

**STUDENT RECORDS & REGISTRATION**

**SYSTEMWIDE**

**Report Number 99-23**

**April 20, 2000**

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## ABBREVIATIONS

AACRAO	American Association of Collegiate Registrars and Admissions Officers
A&R	Admissions & Records
CSU	California State University
EO	Executive Order
FERPA	Family Education Rights and Privacy Act
I	Incomplete Authorized – an approved administrative grading symbol
OUA	Office of the University Auditor
SCT	Systems & Computer Technology Corporation
SIMS/R	Student Information Management System/Relational
SIS+	Student Information System Plus
W	Withdrawal - an approved administrative grading symbol

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## INTRODUCTION

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### PURPOSE

The primary purposes of this audit are to: furnish an independent appraisal of the student records and registration functions; ascertain compliance with established policies and procedures; determine adequacy of internal controls; and identify opportunities for operational improvements which would promote achievement of goals and objectives.

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

- ▶ systemwide requirements in executive orders 268, 320, and 382 have been implemented;
- ▶ only authorized grades/grade changes are posted to students' records;
- ▶ there are reasonable access and disclosure provisions for protected student records including safeguards preventing the release of personal and confidential information unless the written consent of the student has been received;
- ▶ students can examine the contents of their educational records and request amendments;
- ▶ campuses respond to requests for records within a reasonable period of time;
- ▶ transcripts are controlled;
- ▶ there is a reasonable records management program;
- ▶ there is equity in registration priorities;
- ▶ touch tone and voice response technologies are appropriately used; and
- ▶ add/drop procedures are consistently followed.

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### SCOPE AND METHODOLOGY

The scope of the student records audit, as presented in Attachment B, Agenda Item 2 of the January 1999 meeting of the Committee on Audit, included database integrity, security and confidentiality, and the enrollment process.

In the CSU, Executive Order (EO) 382 defines student records as follows:

Student records means any personally identifiable student-related information maintained by a campus whether recorded by handwriting, print, tape, film, microfilm or other material means.

The concept of “personally identifiable” defines the scope of student records, subject to certain well-defined exceptions. These exceptions include:

- a) personal records kept in the sole possession of the maker and not accessible or revealed to any other individual, e.g., a professor’s notes;
- b) police records used solely for law enforcement purposes;
- c) employment records; and
- d) health records created by a licensed physician, psychiatrist, psychologist, or other recognized professional or paraprofessional in connection with provision of treatments.

The Office of the University Auditor (OUA) has established an audit universe for the CSU and a breakdown of the universe into potential audit topics for risk assessment and ranking. Several topics are closely related to student records such as: analytic studies/institutional research (includes enrollment reporting); data processing centers, security management and data communications; and admissions and evaluations (includes residency determinations). For purposes of this audit, emphasis is placed on student records not otherwise covered in other OUA audits.

During the course of the audit, we visited eleven campuses (Chico, Fresno, Hayward, Long Beach, Los Angeles, Maritime Academy, Northridge, Pomona, San Jose, San Luis Obispo, and San Marcos.) We interviewed campus personnel and tested records pertaining to: grades, student records policy administration, integrity and security of student records, and registration.

We have not performed any auditing procedures beyond the date of our report. Accordingly, our comments are based on our knowledge as of that date and should be read with that understanding. Since the purpose of our comments is to suggest areas for improvement, comments on favorable matters are not addressed.

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## **BACKGROUND**

The primary student recordkeeping systems on the CSU campuses are automated databases supported on three different software packages as follows:

BANNER	SIS PLUS	SIMS/R	CHAMPLAIN
Bakersfield	Chico *	Fresno *	Maritime Academy *
Dominguez Hills	Fullerton	Northridge *	
Humboldt	Hayward *	San Diego	
Monterey Bay	Long Beach *	San Francisco	
Pomona *	Los Angeles *		
San Marcos *	Sacramento		
Sonoma	San Bernardino		
Stanislaus	San Jose *		
	San Luis Obispo *		

\* = Campuses Visited

The Banner and Student Information System Plus (SIS+) systems are products of Systems & Computer Technology (SCT) Corporation. The Student Information Management System/Relational (SIMS/R) database is a CSU developed system in an Oracle client/server environment. The student administration module of PeopleSoft will eventually replace these three systems. The current PeopleSoft implementation schedule has not been finalized. One recent plan has two different alternatives that carry forward the concept of campus groups or waves that will phase in over a period of time that may not start until late 1999 and not conclude until early 2006.

The Office of the University Auditor (OUA) completed an audit of student records in 1990 at the following seven campuses and summarized these audits in a systemwide report numbered 90-01:

CAMPUS	REPORT#
Chico	90-02
Humboldt	90-09
Pomona	90-08
Sacramento	90-05
San Francisco	90-06
San Luis Obispo	90-04
Sonoma	90-03

At the campuses, the registrar is typically part of an enrollment management function responsible for maintaining student records. In general, enrollment management reports to the vice president for academic affairs.

With the exception of the California Maritime Academy, the campuses visited were registering students predominantly through automated systems.

## **OPINION**

We visited the eleven campuses from March 14 to December 17, 1999 and audited the policies and procedures in effect at that time.

During the course of the audit, we:

- ▶ interviewed management and operating personnel;
- ▶ inspected facilities used to store student records;
- ▶ reviewed various documents, policies, and procedures; and
- ▶ tested selected controls and systems integral to student records and registration.

We found that the campuses manage student records reasonably well. Records were readily accessible for students to examine. However, similar to what we are reporting for the campuses, the Chancellor's Office has experienced delays in updating policies and procedures. There were a few isolated instances when the campuses inappropriately released protected information without prior authorization or adequate advance notification. Weaknesses in handling grades and grade changes and disaster recovery provisions regarding student records were also noted. These releases and control weaknesses were discussed with the campuses and not brought forward for systemwide disposition.

Areas that warrant the attention of systemwide management are mentioned in the executive summary. They are grouped according to the related EO.

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## **EXECUTIVE SUMMARY**

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

### **EXECUTIVE ORDER 268 [6]**

#### **INCOMPLETE GRADES [6]**

Use and conversion of incomplete grading symbols varied at the campuses visited. Issuing an "F" or "NC" after no further work is completed and posting this grade to the student record decreases the risk of inconsistent use of "I" grades and misinterpretation of grades received.

## **WITHDRAWAL PROCESS [7]**

None of the campuses visited was in full compliance with the withdrawal process described in EO 268. Clarifying CSU policy regarding withdrawals will result in a more consistent treatment of withdrawals and student records.

## **UNAUTHORIZED GRADING SYMBOLS [9]**

Several campuses were using unauthorized administrative grading symbols. Adherence to systemwide standards assures a uniform system of grading symbols throughout the CSU.

## **EXECUTIVE ORDER 320 [10]**

### **STUDENT MEMBERSHIP/PARTICIPATION - GRADE APPEAL COMMITTEES [10]**

Student participation on grade appeal committees was inadequate at five of the campuses visited. Adequate student representation/participation in grade appeal committees would mitigate due process issues.

### **ANNUAL REPORTING OF GRADE APPEAL CASES [11]**

Five campuses had not established procedures for submitting annual grade appeal reports to their presidents and campus faculty senates/councils. Preparing and submitting annual reports helps to ensure executive level oversight of the grade appeal process.

## **EXECUTIVE ORDER 382 [12]**

### **STUDENT RECORDS POLICY [12]**

More than half of the campuses reviewed had fragmented or out-of-date student records policies. Maintaining a current and consolidated policy reduces the risk of non-compliance with student record requirements and inconsistent implementation throughout the CSU.

### **BIENNIAL REVIEWS [13]**

None of the eleven campuses established procedures to review their student records information management practices on a biennial basis. Biennial reviews of such management practices help ensure that they are current and appropriate.

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## OBSERVATIONS, RECOMMENDATIONS, AND MANAGEMENT'S RESPONSES

### EXECUTIVE ORDER 268

#### INCOMPLETE GRADES

Use and conversion of incomplete grading symbols varied at the campuses visited.

Of the eleven campuses reviewed, three (Long Beach, Los Angeles and Northridge) varied from system requirements in terms of the administrative grading symbols or "I" grades and how these symbols appeared on student records as follows:

CAMPUS	ORIGINAL GRADE	GRADE AFTER 1 YEAR *
Long Beach	I	F, NC or any Passing Letter Grade Initially Assigned by the Instructor
Los Angeles	IN	I or NC
Northridge	I	IC

\* = If conditions for completion are not satisfied and no extensions have been approved.

EO 268 states:

An Incomplete shall be removed within one year following the end of the term during which it was assigned.... If the Incomplete is not removed within the prescribed time limit, or any extensions thereof, it shall be counted as a failing grade....

Management at the three campuses contended that Executive Order 268 is ambiguous, as they are unclear as to whether they must change "I" grades older than one year versus just treating these grades differently for purposes of grade point calculations. Campus management also interpreted the term "removed" to apply to the student's obligation to complete the course requirements. They went on to state that if the student satisfies the written conditions for removal of the "I," the campuses will change the "I" to a traditional letter grade ("A" through "F" or "CR" depending on grading options). However, if the student does not satisfy the conditions, there is disagreement on the necessity of changing the "I" to an "F" or "NC." In response, campuses have established grading symbols and computer program codes to include old "I" grades in grade point calculations. They have also annotated transcripts to explain the difference between a new "I" from a recent term and an "I" that is older than one year (without an approved extension).

The Long Beach campus does not necessarily count an "I" grade as an "F" or "NC." They permit faculty to assign an "I" when students have completed sufficient coursework to obtain a passing grade.

With no further action, a passing grade (as conditionally assigned by the instructor) is awarded after one year has elapsed.

Declining to issue an "F" or "NC" after no further work is completed and posting this grade to the student record increases the risk of inconsistent use of "I" grades and misinterpretation of grades received.

### **Recommendation 1**

We recommend that the Chancellor's Office review and update EO 268 on incomplete grading.

### **Management's Response**

See Management Response in Recommendation 3.

## **WITHDRAWAL PROCESS**

None of the campuses visited was in full compliance with the withdrawal process described in EO 268.

The campuses visited were not following several key provisions of the withdrawal process described in EO 268. The key provisions where full compliance was not met are outlined below in narrative.

- ▶ seven campuses did not always provide adequate documentation concerning the serious and compelling reason for withdrawals after the census date;
- ▶ seven campuses were not always securing approvals from both instructor and department chair or college dean for withdrawals that occurred after census date. In the last three weeks of instruction, a withdrawal request must be endorsed by an academic administrator appointed by the campus president; and
- ▶ two campuses were authorizing withdrawals from individual courses, rather than full withdrawals, during the last three weeks of instruction.

In addition, two campuses did not correctly calendar deadlines governing withdrawals at the beginning (after the census date) and end (last three weeks of instruction) of the term.

EO 268, dated September 1, 1977, states:

Withdrawals after the Census Date and prior to the last three weeks of instruction are permissible only for serious and compelling reasons. Permission to withdraw during this time shall be granted only with the approval of the instructor and the Department Chairman or Dean. All requests to withdraw under these circumstances and all approvals shall be made in writing on forms prescribed

by the campus. The requests and approvals shall state the reasons for the withdrawal. Copies of such approvals shall be kept on file.

Withdrawals shall not be permitted during the final three weeks of instruction except in cases, such as accident or serious illness, where the cause of the withdrawals is due to circumstances clearly beyond the student's control and assignment of an Incomplete is not practicable. Ordinarily, withdrawals of this sort will involve total withdrawal from the campus, except that credit, or an Incomplete may be assigned for courses in which sufficient work has been completed to permit an evaluation to be made. Requests for permission to withdraw under these circumstances shall be handled and filed as indicated in the preceding paragraph, except that such requests shall be endorsed by the Academic Administrator appointed by the President to act in such matters.

Several campuses expressed reluctance to document the basis for the withdrawal because they did not consider it necessary if the transaction was approved. One campus challenged the concept of requiring complete withdrawals in the last three weeks of instruction. The argument was twofold as follows:

- ▶ the make-up of the student population has changed since EO 268 was issued – for example, there are now more students who work while attending school; and
- ▶ using the same standard (the last three weeks of instruction) for both a semester basis and quarter basis campus is inequitable – there is a difference between withdrawing after twelve weeks with 80 percent of the semester completed and withdrawing after seven weeks and 70 percent of a quarter completed.

Forcing complete withdrawal when it is not necessary should be weighed against commitments for degree completion in a prescribed time and impacted enrollment capacity.

Failure to follow key provisions of the CSU withdrawal process leads to inconsistent treatment of withdrawals and student records.

## **Recommendation 2**

We recommend that the Chancellor's Office review and update EO 268 as it pertains to the withdrawal process.

## **Management's Response**

See Management Response in Recommendation 3.

## UNAUTHORIZED GRADING SYMBOLS

Campuses were using unauthorized administrative grading symbols.

Four of the eleven campuses visited were using grade symbols not approved by EO 268. The types of grade symbols used are included in the following table.

SYMBOL	DESCRIPTION
\$	Outstanding financial obligation
IN	Initial Incomplete
P	Pass/Fail Course
T	Transferred from another school
V	Validated by special exam
IC	Incomplete Charged

EO 268 stipulates that the administrative grading symbols of AU, I, RD, SP, W, and U shall be used as circumstances require. It further states that:

No other grading symbols except the traditional A, B, C, D, or F, or the non-traditional A, B, C, CR-NC shall be employed without the express approval of the vice chancellor, academic affairs.

In most cases, the campuses indicated that their grading symbol was a long-standing practice. They generally thought that they had obtained approval for the symbol. One campus mentioned that an unauthorized symbol was needed to accommodate the programming of the automated student records database.

Not adhering to systemwide standards compromises uniformity of the standard systemwide grading methodology.

### **Recommendation 3**

We recommend that the Chancellor's Office review and update EO 268 as it pertains to approval of grading symbols not otherwise authorized.

### **Management's Response**

Management's Response to Recommendations 1, 2, and 3 - Completion Date January 1, 2002

We concur with the recommendations to review and update Executive Order (EO) 268 as it pertains to incomplete grading, the withdrawal process, and approval of grading symbols not otherwise authorized.

The review and updating of EO 268 will require consultation with campus presidents, the Statewide Academic Senate, campus academic senates, provosts/vice presidents of academic affairs, vice

presidents of student affairs, and enrollment managers. The Chancellor's Office will initiate a review process with these constituent groups, a process that will require at least a year and perhaps as long as eighteen months to complete.

While this thorough and comprehensive review is conducted, campuses will be reminded to comply with the provisions of EO 268 that are not being reexamined. Campuses will be asked to review their current policies and practices to ensure compliance with EO 268 as they pertain to incomplete grading, the withdrawal process, and grading symbols until those sections are rescinded, superseded, or updated.

## EXECUTIVE ORDER 320

### STUDENT MEMBERSHIP/PARTICIPATION - GRADE APPEAL COMMITTEES

Student participation on grade appeal committees was inadequate.

We found the following:

- ▶ three of the campuses visited did not include student participation on committees that hear grade appeals;
- ▶ a fourth campus had fewer students on their committee than required by local policy; and
- ▶ a fifth campus had the student members participating in assignment of new grades.

EO 320, *Assignment of Grades and Grade Appeals*, dated January 18, 1980, indicates that one or more committees for hearing grade appeals shall provide safeguards to assure due process for both student and instructor. Such committee shall include student membership. Student members shall not participate in assignment of grades.

While various academic related groups solicit students to sit on their committees, it is up to student government organizations to make the actual assignments.

Inadequate student representation on grade appeal committees reduces the likelihood that students are given due process.

#### **Recommendation 4**

We recommend that the Chancellor's Office review and update EO 320 to strengthen requirements for student participation in grade appeals.

#### **Management's Response**

See Management Response in Recommendation 5.

## **ANNUAL REPORTING OF GRADE APPEAL CASES**

Five of the eleven campuses reviewed had not established procedures for submitting annual grade appeal reports to their president and campus faculty senates/councils.

EO 320 states:

No later than the beginning of the Fall term 1980, each campus shall implement policy and procedures covering the assignment of grades and grade appeals which include at least the following provisions:

13. Provision for annual reporting to the President and campus faculty Senate/Council on the number of cases heard and the disposition of each case.

Campus officials stated that, due to oversight, these reports were not prepared.

Failure to prepare and submit annual grade appeal reports reduces executive oversight of the grade appeal process.

### **Recommendation 5**

We recommend that the Chancellor's Office review and update EO 320 to strengthen requirements for completion of grade appeal reports.

### **Management's Response**

Management's Response to Recommendations 4 and 5 - Completion Date January 1, 2002

We concur with the recommendations to review and update EO 320 to strengthen the requirements for student participation in grade appeals and completion of grade appeal reports in a time manner.

It is important to ensure due process both for the student and instructor. Therefore, the review and updating of EO 320 will require consultation with the Statewide Academic Senate, campus academic senates, campus presidents, provosts/vice presidents of academic affairs, vice presidents of student affairs, and students. The consultation process will require at least a year and perhaps as long as eighteen months to complete.

While this thorough and comprehensive review is conducted, campuses will be reminded to comply with the provisions of EO 320 that are not being reexamined. Campuses will be asked to review their current policies and practices to ensure compliance with EO 320 as they pertain to student participation in the grade appeals process and to the campus completion of grade appeal reports in a timely manner until those sections are rescinded, superseded, or updated.

## EXECUTIVE ORDER 382

### STUDENT RECORDS POLICY

More than half of the campuses reviewed had fragmented or out-of-date student records policies.

EO 382 is dated March 10, 1982. It has been augmented with coded memorandums including Academic Affairs 91-06 issued March 23, 1991 and Academic Affairs Educational Support 92-18 dated February 28, 1992.

Section B.1 of EO 382 states:

Each campus shall adopt a written policy statement establishing the various procedures by which the campus intends to comply with FERPA, Section 67121 of the Education Code, and this Executive Order:

- a. The statement shall include:
  - (1) A list of the types of student records maintained, the titles and addresses of the officials responsible for maintaining them, and the location of the access list required by Section B.6 of this Executive Order;
  - (2) The criteria to be used by the campus in defining "official and employees" and in determining "legitimate educational interest;"
  - (3) The campus policy for reviewing and expunging student records;
  - (4) The rights of students to have access to student records;
  - (5) The procedures for challenging the content of student records;
  - (6) The cost, if any, which will be charged for reproducing copies of student records as permissible under Section C.1 of this Executive Order;
  - (7) The categories of directory information as designated by the campus; and
  - (8) The right to file complaints as specified in FERPA, Section 99.63 and Section 67121 of the Education Code.
- b. Copies of this statement shall be made available to students upon request.

Although campuses were not updating policies for various reasons, several contended that systemwide policy is outdated.

The absence of a current and consolidated student records policy increases the risk of non-compliance with student record requirements and inconsistent implementation throughout the CSU.

### Recommendation 6

We recommend that the Chancellor's Office review and update EO 382 to strengthen requirements for current and consolidated student records policy.

### **Management's Response**

See Management Response in Recommendation 7.

## **BIENNIAL REVIEWS**

None of the eleven campuses established procedures to review their student records information management practices on a biennial basis.

Section D of EO 382 addresses continuing review of student record information management practices as follows:

1. Each campus shall establish procedures for reviewing the campus information management practices concerning student records.
2. These reviews shall include, but not be limited to, an analysis of:
  - a. Appropriateness of campus policy statement on the privacy of student records;
  - b. Procedures for amending records including hearing procedures;
  - c. Procedures for disclosing information to students and others with legitimate educational interest;
  - d. Procedures for recordkeeping;
  - e. The policy for charging fees for copies of student records; and
  - f. The overall effectiveness of the campus student records policy and this Executive Order to determine the need for revision of these policies.
3. Such reviews shall be conducted biennially and the results shall be forwarded to the Chancellor by the President and shall include any recommended policy of procedural changes deemed necessary.

The absence of biennial reviews was previously addressed in recommendations 6 and 8 of the prior audit (90-01) on student records in 1990. At that time, a coded memorandum – Academic Affairs 91-06 was issued with the following comment:

In order to meet our commitments to implement the audit recommendations, the Chancellor's Office will cease requesting copies of revised campus student records policies and records of campus biennial reviews. We ask that campuses continue, however, conducting such reviews as stipulated in EO 382.

In the course of the biennial reviews, we ask that campuses pay special attention to the areas of possible difficulty outlined in the audit recommendation.

There was confusion regarding the continuing need for these reviews since they were no longer requested by the Chancellor's Office.

The absence of biennial reviews of student record information management practices decreases the likelihood that such practices are current and appropriate.

### **Recommendation 7**

We recommend that the Chancellor's Office review and update EO 382 requirements as they apply to biennial reviews of student record information practices.

### **Management's Response**

Management's Response to Recommendations 6 and 7 - Completion Date June 1, 2001

We concur with the recommendations to ensure that campus student records policies are current and consolidated and that the review of campus student records policies occurs biennially.

Review and updating of EO 382 requires consultation with appropriate parties such as the Office of General Counsel, provosts/vice presidents of academic affairs, vice presidents of student affairs, Statewide Academic Senate, and campus student record administrators, a process that will require twelve to eighteen months to complete.

While thorough and comprehensive review of EO 382 is conducted, campuses will be reminded to review current policies and practices to achieve full compliance with EO 382 and to ensure that campus student records policies are current and consolidated and that the review of campus student records policies occurs biennially.

Overarching Management Response to Recommendations 1 through 7

We concur with all recommendations in the *Student Records and Registration Audit Report, Audit Report Number 99-23*. Academic Affairs will begin a thorough and comprehensive review of Executive Orders 268, 320, and 382 with appropriate faculty, administrative, and student groups. It is our goal to consolidate all student records and registration policies and procedures into one executive order. We anticipate the process will be completed by January 1, 2002.

While thorough and comprehensive review of the executive orders is conducted campuses will be reminded to review current policies and practices to achieve full compliance with them. The reminder to campuses will be completed by September 1, 2000.

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## APPENDIX A: PERSONNEL CONTACTED

### SYSTEMWIDE

Ron Ashcroft	Manager of Quality Improvement Programs
Hilary Baker	Senior Director, Collaborative Management Systems
Jud Human	Director, Cooperative Administrative Systems Authority
Allison Jones	Senior Director, Access and Retention
Charles Lindahl	Associate Vice Chancellor, Academic Affairs
Marsha Nakanishi	Senior Director, Analytic Studies
Jolayne Service	Dean, Academic Program Planning
Nancy Sprotte	Associate Director, Enrollment Management Services

### CALIFORNIA STATE UNIVERSITY, CHICO

Manuel A. Esteban	President
Caroline Aldrich-Langen	Director, Academic Advising Services
Tom Beckman	Administrative Director – Student Health Center
Jan Burnham	Director, Student Financial Services
Annette Edwards	Director, Financial Aids Office
Mari English	Records Clerk
Aron Graham	Administrative Software Developer
Dennis Graham	Vice President for Business and Finance
Don Graham	Director, Counseling
Darlene Gross	Financial Operations and Personnel Manager – University Housing and Food Services
Robert L. Hannigan	Vice Provost for Enrollment Management
Ron Henning	Supervising Analyst/Programmer
Barney Hope	Chair, Economics Department
Michelle Korte	Financial Analyst for External Reporting and Audits
Deborah Kuechel	Administrative Operations Analyst
Pam Johnstone-Lindemann	Records Supervisor
Linda MacMichael	Director, Admissions and School Relations
Debbie McElroberts	Director, Computing Services
Paula Powell	Registration Supervisor
Bruce Rowen	Director, Student Records and Registration
George Wellman	Director of Financial Services
Noele Winans	Director, Career Planning and Placement
Mike Wood	Coordinator, Technical Support Services – Enrollment Management
Judie Zachai	Director, Testing

### CALIFORNIA STATE UNIVERSITY, FRESNO

John Welty	President
Josie Almeida	Manager, Student Financial Services

Richard Arndt	Director, Advising and Testing Services and Chair, Student Academic Petitions Committee
Jeanie Artist	Operations Specialist – Enrollment Services Information Systems
Cindy Banuelos	Administrative Assistant to Registrar
Tina Beddall	Registrar
Nancy Bjordahl	Director of Enrollment Information Systems
Robin Button	Administrative Assistant, Department of Criminology
Rik Clausen	Associate Director, Administrative Services – Information Technology Services
Vivian Franco	Interim Director, Admissions, Records & Evaluations
Mark Hays	Systems Analyst - Enrollment Services Information Systems
Diane Hazeltine	Administrative Assistant, Department of Foreign Languages and Literature
Robert Hernandez	Executive Director, Federal Programs and Judicial Affairs
Karen Johnson	Administrative Assistant, Department of Industrial Technology
Hope Lindau	Systems Analyst - Enrollment Services Information Systems
Donna Mills	Assistant to Vice President for Student Affairs
Kathy Pawlowski	Administrative Assistant to Provost
Glori Riojas	Administrative Assistant, Department of Computer Science
Chris Robinson	Internal Auditor
Judy Sakaki	Vice President, Student Affairs and Dean of Students
Sue Shaw	Administrative Assistant, Department of Nursing
Patricia Tift	Administrative Assistant to the Vice President for Administration
Bob Vega	Director, Accounting Services
Bernie Vinovski	Assistant Vice President for Enrollment Services

CALIFORNIA STATE UNIVERSITY, HAYWARD

Norma S. Rees	President
Mariko Abe	Administrative Support Coordinator, Music Department
Michelle Barreiro	Clerical Assistant, School of Arts
Carl Bellone	Interim Assistant Vice President, Enrollment Services
Yvonne Brandenburg	Accounts Receivable Manager
Ann Cambra	Coordinator, Department of Statistics
Frank Correia	Director, Data Center & Network Operations
Kathryn Dulkie	Office Manager, Department of Accounting
Donna Gill	Student Record Coordinator
Bonnie Guiomar	Payroll Officer
Sandy Heisey	Associate Director, Assessment and Testing
Judy Heisler	Registration Assistant
Juanita Higaes	Registration Coordinator
JoAnne Hill	Benefits Manager, Human Resources
Mary Hootman	General Accounting & Financial Reporting Manager
Mary Hubins	Registrar
Betty Huff	Assistant Vice President, Enrollment Services
Neal Hoss	Controller
Vernon Kam	Chair, Department of Accounting

Ed Keller	Chair, Department of Mathematics and Computer Science
Mack Lovett	Assistant Vice President, Instructional Services
Kent McKinney	Director, Information Systems
Louise Martinez	Transcript Coordinator
Richard Metz	Vice President, Administration & Business Affairs
Sandra Moniz	Director, Student Data Systems
Jeannette Monroe	Supervisor, Graduation and Evaluation
Gladys De Necochea	Vice President, Student Affairs
Dana Martin Newman	Associate Chair, Teacher Education
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Susan Alvarez	Evaluation Officer, Enrollment Services
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Steven Katz	Director of Judicial Affairs, Judicial Affairs
Nancy Cohn	Records Manager, Enrollment Services
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Gerry Fernandez	Equipment Systems Specialist, Enrollment Services
William Griffith	Vice President for Administration and Finance
Carol Grutzmacher	Coordinator, College of Business Admissions and Advising
Jeff Haas	Analyst/Programmer, Enrollment Services
Kathleen Hext	University Internal Auditor
Marilyn Jensen	Associate Vice President, Academic Affairs
Ellie Johnson	Assistant Coordinator, College of Business Admissions and Advising
Sharon King	Administrative Assistant, Enrollment Services
Laura Kingsford	Department Chair, Biological Sciences

Lena Large	Hard Copy Records Manager, Enrollment Services
Ron Lee	Associate Vice President, Information Management and Analysis
Shirley Looney	Records Clerk, Transcripts
Michael Markoski	Director, Information Technology Services
Marjorie Mashburn	Cashier Supervisor, Cashiering
Vicki McAlister	Security Administrator, Information Technology Services
Connie McCarroll	Coordinator, College of Business Administration
Jonathan Monat	Department Chair, Management and Human Resources Management
Leah Nieto	Analyst/Programmer, Enrollment Services
Wayne Phillips	Analyst/Programmer, Enrollment Services
Keith Polakoff	Associate Vice President, Instructional Programs
Kathy Smalley	Administrative Assistant, Academic Affairs
Arthur Wayman	Department Chair, Mathematics
Leslie Wolbers	Student Accounts Service Manager, Accounts Receivable
Corrie Zinn	Department Secretary, Mathematics

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Hildebrando Dominguez	Employee Relations Coordinator, Human Resources
Loretta Encinas	Administrative Assistant, Office of Student Affairs
Stephen Felszeghy	Department Chair, Mechanical Engineering
Steven Garcia	Vice President, Administration and Finance
David J. Godoy	Assistant Vice President, Student Affairs
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Bruce Griffin	ITC Consultant, Administrative Technologies
Bob Hoffman	Operations Manger, Information Resource Management
Nancy Kudo-Hombo	Manager of Accounting and Administration, Academic Technology Support
Julie Hopkins	Administrative Support Assistant, Enrollment Services
Tim Ingersoll	Director, Data and Network Communications Information Resources Management
Rosa Jemenez	Department Secretary, Mechanical Engineering
Karen Johnson	Associate Dean, School of Health and Human Services
Larry Jordan	Director, Analytical Studies
Mary Kulick	Assistant Registrar for Records
Yuet Lee	University Internal Auditor
Anthony Longhetti	Acting Department Chair, Criminal Justice
Susan Mason	Acting Department Chair, Theatre Arts and Dance
Marcie Mora	Office Coordinator for Advisement, School of Natural and Social Sciences

Jesse Murillo	Department Secretary, Psychology
Diane Paramo	Director, Cashiering Services
Connie Porras	Department Secretary, Theatre Arts and Dance
Peter Quan	Associate Vice President for Information Resources Management
Jennifer Revvelta	Employee Relations Coordinator, Human Resources
Michael Roffe	Department Chair, Psychology
Trudy Sanders	Administrative Operations Analyst, School of Health and Human Services
Susan Thorn	Administrative Support Assistant, Enrollment Services
Andrew Winnick	Associate Vice President, Academic Affairs
Ron Witte	System Analyst, Information Resources Management
Joan Woosley	University Registrar

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Lee Bateman	Chief Financial Officer
Charlie Bonham	Vice President for Administration and Student Services
Jay Christofferson	Vice President, Academic Affairs
Marjo Crowley	Director, Human Resources
Suzanne Dolan	Director, Student Health Center
Deborah Fischer	Student Records Officer
Cletus Gephart	Chair, Department of Maritime Operations
Steve Kreta	Academic Dean
Robert Lago	Chair, Dept of Naval Science
Aaron Martin	Dean of Enrollment Services
Patricia McCarthy	Information Technology Technician
Harriett Millett	Student Conduct Coordinator
Christy Redford	Manager, Accounting
David Sears	Chair, Department of Maritime Management
Earl Summers	Manager, Technical Services
Robert Stewart	Chair, Department of Business Administration
James Wheeler	Chair, Department of General Studies
Robert Wright	Director of Institutional Research

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Robert Dane	Director, Undergraduate Studies
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Robin Ferguson	Administrative Assistant to the Vice President for Student Affairs
Eric Forbes	Director of Operations, Admissions & Records

Don Foster	Computer Operations Manager
Janice Griffin	Manager of Operations, University Controller's Office
Robert Kiddoo	University Controller
Magnhild Lien	Chair, Department of Mathematics
Steve Montgomery	Director of Human Resources
James Moore	Director, Central Computing Services
Lorraine Newlon	Director of Articulation, Admissions & Records
Bob Noreen	Chair, Department of English
William Rivers	Chair, Department of Mechanical Engineering
Delia Rudiger	Chief of Staff to the Interim President
James Sullivan	Vice President for Administration and Finance
William Watkins	Assistant Vice President for Student Life
Peter Weigand	Chair, Department of Geological Sciences
Dorothy Weisinger	Supervisor, Admissions and Records
Earl Weiss	Chair, Department of Accounting and MIS

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Anne Marie Bird	Associate Dean, Letters Art, & Social Services
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Naomi Caldwell	Payroll Services Manager
Burk Casey	Analyst/Programmer Payroll
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Yi Cheng	Chair, Electrical & Computer Engineering
Peter Cobo	Information System, University Advancement
Christine Coleman	Information Resources Coordinator, Institutional Research and Planning
Anahid Crecelius	Chair, Food, Nutrition & Consumer Science Department
Alice Cuenco	Assistant Director, University Financial Services
Sue-Ann Davis	Associate Registrar
Yvonne Flores	Clerical Assistant, Public Safety
Tim Fraser	Data Base Administrator
Steven Frieze	Interim director, Institutional Research & Planning
Linda Gaschler	Academic Test Officer, Test Center
Socorro Gomez	Administrative Assistant Advisor, International Business and Marketing
Nancy Hendricks	Lead Records Specialist
Elhami Ibrahim	Associate VP for Academic Programs
Pat Jefferies	Support Desk Specialist, Instructional & Information Technology Division
Jan Jette	Student Record Analyst, College of Engineering
David Johnson	Interim Director of Judicial Affairs

Nancy Kropf	Director of Human Resources
Rose Kukla	Registrar
Dawin Labordo	Executive Director, Finance and Administrative Services
Peggy Madigan	Assistant Coordinator Student Affairs Division
Sue Moore	Electrical & Computer Engineering secretary
Krista Miner	Student Assistant
Carl Rathmann	Interim Dean, College of Engineering
Janet Rice	Help Desk Representative, Computing Resource Center
Lisa Rotunni	Project Associate, Instructional & Information Technology Division
Jane Self	Senior Payroll Coordinator
Marcia Smith	Lead Enrollment Service Representative
Kathy Street	Senior Director Enrollment Services
Gayle Savarese	History Department Secretary
Karin Schott	Enterprise Computing Analyst
Linda Taylor	Administrative Assistant Enrollment Services
Abel Zamora	Analyst Enterprise Computing

#### SAN JOSE STATE UNIVERSITY

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Lisa Beltran	Records Coordinator
Michael Burke	Department Chair, Mathematics and Computer Science
Valerie Caviel	Supervisor, Student Data
Valerie Chapman	Coordinator, Resource Center Lobby
Jean Dahl	Consultant, Computer Center
DeAnna Diaz	Secretary, Mathematics and Computer Science
Anita Farris	Secretary, Aviation
Carolyn Flading	Secretary, Music and Dance
Kathryn Hill	Interim Director, Information Systems
Pearl Howell	Director, Payroll Services
Young Kang	Secretary, Urban and Regional Planning
Dennis Kyne	Director, Information Systems and Training, A&R
Ted Lukas	Department Chair, Music and Dance
Eric Matthews	Senior Network Analyst, A&R
Beverly Miles	Ombudsperson
Nellie Militante	Payroll Technician
David Neel	Department Chair, Aviation
Phyllis O'Balle	Supervisor, Student Resource Center
Dora Ozawa	Administrative Assistant, A&R
Marilyn Radisch	Director, Records and Registrations
Monica Rascoe	Vice President for Student Affairs
Paul Siegel	Manager, Accounting and Costing Accounting
Norma Tamayo	Clerical Assistant, Electrical Engineering
Linda Vasquez	Senior Director, Business Operations
Louisa Wang	Associate System Analyst, A&R
Leon Washington	Associate Vice President, Enrollment Services



Rochelle Boehning	Program Director, Department of Computer Science
Richard Bray	Program Director, Department of Biology
Deborah Coronado	Assistant Director, Human Resources Management
Regina Eisenbach	Center Director, Service Sector Management, College of Business Administration
Ken Guerrero	Assistant Director, Student Financial Services
Jennie Green	Interim Dean, College of Business Administration
Cherine Heckman	Director, Office of Registration and Records
Alice Hoskins	Transcripts/Registration Specialist
Mike Irick	Unix System Administrator
Richard Karas	Vice President for Academic Affairs
Ron Henning	Supervising Analyst/Programmer
Sandra Kuchler	Dean of Students
Toby Mandel	Information Assistant, Office of Registration and Records
Michelle Ojeda	Supervisor, Financial Aid Business Office
Diane Petersen	Programmer/Analyst, System Development/Software Engineering
Sandra Punch	Director, Career Assessment Center
Richard Riehl	Executive Director of Enrollment Services
Jerri Richards	Technical Projects Coordinator
Shawn Siah	Assistant to the Executive Director of Enrollment Services
Carmen Villa	Administrative Assistant to the Executive Director of Enrollment Services
Wayne Veres	Director of System Development and Software Engineering/Computing and Telecommunications
Ellen Villalobos	Supervisor, Registration and Records
Mary Waddell	Associate Dean of Students
Kathleen Watson	Interim Associate Dean, College of Business Administration



# THE CALIFORNIA STATE UNIVERSITY

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DAVID S. SPENCE  
 EXECUTIVE VICE CHANCELLOR  
 CHIEF ACADEMIC OFFICER

**RECEIVED**  
 University Auditor

MAY 19 2000

May 19, 2000

The California State  
 University

**To:** Larry Mandel  
 University Auditor

**From:** David S. Spence *David Spence*  
 Executive Vice Chancellor and  
 Chief Academic Officer

**Subject:** **Management Response to Recommendations of Audit Report  
 Number 99-23, *Student Records and Registration, Systemwide***

The findings and recommendations included in the Student Records and Registration Audit Report, Audit Report Number 99-23 have been reviewed by Academic Affairs. Our response to each recommendation appears on the attachment.

We appreciate the opportunity to review and comment on the recommendations that address CSU student records and registration policies. Please feel free to contact Allison Jones or Nancy Sprotte if you have any questions about our response to the audit recommendations.

DSS/agj

attachment

cc: Charles B. Reed  
 Charles W. Lindahl  
 Allison G. Jones  
 Nancy Sprotte

**MANAGEMENT RESPONSE TO  
STUDENT RECORDS AND REGISTRATION  
SYSTEMWIDE**

**Report Number 99-23  
April 20, 2000**

**Recommendation 1**

We recommend that the Chancellor's Office review and update EO 268 on incomplete grading.

**Recommendation 2**

We recommend that the Chancellor's Office review and update EO 268 as it pertains to the withdrawal process.

**Recommendation 3**

We recommend that the Chancellor's Office review and update EO 268 as it pertains to approval of grading symbols not otherwise authorized.

**Management's Response to Recommendations 1, 2, and 3 – Completion Date January 1, 2002**

We concur with the recommendations to review and update Executive Order (EO) 268 as it pertains to incomplete grading, the withdrawal process, and approval of grading symbols not otherwise authorized.

The review and updating of EO 268 will require consultation with campus presidents, the Statewide Academic Senate, campus academic senates, provosts/vice presidents of academic affairs, vice presidents of student affairs, and enrollment managers. The Chancellor's Office will initiate a review process with these constituent groups, a process that will require at least a year and perhaps as long as eighteen months to complete.

While this thorough and comprehensive review is conducted, campuses will be reminded to comply with the provisions of EO 268 that are not being reexamined. Campuses will be asked to review their current policies and practices to ensure compliance with EO 268 as they pertain to incomplete grading, the withdrawal process, and grading symbols until those sections are rescinded, superseded, or updated.

**Recommendation 4**

We recommend that the Chancellor's Office review and update EO 320 to strengthen requirements for student participation in grade appeals.

**Recommendation 5**

We recommend that the Chancellor's Office review and update EO 320 to strengthen requirements for completion of grade appeal reports.

**Management's Response to Recommendations 4 and 5 – Completion Date January 1, 2002**

We concur with the recommendations to review and update EO 320 to strengthen the requirements for student participation in grade appeals and completion of grade appeal reports in a time manner.

It is important to ensure due process both for the student and instructor. Therefore, the review and updating of EO 320 will require consultation with the Statewide Academic Senate, campus academic senates, campus presidents, provosts/vice presidents of academic affairs, vice presidents of student affairs, and students. The consultation process will require at least a year and perhaps as long as eighteen months to complete.

While this thorough and comprehensive review is conducted, campuses will be reminded to comply with the provisions of EO 320 that are not being reexamined. Campuses will be asked to review their current policies and practices to ensure compliance with EO 320 as they pertain to student participation in the grade appeals process and to the campus completion of grade appeal reports in a timely manner until those sections are rescinded, superseded, or updated.

**Recommendation 6**

We recommend that the Chancellor's Office review and update EO 382 to strengthen requirements for current and consolidated student records policy.

**Recommendation 7**

We recommend that the Chancellor's Office review and update EO 382 requirements as they apply to biennial reviews of student record information practices.

**Management's Response to Recommendations 6 and 7 – Completion Date June 1, 2001**

We concur with the recommendations to ensure that campus student records policies are current and consolidated and that the review of campus student records policies occurs biennially.

Review and updating of EO 382 requires consultation with appropriate parties such as the Office of General Counsel, provosts/vice presidents of academic affairs, vice presidents of student affairs, Statewide Academic Senate, and campus student record administrators, a process that will require twelve to eighteen months to complete.

While thorough and comprehensive review of EO 382 is conducted, campuses will be reminded to review current policies and practices to achieve full compliance with EO 382 and to ensure that campus student records policies are current and consolidated and that the review of campus student records policies occurs biennially.

**Overarching Management Response to Recommendations 1 through 7**

We concur with all recommendations in the *Student Records and Registration Audit Report, Audit Report Number 99-23*. Academic Affairs will begin a thorough and comprehensive review of Executive Orders 268, 320, and 382 with appropriate faculty, administrative, and student groups. It is our goal to consolidate all student records and registration policies and procedures into one executive order. We anticipate the process will be completed by January 1, 2002.

While thorough and comprehensive review of the executive orders is conducted campuses will be reminded to review current policies and practices to achieve full compliance with them. The reminder to campuses will be completed by September 1, 2000.

THE CALIFORNIA STATE UNIVERSITY  
OFFICE OF THE CHANCELLOR

BAKERSFIELD

CHANNEL ISLANDS

June 14, 2000

CHICO

**MEMORANDUM**

DOMINGUEZ HILLS

FRESNO

TO: Larry Mandel  
University Auditor

FULLERTON

HAYWARD

FROM: Charles B. Reed 

HUMBOLDT

SUBJECT: Draft Final Report 99-23 on *Student Records & Registration*,  
Systemwide

LONG BEACH

LOS ANGELES

In response to your memorandum of June 13, 2000, I accept the response  
as submitted with the draft final report on the *Student Records &  
Registration, Systemwide*.

MARITIME ACADEMY

MONTEREY BAY

NORTHRIDGE

CBR/cw

POMONA

Enclosure

SACRAMENTO

cc: Dr. David Spence, Executive Vice Chancellor/Chief Academic Officer

SAN BERNARDINO

SAN DIEGO

SAN FRANCISCO

SAN JOSE

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS