalism and Mass Communication
Thomas Mays Chair, Department of History
Michelle McCall-Wallace Director of Reese Bullen Gallery
Burt Nordstrom Vice President of Administrative Affairs
Lynne Sandstrom Director, Financial Services
Penelope Shaw Study Abroad Advisor
Steve Smith Associate Dean, College of Natural Resources and Sciences
Carol Terry Associate Vice President, Business Services
Harry Wells Associate Dean - College of Arts, Humanities and Social Sciences

California State University, Los Angeles
James M. Rosser President
Joseph Aguirre Executive Director, University Student Union
Monique Allard Director of Student Services, Charter College of Education
Jennifer Amaya Study Abroad Advisor
Kevin Brady Director, Risk Management/Environmental Health & Safety
Nancy Clausen Buyer II, Procurement and Contracts
Jose Galvan Dean, Graduate Studies and Research
Alfredo Gonzalez Dean, Office of Undergraduate Studies
Julissa Gutierrez Field Coordinator, Teacher Preparation Advising Center
Michelle Hawley Associate Professor, Department of English
James Henderson Dean, College of Natural and Social Sciences
Tanya Ho University Internal Auditor
Cynthia Hughes Acting Director, School of Nursing and Professor
Yara Jimenez Director, Upward Bound Programs
Nadine Koch Associate Dean of Undergraduate Studies
APPENDIX A: PERSONNEL CONTACTED

California State University, Los Angeles (cont.)
Christine Leung
Senior Internal Auditor, University Internal Audit
Sachiko Matsunaga
Chair, Department of Modern Languages and Literature
Don Maurizio
Acting Associate Dean, College of Engineering, Computer Science and Technology
Tina T. Mueller
Buyer III Lead, Procurement and Contracts
Marcia Ann Murota
Director, Student Academic Success Programs
Jorge Ortega
Director, California Student Opportunity and Access Program
George Pardon
Vice President, Administration and Finance/Chief Financial Officer
(At time of review)
Pariz Partow-Navid
Director of Student Service, College of Business and Economics and Chair, Department of Information Systems
Alma P. Sahagun
Director of Grants and Contracts, Office of Research and Sponsored Programs - University Auxiliary Services
Dan Thomas
Risk Management Coordinator
Jorge Uranga
Director, Educational Participation in Communities
Marcelo Vazquez
Director, Project Gear-Up
Nancy Wada-McKee
Assistant Vice President for Student Affairs-Student Services
Amy Wang
Director, International Programs and Services

California State University, Northridge
Jolene Koester
President
Ed Alfano
Chairperson, Art Department
Bernardo Attias
Chairperson, Department of Communication Studies
Bob Barker
Associate Vice President, Financial and Accounting Services/University Controller
George Chidiac
Director of Purchasing and Contract Administration
Griselda Corona
Administrative Support Coordinator, Chicana/o Studies Department
Rasmita Dhruv
Administrative Support Coordinator, Anthropology Department
Nagi El Naga
Chairperson, Department of Electrical and Computer Engineering
Rochelle Fernandez
Administrative Support Assistant, Art Department
Marilynn Filbeck
Associate Dean, College of Health and Human Development
Craig Finney
Chairperson, Department of Recreation and Tourism Management
Karen Kearns
Associate Dean, College of Arts, Media and Communications
Marta Lopez
Assistant Director, International Programs
Jerry Luedders
Assistant Provost
Howard Lutwak
Director of Internal Audit
Tom McCarron
Vice President, Administration and Finance/Chief Financial Officer
Ann Morey
Director, Career Center
Tom Piernik
Director, Student Development and International Programs
Janice Potzmann
Assistant Director, Career Center
Mary Rueda
Manager, Purchasing and Contract Administration (at time of audit)
Harold Smith
Chairperson, Child and Adolescent Development
Justine Su
Coordinator of International Programs
Stella Throdoulou
Dean, College of Social and Behavioral Sciences
Donna Van Helsland
Administrative Specialist, Department of Physical Therapy
APPENDIX A: PERSONNEL CONTACTED

**California State University, Northridge (cont.)**

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
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<tbody>
<tr>
<td>Jody Van Leuven</td>
<td>Interim Risk Manager</td>
</tr>
<tr>
<td>William Watkins</td>
<td>Associate Vice President, Student Affairs</td>
</tr>
<tr>
<td>Merri Whitelock</td>
<td>Managing Director, Community Engagement</td>
</tr>
<tr>
<td>Paul Wilson</td>
<td>Interim Associate Chairperson, Biology Department</td>
</tr>
</tbody>
</table>

**California State Polytechnic University, Pomona**

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
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<tbody>
<tr>
<td>J. Michael Ortiz</td>
<td>President</td>
</tr>
<tr>
<td>Thresa Ansley</td>
<td>Study Abroad Coordinator</td>
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<tr>
<td>Ed Barnes</td>
<td>Vice President for Administrative Affairs and Chief Financial Officer</td>
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<tr>
<td>Barbara Burke</td>
<td>Professor, Chemistry</td>
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<tr>
<td>James Burke</td>
<td>Professor, Collins College of Hospitality Management</td>
</tr>
<tr>
<td>Gary Carlton</td>
<td>Professor, Biological Sciences</td>
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<tr>
<td>Cynthia Chatfield</td>
<td>Administrative Analyst Specialist</td>
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<tr>
<td>Valerie Eberle</td>
<td>Manager, Benefits, Workers Compensation and Risk Programs</td>
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<tr>
<td>U. J. Fan</td>
<td>Dean, College of the Extended University</td>
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<tr>
<td>Patricia de Freitas</td>
<td>Chair, Ethnic and Women’s Studies Department</td>
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<tr>
<td>Debra Garr</td>
<td>Contract Specialist and Asset Management Lead</td>
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<tr>
<td>Jean Gipe</td>
<td>Interim Associate Dean, College of Agriculture</td>
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<tr>
<td>Michael Godfrey</td>
<td>Associate Dean, Collins College of Hospitality Management</td>
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<tr>
<td>Christina Gonzalez-Salgado</td>
<td>Civic Engagement Coordinator</td>
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<tr>
<td>Kathy Harper</td>
<td>Administrative Assistant to Associate Vice President,</td>
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<td></td>
<td>Finance and Administrative Services</td>
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<tr>
<td>Tami Harshberger</td>
<td>Administrative Support Coordinator, Food Marketing and</td>
</tr>
<tr>
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<td>Agribusiness Management</td>
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<tr>
<td>Gary Kinsey</td>
<td>Associate Dean, College of Education and Integrative Studies</td>
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<tr>
<td>Marvin Klein</td>
<td>Professor, Food Marketing and Agribusiness Management</td>
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<tr>
<td>Darwin Labordo</td>
<td>Associate Vice President, Finance and Administrative Services</td>
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<tr>
<td>Helen Lee</td>
<td>Accounts Payable Coordinator</td>
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<td>Iris Levine</td>
<td>Chair, Music Department</td>
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<td>Mark Lopez</td>
<td>Director, Budget Services</td>
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<td>Maria Martinez</td>
<td>Registrar</td>
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<td>Leah Newell</td>
<td>Associate Director, International Center</td>
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<td>Jonathan Nourse</td>
<td>Chair, Geological Sciences Department</td>
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<tr>
<td>Vicki Peden</td>
<td>Associate Dean, College of Business Administration</td>
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<tr>
<td>Claudia Pinter-Lucke</td>
<td>Associate Vice President, Undergraduate Studies</td>
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<tr>
<td>Kathleen Prunty</td>
<td>Director, Procurement and Support Services</td>
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<tr>
<td>Sharon Reiter</td>
<td>Associate Vice President, Human Resource Services</td>
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<td>Angelina Shultz</td>
<td>Director, Student Accounting and Cashiering Services</td>
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<td>Clifford Stover</td>
<td>Professor, Mechanical Engineering</td>
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<td>Don Straney</td>
<td>Dean, College of Science</td>
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<td>Kathleen Street</td>
<td>Associate Vice President, Enrollment Services</td>
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<tr>
<td>Jeff Tennis</td>
<td>Associate Registrar</td>
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<tr>
<td>Dale Turner</td>
<td>Associate Dean - College of Letters, Arts and Social Sciences</td>
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<tr>
<td>Karina Villagran</td>
<td>Office Coordinator, Center for Community Service-Learning</td>
</tr>
<tr>
<td>Al Viteri</td>
<td>Director, University Accounting Services</td>
</tr>
<tr>
<td>Joice Xiong</td>
<td>Director, Internal Audits</td>
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## California State University, Sacramento

<table>
<thead>
<tr>
<th>Name</th>
<th>Position/Department</th>
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<tbody>
<tr>
<td>Alexander Gonzalez</td>
<td>President</td>
</tr>
<tr>
<td>Bonnie Burnell</td>
<td>Director, Business Student Services - College of Business</td>
</tr>
<tr>
<td>Michael Christensen</td>
<td>Interim Assistant Vice President, Risk Management Services</td>
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<tr>
<td>Brigitte Clark</td>
<td>Associate Director, Career Center</td>
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<tr>
<td>Felice Dinsfriend</td>
<td>Financial Services Manager, College of Continuing Education</td>
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<tr>
<td>Dave Evans</td>
<td>Chair, Geology Department</td>
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<tr>
<td>Monica Freeman</td>
<td>Coordinator, International Programs</td>
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<tr>
<td>Stephen Garcia</td>
<td>Vice President for Administration and Business Affairs</td>
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<tr>
<td>Jack Godwin</td>
<td>Chief International Officer and Director, Global Education</td>
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<tr>
<td>Bernadette Halbrook</td>
<td>Interim Associate Dean, College of Continuing Education</td>
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<tr>
<td>Deborah Hansen</td>
<td>Program Coordinator, College of Continuing Education</td>
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<tr>
<td>Yavette Hayward</td>
<td>Senior Management Auditor</td>
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<tr>
<td>Justine Heartt</td>
<td>Interim Associate Vice President, Financial Services</td>
</tr>
<tr>
<td>Mike Lee</td>
<td>Associate Vice President and Dean for Academic Programs</td>
</tr>
<tr>
<td>Sheila Macias</td>
<td>Administrative Director, Community Engagement Center</td>
</tr>
<tr>
<td>Jill Matsueda</td>
<td>Senior Program Manager, College of Continuing Education</td>
</tr>
<tr>
<td>Manuela McClary</td>
<td>Senior Program Coordinator, College of Continuing Education</td>
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<tr>
<td>Kathi McCoy</td>
<td>Director, Auditing Services</td>
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<tr>
<td>Brendan McVeigh</td>
<td>Community Partnerships Coordinator, Community Engagement Center</td>
</tr>
<tr>
<td>Beth Merritt-Miller</td>
<td>Director, Academic Advising and Career Center</td>
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<tr>
<td>Robert Pomo</td>
<td>Director, General Education Honors Program</td>
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<tr>
<td>David Shannon</td>
<td>Director, Procurement and Contract Services</td>
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<tr>
<td>Janis Silvers</td>
<td>Study Abroad Advisor</td>
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<tr>
<td>Barbara Sloan</td>
<td>Associate Director, Outreach, Admissions and Records</td>
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<tr>
<td>Kirtland Stout</td>
<td>Interim Risk Manager</td>
</tr>
<tr>
<td>Alice Tom</td>
<td>Dean, College of Continuing Education</td>
</tr>
<tr>
<td>Jing Wang</td>
<td>Director of Institutional Research</td>
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<tr>
<td>Gregory Wheeler</td>
<td>Associate Dean, Undergraduate Studies</td>
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## San Diego State University

<table>
<thead>
<tr>
<th>Name</th>
<th>Position/Department</th>
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<tbody>
<tr>
<td>Stephen L. Weber</td>
<td>President</td>
</tr>
<tr>
<td>Cathie Atkins</td>
<td>Associate Dean of Undergraduate Studies, College of Science</td>
</tr>
<tr>
<td>Scott Burns</td>
<td>Associate Vice President, Financial Operations</td>
</tr>
<tr>
<td>Robert Carolin</td>
<td>Assistant Director for Education Abroad,</td>
</tr>
<tr>
<td></td>
<td>International Student Center</td>
</tr>
<tr>
<td>Kevin Carter</td>
<td>Director, Travel Study</td>
</tr>
<tr>
<td>Valerie Carter</td>
<td>Director, Audit and Tax</td>
</tr>
<tr>
<td>Miriam Castanon</td>
<td>International/Graduate Programs Coordinator,</td>
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<td>Imperial Valley Campus</td>
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<td>Teresa Cisneros-Donahue</td>
<td>Director, College of Business Administration</td>
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<tr>
<td>Nancy Flitcraft</td>
<td>Instructional Support Assistant</td>
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<td>Maribel Franco</td>
<td>Study Abroad Coordinator</td>
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<td>Rebekah Fuganti</td>
<td>International Programs Coordinator</td>
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<tr>
<td>Cathy Garcia</td>
<td>Manager, Contracts and Procurement</td>
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<tr>
<td>Jim Gerber</td>
<td>Director, International Business Program</td>
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</table>
San Diego State University (cont.)
Mozelle Harding          Assistant to the Associate Dean, College of Arts and Letters
Olita Harris             Associate Dean, College of Health and Human Services
Jane Kalionzes           Associate Director, International Student Center
James Lackritz           Associate Dean for Academic Affairs, College of Business
Kathryn LaMaster         Associate Dean, College of Professional Studies and Fine Arts
Patricia Lozada-Santone  Assistant Dean for Student Affairs, College of Education
Janelle Ortiz            Associate Director, Civic Learning and Community Engagement
Janet Park               Administrator Coordinator II
Timothy Quinnan          Associate Vice President, Campus Life
Francesca Ringland       Director, Credit Community Education
Sally Roush              Vice President, Business and Financial Affairs
Marti Ruel               Associate Vice President, Student Services
Rhonda Russell           Risk Management Officer
Ethan Singer             Associate Vice President, Academic Affairs
Alan Sweedler            Assistant Vice President, International Programs
Catherine Todero         Director, School of Nursing
Jan Wahl                 Associate Dean, College of Extended Studies
Brian West               Buyer

San José State University
Jon Whitmore             President
Marcella Anthony         Assistant Director, Student Outreach and Recruitment
Sheila Bienenfeld        Chair, Department of Psychology
John Boothby             Chair, Department of Biological Sciences
Bill Briggs              Chair, Department of Journalism and Mass Communications
Bill DeVincenzi          Lecturer, Accounting and Finance
Gloria Edwards           Curriculum Analyst, Undergraduate Studies
Michael Fallon           Associate Director, Center for Community Learning and Leadership
Xuan Duong Francis       Student Program Coordinator, College of Engineering
Sharon Glazer            Associate Professor, Psychology
Jennifer Gregg           Assistant Professor, Psychology
Megumi Hosoda            Professor, Psychology
Dennis Jaehne            Associate Vice President, Undergraduate Studies
Christian Jochim         Chair, Department of Humanities
Barbara Keltner          Contract Analyst Lead, Procurement and Support Services
Elena Klaw               Associate Professor, Psychology and Director, Center for Community Learning and Leadership
Josee Larochelle         Associate Vice President, Finance
Rose Lee                 Vice President, Administration and Finance
Minjie Li                Accounts Payable Technician, International and Extended Studies
Mark Loftus              Associate Director of Risk and Compliance
John Loomis              Director, School of Art and Design
Kenneth Louden           Professor and Chair, Department of Computer Science
Blanca Millan            International Undergraduate Evaluator
Mark Novak               Associate Vice President/Dean, International and Extended Studies
Dora Ozawa               Information Technology Consultant, Registrar Services
APPENDIX A: PERSONNEL CONTACTED

San José State University (cont.)
Jon Pearce                Professor, Computer Science
Ninh Pham-Hi              Director, Internal Control
Dorothy Poole             Assistant Vice President, Administration and Finance
Annabel Prins             Associate Professor, Psychology
Shirley Reekie            Chair, Department of Kinesiology
Dave Rudel                Assistant Director, International Programs and Services
Richard Sedlock           Chair, Department of Geology
Namrata Shukla            Financial Operations Manager, International and Extended Studies
Marian Sofish             Registrar
Leslie Speer              Assistant Professor, Art and Design
Pam Stacks                Associate Vice President, Graduate Studies and Research
Helen Stevens             Director, International Programs and Services
Suzanne Sundholm          Risk Analyst
Lynne Trulio              Chair, Department of Environmental Studies
Chris Tseng               Professor, Computer Science
George Vasquez            Associate Dean, College of Social Sciences
Iris Wang                 Off Campus Program Specialist, College of Engineering
Belle Wei                 Dean, College of Engineering
Charles Whitcomb         Vice Provost, Academic Administration and Personnel
MEMORANDUM

TO: Mr. Larry Mandel
University Auditor

FROM: Ephraim P. Smith
Executive Vice Chancellor and Chief Academic Officer

SUBJECT: Management Response to Recommendations of Off-Campus Activities
Systemwide Audit (09-54)

The findings and recommendations included in the Off-Campus Activities Audit Report
number 09-54 have been reviewed by Academic Affairs and Business and Finance. Our
response to each of the recommendations appears on the attachment.

We appreciate the opportunity to review and comment on the recommendations that address
off-campus activities policies and procedures. Please feel free to contact me if you have any
questions about our response to the audit recommendations.

EPS/jkt

c: Dr. Benjamin F. Quillian
    Dr. Lorie Roth
    Mr. Leo Van Cleve

Attachment
OFF-CAMPUS ACTIVITIES

SYSTEMWIDE

Audit Report 09-54

GENERAL ENVIRONMENT

POLICY FRAMEWORK

Recommendation 1

We recommend that the chancellor’s office consider revising the process for OCA policy formulation and dissemination to include consolidation of OCA policies, improvement in OCA policy distribution, training for all appropriate staff on OCA policies, and establishment of a specific means for future review and maintenance of OCA systemwide policies.

Management Response

We concur. Academic Affairs will designate staff to be responsible for policy development and review to be posted on an “Off-Campus Activities” website. This site will also aggregate policies related to the various activities under this rubric. Finally, Academic Affairs will develop a plan for distribution and training in these areas. To be completed by August 1, 2011.

RELEASE FORM/DIGITAL SIGNATURES

Recommendation 2

We recommend that the chancellor’s office:

a. Establish a systemwide policy requiring use of the Release of Liability, Promise Not To Sue, Assumption of Risk and Agreement to Pay Claims form for students participating in off-campus activities.

b. Finalize a systemwide digital signature policy and specifically clarify whether electronic acknowledgments by students of the Release of Liability, Promise Not To Sue, Assumption of Risk and Agreement to Pay Claims forms through student portals are acceptable.

c. Establish requirements to ensure that staff receives appropriate training on policies integral to performance of their responsibilities relating to digital signatures.
Management Response

We concur. Systemwide Risk Management and the Office of General Counsel have developed and codified through Executive Order 1051 the approved “waiver of liability”. This executive order was disseminated to campus Presidents on July 23, 2010.

Systemwide Risk Management in working with the Office of General of General Counsel will develop policy related to the use of electronic signatures on the waiver-of-liability and like kind of documents. Said guidelines will also establish requirements to ensure that staff receives appropriate training on policies integral to performance of their responsibilities relating to digital signatures. This will be completed by February, 2011.

STUDY ABROAD

PARTICIPANT DOCUMENTATION

Recommendation 3

We recommend that the chancellor’s office remind the campuses of the need to obtain necessary documentation for student participation in study abroad programs including, but not limited to, the liability releases and student health information.

Management Response

We concur. AA International Staff will prepare an AA Coded Memorandum including the policies, updates, and reminders resulting from the audit. The issue will be raised at the Provosts meeting and at a meeting of the Senior International Officers. To be completed by November 1, 2010.

AGreements

Recommendation 4

We recommend that the chancellor’s office:

a. Establish policy on the maximum period of time that study abroad/exchange agreements should be extended without formal review and renewal.

b. Remind the campuses of the need to maintain current, complete, and properly authorized agreements for all study abroad/exchange programs.

c. Ensure that appropriate delegations of authority are in place for those who sign study abroad and exchange agreements.

Management Response

We concur. AA International Staff will prepare an AA Coded Memorandum including the policies, updates, and reminders resulting from the audit. AA will work with General Counsel to establish a
standard duration for study abroad and exchange agreements. The issue will be raised at the Provosts meeting and at a meeting of the Senior International Officers.

AA will further remind campus that the authority to enter into agreements is delegated to the campus President and of the need to have a process for review and delegation of authority properly filed for those who sign agreements related to international activity. To be completed by November 1, 2010.

**EXCHANGE RECIPROCITY**

**Recommendation 5**

We recommend that the chancellor’s office:

a. Clarify the types of comparable expenses acceptable in student exchange programs.

b. Remind the campuses of the need to adequately document and demonstrate reciprocity in student exchange agreements.

**Management Response**

We concur. AA International Staff will prepare an AA Coded Memorandum including the policies updates and reminders resulting from the audit. The issue will be raised at the Provosts meeting and at a meeting of the Senior International Officers. To be completed by November 1, 2010.

**INDEPENDENT TRAVEL**

**Recommendation 6**

We recommend that the chancellor’s office:

a. Clarify and document systemwide policy on whether campuses should obtain emergency contact and arrival information on students traveling independently to/from CSU-related programs at international locations.

b. Advise campuses of policies on students traveling independently.

c. Establish requirements for campuses to monitor policy compliance for students traveling independently.

**Management Response**

We concur. Systemwide risk management will distribute a technical letter recommending that campuses collect applicable contact and travel itinerary information from students who travel independently to/from CSU-related programs at international locations. The technical letter will include recommended policies and good practices for a campus to implement related to student’s independent travel including but not limited to the establishment of requirements for campuses to follow in monitoring policy compliance and adherence to good foreign travel practices. To be completed by February, 2011.
FIELD TRIPS

DOCUMENTATION AND RECORD RETENTION

Recommendation 7

We recommend that the chancellor’s office:

a. Review and update existing field trip systemwide policies and records retention schedules to specifically identify field trip documentation and address required retention periods.

b. Establish a specific means for future review and maintenance of systemwide field trip policies to ensure that they are updated and communicated at appropriate intervals.

c. Remind the campuses of the need to retain field trip documentation for appropriate period.

Management Response

We concur. AA working with Risk Management will identify required documentation and retention periods. The responsibility for policy implementation is delegated to the campus President. To be completed by August 1, 2011.

ADMINISTRATION

Recommendation 8

We recommend that the chancellor’s office:

a. Establish a policy requiring campuses to identify all classes involving off-campus field trips.

b. Reinforce the requirement of campuses to monitor and document compliance with field trip policies and procedures.

Management Response

We concur. AA will develop a policy for campuses to identify all classes with a field trip and to monitor compliance with field trip policies. The responsibility for implementation is delegated to the campus President. To be completed by August 1, 2011.

COMMUNITY ENGAGEMENT

STATISTICS

Recommendation 9

We recommend that the chancellor’s office work with the campuses to improve the way in which service learning statistics are generated and documented.
Management Response

We concur. Community Engagement will work with campuses to improve data collection in three areas: possible implementation of Monterey Bay's PeopleSoft module, MYSLP (My Service Learning Placement) with majority of campuses, strengthen the APDB data collection process on individual campuses, and secure an annual or bi-annual systemwide survey of students' community engagement efforts. To be completed by August 1, 2011.

PARTNER AGREEMENTS AND SITE VISITS

Recommendation 10

We recommend that the chancellor’s office revisit Best Practices for Managing Risks in Service Learning and establish, document, and communicate realistic policy and minimum standards for required service learning activities, particularly site visits and community partnership agreements.

Management Response

We concur. Systemwide Risk Management and AA/Community Engagement will review its “Best Practices” manual and update or amend as applicable. The updated manual will be distributed systemwide and it will establish, document, and communicate realistic policy and minimum standards for required service-learning activities. To be completed by August 1, 2011.

INTERNSHIPS

Recommendation 11

We recommend that the chancellor’s office:

a. Establish and issue appropriate policies for the different types of internships.

b. Remind the campuses of the need to obtain internship documentation and monitor compliance with systemwide internship policies and procedures.

Management Response

We concur. In discussions with Risk Management AA will establish policies for internships (other than in the areas of teacher preparation and clinical placements which owing to their specialized nature are governed separately). The responsibility for implementing those policies is delegated to the campus President. To be completed by August 1, 2011.
September 20, 2010

MEMORANDUM

TO: Mr. Larry Mandel
   University Auditor

FROM: Charles B. Reed
      Chancellor

SUBJECT: Draft Final Report 09-54 on Off-Campus Activities, Systemwide

In response to your memorandum of September 20, 2010, I accept the response as submitted with the draft final report on Off-Campus Activities, Systemwide.

CBR/amd