

**STUDENT ACTIVITIES**  
**SONOMA STATE UNIVERSITY**

**Report Number 04-36**  
**August 26, 2004**

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**ABBREVIATIONS**

ASI	Associated Students Inc. of Sonoma State University
CAS	The Council for the Advancement of Standards in Higher Education
CSU	California State University
SNAPS	Student Needs and Priorities Survey
SSU	Sonoma State University
SSUC	Sonoma Student Union Corporation

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## **EXECUTIVE SUMMARY**

As a result of a systemwide risk assessment conducted by the Office of the University Auditor during the last quarter of 2002, the Board of Trustees, at its January 2004 meeting, directed that *Student Activities* be reviewed. Student Activities was partially audited in 1980 in a sequence of audits on Instructionally Related Activities fees.

We visited the Sonoma State University (SSU) campus from March 15, 2004, through April 23, 2004, and audited the procedures in effect at that time.

In our opinion, existing policies and procedures at SSU provided a reasonable level of control over student activities. Student activities at SSU were a tripartite responsibility of the campus and two of the auxiliary organizations – the Associated Students Inc. of SSU and the Sonoma Student Union Corporation (SSUC). Activities that were held on-campus received more oversight than those occurring off-campus.

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]**

Student activities at SSU had not been regularly evaluated using the self-assessment instruments similar to those provided by The Council for the Advancement of Standards in Higher Education. Program self-assessment and comparison with industry standards promotes better quality student activity programs and maximizes the use of student activities resources.

### **STUDENT ORGANIZATIONS [7]**

Controls over the chartering process for student organizations did not ensure compliance with chartering requirements and complete documentation. Approval was not recorded on current chartering forms; some chartering packages lacked evidence of required minimum membership and student status and were missing other required forms; and there was a lack of attendance at mandatory chartering meetings. The availability and involvement of student club and organization advisors needed improvement. Interviews with eight club advisors disclosed that some advisors were more active than others in interacting with student clubs and organizations, and orientation and training of advisors occurred informally and mainly on an individual basis through inquisitive advisors who sought out knowledgeable resources and asked the right questions. Additionally, the campus did not have arrangements for alternates if the advisors were going to be inaccessible for extended periods, the website for advisors was under construction, and advisor requirements were minimally monitored. Further, controls over student officers and elections needed improvement. The campus had not defined minor representative officers or clearly documented eligibility checks for student election candidates.

## **ACTIVITY/EVENT MANAGEMENT [12]**

The SSUC assisted in administering food sales for student clubs and event signage for the campus without a written agreement. Campus policy required that all food preparation, distribution, and sale by student clubs and organizations must be done in the presence of a certified food handler who was an employee of the SSUC, and signage advertising for student activities was maintained by a SSUC posting crew. In addition, controls over intramural and club sports did not ensure that the SSUC obtained informed consent forms for all intramural participants, and the campus had not completed an update to the 1993 *Sports Club Manual*, which was to include improved management of the risks inherent in sports club participation.

## **STUDENT JUDICIARY [14]**

The campus did not always record disciplinary probation status in the student's academic record. Faculty who assigned academic sanctions for cheating or plagiarism, as part of an informal resolution, did not have a system for aggregating information on repeat violations or for those that occurred in different departments.

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## INTRODUCTION

### **BACKGROUND**

The 2003 *Book of Professional Standards for Higher Education* by The Council for the Advancement of Standards in Higher Education (CAS) states that campus activities are the combined efforts of clubs and organizations established for and/or by students. CAS published these standards for educators and policy-makers based on input from multiple industry experts since approximately 1986. The most recent CAS publication (2003) contains 29 functional area standards, including campus activities, fraternity and sorority advising, judicial programs, and recreational sports programs. One stated purpose of these standards is to provide practitioners with industry best practices that any college or university program can achieve.

Many auxiliary organizations in the California State University (CSU), notably the associated students and student unions, are integrally involved with student activities. The associated students typically provide funding from student body organization fees to student organizations that are chartered/recognized by the campus. Student unions develop and market programs primarily for students. Both auxiliary organizations fund or co-sponsor specific events, at which students are the primary participants.

On a systemwide basis, the CSU conducts a Student Needs and Priorities Survey (SNAPS) approximately once every five years. The SNAPS includes evaluations for certain student activities-related factors, and the students are requested to prioritize functions, activities, and services in the order of importance to them, as well as assign a quality rank. There are four student activities-related factors evaluated in SNAPS, as follows:

- ▶ Student clubs and organizations.
- ▶ Recreational programs and/or activities.
- ▶ Student union activities.
- ▶ Fraternities and sororities.

In the 1989 SNAPS, these factors were ranked in the bottom quartile in terms of importance to the students in meeting their educational objectives. The highest quality rating was given to student clubs and organizations.

At Sonoma State University (SSU), the campus chartered/recognized 118 student clubs and organizations in fiscal year 2003/04, encompassing approximately 8,400 students. There were no statistics maintained by the campus on the type or volume of student activities.

In a September 2002 article entitled, “Who’s Responsible for Student Clubs?,” United Educators describes the relationship between student clubs and the institution as follows:

Some institutions assume close supervision over student clubs, others take a more distant stance, and still others blend the two approaches. At the two extremes, the two approaches are sometimes termed “hands-on” and “hands-off.” In between is a hybrid model, an “arm’s-length relationship,” in which the institution controls some aspects of student activities, but leaves others for the clubs to manage. None of the methods is considered foolproof.

Institutions that implement the hands-off model frequently do so, among other reasons, to insulate themselves from potential liability. Some legal experts, however, question this strategy's effectiveness. They believe that a court would find a university had a duty to manage a student club regardless of the formal limits on institutional control. (It is, of course, difficult to predict legal outcomes in the abstract, because factors such as state law and the precise facts of a dispute carry enormous weight.) At the other end of the control spectrum, the hands-on approach may be desirable but impractical due to resource limitations.

Institutions will have to decide where they should be along this control spectrum, and with the advice of legal counsel, consider developing a consistent overall approach to managing student clubs. Additionally, it might be advisable for that policy to address such issues as the use of the institution's name, logo, and resources.

At SSU, the campus closely regulated the activities that student clubs and organizations could engage in. For off-campus activities, sponsored by student organizations, the campus was uninvolved unless after-the-fact intervention was required. However, for events sponsored by campus organizations (Associated Students Inc., Sonoma Student Union Corporation, and university programs/departments) the *Off Campus Events* policy, dated August 15, 2000, was in place. The campus did accept and post flyers and permit other types of advertisement using the club/organization name for the off-campus activities. Naming conventions for student clubs and organizations typically included the name of the campus.

In November 2000, the chancellor appointed a committee to review the CSU's alcohol policies and prevention programs. The committee's final report was presented to the Board of Trustees in July 2001. At that board meeting, the Trustees passed a resolution (Resolution of the Committee on Educational Policy 07-01-03) to adopt and implement the committee's recommendations. These recommendations included policy directions, activation of alcohol advisory councils on each campus, mechanisms for assessing and reporting on program outcomes, and resource commitments. At the July 2003 meeting, the Trustees received, as an information item, the first biennial report on the CSU's alcohol policies and prevention program.

Pursuant to Education Code §66017 and §66300, the CSU Trustees adopted Title V §41301 - §41304 that defines the student code of conduct and establishes the basis for administratively sanctioning violations through such means as probation, suspension, or expulsion. The various causes for student discipline include academic dishonesty, obstruction or disruption of the educational process, unauthorized use of or damage to property, abusive behavior such as hazing, and violation of any order of a campus president. CSU systemwide requirements on student discipline are addressed in Executive Order 628, *Student Disciplinary Procedures*, dated September 30, 1994. Other guidance is provided through the CSU General Counsel's *Student Disciplinary Manual* issued in November 1994.

At SSU, the campus handled an average of approximately 180 cases annually from 1997 through 2002. In fiscal year 2002/03, the campus handled 302 student discipline cases. The following administrative sanctions were imposed for student discipline:

SANCTION	NUMBER
Expulsion	0
Suspension	10
Probation	95
Other	265
<b>Total</b>	<b>370</b>

Other sanctions included such things as community service, counseling, and restitution. The number of sanctions exceeded the number of cases, because one case could have multiple sanctions or probation/suspension concurrent with or following a lesser sanction. All student disciplinary proceedings at SSU are settled by conferences. Even though there had been no recent disciplinary hearings, the campus was in the process of training and appointing three hearing officers.

Title V §41401 addresses student elections. An uncoded memorandum to campus presidents entitled *Minimum Academic Qualifications for Student Office Holders*, dated August 29, 1997, identifies requirements for election candidates and incumbent office holders, such as grade point average and unit loads.

### **PURPOSE**

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

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

- ▶ Administration of student activities provides effective operating controls and governance processes, clear lines of organizational authority, and documented policies and procedures.
- ▶ The campus has recently completed or undertaken initiatives to improve student activities operations and maximize resources, and adopted best practices inherent in student activities industry standards.
- ▶ Qualified individuals and volunteers are used to adequately staff student activities programs.
- ▶ Student privacy is adequately protected from inappropriate disclosure of club/organization affiliation and activity participation.
- ▶ Policies and procedures prohibit discrimination in recognition of student organizations but include reasonable measures for detection/prevention of unauthorized group affiliations.
- ▶ Students are adequately informed of the existence of student clubs/organizations and participation opportunities.
- ▶ Student office holders are elected under reasonable procedures and meet eligibility qualifications.

- ▶ Roles and responsibilities of faculty/staff advisors to student clubs and organizations are defined, and expectations are understood.
- ▶ Prohibitions against discrimination and hazing have been communicated and are being monitored, and CSU alcohol/drug policies and prevention programs have been integrated into student activities.
- ▶ Reasonable procedures for prevention, discovery, and disposition of unapproved student activities have been established.
- ▶ Student activities are properly supervised and evaluated, and rules and regulations for student safety in activities/events have been established and enforced.
- ▶ CSU requirements for disciplinary proceedings are followed, and disciplinary sanctions have been equitable/fair and student rights protected.
- ▶ Recent prohibitions against unauthorized use of academic presentations for commercial purposes have been implemented.

### **SCOPE AND METHODOLOGY**

The proposed scope of the audit, as presented in Attachment B, Agenda Item 2 of the January 27-28, 2004, meeting of the Committee on Audit, stated that *Student Activities* includes activities relating to social and co-curricular programs, recreational sports, clubs, organizations, and student judicial review. Potential impacts include inappropriate activities, personal injury, and litigation. Student activities administered solely by CSU auxiliary organizations have been excluded from this review.

Our study and evaluation were conducted in accordance with the *Standards for the Professional Practice of Internal Auditing* issued by the Institute of Internal Auditors, and included the audit tests we considered necessary in determining that operational and administrative controls are in place and operative. This review emphasized, but was not limited to, compliance with state and federal laws, Board of Trustee policies, and Office of the Chancellor and campus policies, letters, and directives. Industrywide standards were also considered. The audit review period was fiscal year 2002/03 to date. At SSU, the office of campus life reporting to the vice president for student affairs has overall responsibility for student activities. The coordinator of student discipline also reports through the vice president for student affairs.

We focused primarily upon the internal administrative, compliance, and operational controls over student activities management. Specifically, we reviewed and tested:

- ▶ Student activities policies and procedures.
- ▶ Student activities staffing and organization plans.
- ▶ Chartering/recognition of student clubs and organizations.
- ▶ The processes for planning, approving, and supervising student activities.
- ▶ Student election procedures and monitoring.
- ▶ Student judicial activity.

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## **OBSERVATIONS, RECOMMENDATIONS, AND CAMPUS RESPONSES**

### **GENERAL ENVIRONMENT**

Student activities at Sonoma State University (SSU) had not been regularly evaluated using the self-assessment instruments provided by The Council for the Advancement of Standards in Higher Education (CAS).

According to the 2003 *Book of Professional Standards for Higher Education*, CAS has specifically established self-assessment guides for each set of standards and recommended a seven-step process for implementation. These steps range from establishing a self-assessment team to preparing an action plan for program enhancement. However, there was no mandated frequency for self-assessment at SSU.

The vice president for student affairs stated that he found CAS valuable when initially establishing the organization shortly after his appointment, but after the initial use, it became more difficult to repeat, from a resource standpoint, due to the significant effort it required.

Absence of program self-assessment and comparison with industry standards increases the risk that program improvements will not occur and student activities resources will not be maximized.

#### **Recommendation 1**

We recommend that the campus establish a routine for periodic self-assessment of student activities using a format/process similar to the CAS standards and complete the first scheduled self-assessment as soon as possible.

#### **Campus Response**

We agree. The vice president for student affairs will issue a letter of instruction requiring that the office of campus life, the Associated Students Inc. (ASI), and the Student Union collaborate on a periodic self-assessment of student activities every five years. This self-assessment will utilize CAS, as well as other appropriate assessment tools.

To be completed by November 12, 2004.

### **STUDENT ORGANIZATIONS**

#### **CHARTERING**

The chartering process for student organizations did not ensure compliance with campus chartering requirements and the need for complete documentation.

We noted that:

- ▶ Although current chartering forms contained a charter approval box that provided spaces for signatures and approval dates from the office of campus life and the ASI, approvals were not consistently documented on these forms.
- ▶ The minimum level of student interest required to charter an organization was not rigidly enforced. Out of 20 chartering packages reviewed, nine did not include roster information to evidence the required minimum membership. In addition, the other 11 packages did not include documentation to show that member enrollment records had been checked to verify that the members were students.
- ▶ Out of the 20 clubs reviewed, nine had websites linked to the campus. However, five of these clubs did not have a signed Club Web Access and Policy Agreement form on file.
- ▶ Of the 118 chartered clubs and organizations, 27 percent did not attend mandatory chartering meetings in fall 2003.
- ▶ Although some clubs changed officers midyear, the new officers were not required to complete important forms, such as the Prohibition of Hazing/Nondiscrimination of Members and Acknowledgment of Responsibility.

SSU chartering information and documents include the following requirements:

- ▶ Must have at least five members.
- ▶ Officers of the club and at least 51 percent of the members must be SSU students.
- ▶ All forms in the charter packet have to be completed.
- ▶ Clubs need to have an ASI account.
- ▶ Officers must attend mandatory meetings.

The campus life/Greek advisor stated that they were using some outdated chartering forms until the current stock was used up. She further stated that the web access authorization form was in its first year of implementation.

Incomplete chartering packages and lack of attendance at mandatory chartering meetings increase the risk that chartering requirements will not be met, university expectations and club responsibilities will not be understood, and the university may be exposed to potential liability.

## **Recommendation 2**

We recommend that the campus:

- a. Update chartering forms and establish procedures to ensure that all required approvals are documented.

- b. Strengthen the enforcement of required minimum membership to charter an organization and documentation requirements to evidence that the minimum membership was met, verification of student status was performed, and Club Web Access and Policy Agreement forms are signed.
- c. Take action to increase attendance at mandatory chartering meetings.
- d. Require execution of new acknowledgment of responsibility documents when there is a midyear change in student club/organization officers.

### **Campus Response**

- a. We agree. The office of campus life club chartering materials forms will be updated to include the appropriate signatures.
- b. We agree. The office of campus life will institute a rechartering checklist to insure required minimum membership to charter an organization and to evidence that the minimum membership was met, verification of student status was performed, and Club Web Access and Policy Agreement forms are signed.
- c. We agree. The office of campus life will require students to sign in and individually acknowledge each organization they may be representing as a part of each rechartering meeting. The campus life advisor will not approve club chartering packets until all signatures are provided and forms are completed.
- d. We agree. The office of campus life will require execution of new acknowledgment of responsibility documents no later than two weeks after the start of the spring semester. Failure to submit documentation will result in the club being placed on a “hold” status, and they will be unable to utilize university resources or facilities.

To be completed by November 12, 2004.

### **ADVISORS**

The availability and involvement of student club and organization advisors was in need of improvement.

We noted that:

- ▶ The campus did not have arrangements for alternates if the advisors were going to be inaccessible for extended periods.
- ▶ The only advisor requirements being monitored were the signing of chartering documents and any facility use forms for the club/organization to hold an on-campus event or function.

Interviews with eight club advisors also disclosed that:

- ▶ Some advisors were more active than others in interacting with student clubs and organizations. Those clubs and organizations affiliated with a department and sports clubs whose advisors were also coaches appeared to have the highest level of involvement.
- ▶ Orientation and training of advisors occurred informally and mainly on an individual basis through inquisitive advisors who sought out knowledgeable resources and asked the right questions.

The *SSU Student Club Handbook* recognizes that effective advising to student clubs and organizations is essential to their success. Examples of advisor involvement include assistance in goal setting, membership, team building and leadership; program planning; evaluations and problem solving; and maintenance of financial records.

The vice president for student affairs stated that working with advisors was a sensitive issue, because faculty/staff advisors serve as volunteers and workload requirements are already high.

Inadequate advising increases the risk of inappropriate activities and programming by student clubs and organizations and jeopardizes student involvement opportunities.

### **Recommendation 3**

We recommend that the campus:

- a. Develop a strategy for identifying advisors who do not meet expectations and an action plan to either encourage greater involvement or seek a replacement.
- b. Establish a policy for designating alternates during extended advisor absences.
- c. Complete the advisor website and provide other orientation and training.

### **Campus Response**

- a. We agree. The office of campus life will increase communication with advisors that will include membership to a club advisor list-serve and notification of regularly scheduled charter meetings and advisor receptions. Additionally, we will develop a strategy and action plan for identifying advisors who do not meet the basic university needs and expectations of specified clubs.
- b. We agree. The office of campus life will develop a procedure to designate an alternate advisor for club advisors who will be absent for an extended period greater than one month.
- c. We agree. The office of campus life will complete an advisor website development plan for the launch of an advisor website, which will include advisor orientation, training, and resource materials.

To be completed by November 12, 2004.

## **OFFICER ELIGIBILITY**

The campus had not defined minor representative officers or clearly documented eligibility checks for election candidates.

We noted that:

- ▶ The campus considered all student members of the ASI senate, the ASI appointed executive officer, and all student members of the Sonoma Student Union Corporation (SSUC) board of directors as major representative officers and had not defined minor representative officers.
- ▶ The SSU Elections Code states that the elections committee is responsible for determining whether candidates are qualified to run. Although some documentation was available on grade point averages, documentation was omitted for other factors, such as minimum number of enrolled units, maximum number of accumulated units, and verification that the student was not on probation.

Coded memorandum Academic Affairs, Educational Support 93-08, *Minimum Academic Qualifications for Student Office Holders*, dated January 22, 1993, and updated by an uncoded memorandum in 1997, requires that the campus define minor representative officers. These same memorandums establish minimum qualification standards for student office holders and those seeking office as candidates in elections. These standards cover minimum unit loads and grade point averages, maximum accumulated unit limitations, residency requirements (completion of at least one prior semester), and prohibitions on students running for election that are on probation.

The vice president for student affairs stated that there were resource considerations if it became necessary to check eligibility for additional student officer positions. He further stated that the type of documentation that should be generated for student officer eligibility was not specifically addressed in the SSU Elections Code.

Absence of officer designations and documented checks of office holder enrollment status and candidate qualifications increases the risk that student representation will be inappropriate and increases the potential for invalid elections.

### **Recommendation 4**

We recommend that the campus:

- a. Define minor representative officers.
- b. Document eligibility checks for election candidates.

### **Campus Response**

- a. We agree. The campus will define minor representative officers consistent with Coded Memorandum 93-08.
- b. We agree. The campus will develop procedures to check and document eligibility status of all candidates for student elected office.

To be completed by November 12, 2004.

## **ACTIVITY/EVENT MANAGEMENT**

### **WRITTEN AGREEMENTS**

The SSUC assisted in administering food sales for student clubs/organizations and provided posting services for the campus without a written agreement.

We noted that campus policy required that all food preparation, distribution, and sale by student clubs and organization must be done in the presence of a certified food handler (currently an employee of the SSUC). In addition, signage advertising for student activities was maintained by a SSUC posting crew.

The campus *Food Service and Sales Policy* §III.A, dated November 15, 1999, states, in part, that chartered student organizations may raise funds through food sales provided that:

- ▶ Specific health and safety regulations are followed.
- ▶ Bake sales are limited to nonperishable foods and no home preparation or storage is allowed.
- ▶ A certified food handler must be present during preparation, distribution and sale of food items.

Title 5 §42401 and §42402 indicate that the campus president shall require that auxiliary organizations operate in conformity with policy of the Board of Trustees and the campus. One of the objectives of the auxiliary organizations is to provide fiscal procedures and management systems that allow effective coordination of the auxiliary activities with the campus in accordance with sound business practices. Sound business practice mandates that written agreements be executed, which fully define the expectations, rights, and responsibilities of the parties involved.

The vice president for student affairs stated that auxiliary organization involvement was necessary due to resource limitations attributed to the size of the campus.

The absence of a written agreement for personal services rendered by the SSUC to the campus increases the risk of misunderstandings and miscommunication regarding rights and responsibilities, and may cloud liability issues for student activities.

### **Recommendation 5**

We recommend that the campus reassess involvement of the SSUC in food sales and posting services, and integrate any such services rendered into written agreements.

### **Campus Response**

We agree. The campus will develop written agreements with its auxiliaries to address campus posting and the role of auxiliary staff in student food sales.

To be completed by November 12, 2004.

## **INTRAMURALS AND CLUB SPORTS**

Controls over intramural and club sports did not ensure that the SSUC maintained informed consent forms for all intramural participants for an appropriate retention period. In addition, the campus had not completed an update to the *Sports Club Manual* since 1993.

We noted that:

- ▶ The SSUC intramural sports policy stated that no one may participate until they sign a roster form entitled “Express Assumption of Risk and Medical Statement” (hereinafter referred to as informed consent) in the recreational sports office. Additionally, we were told by the SSUC recreational sports coordinator that participants could alternatively sign up with the official at the game site on the day of the event; however, we were unable to determine whether the informed consent forms were being completed by those signing up on game days, because documentation through most of March 2004 had been destroyed as of April 2004.
- ▶ Although an update was in process, the campus *Sports Club Manual* had not been updated since 1993. The update in process included improved management of the risks inherent in sports club participation.

The operating agreement between the campus and the SSUC for the period July 1, 2002, through June 30, 2004, states that the union will operate a recreation/physical fitness facility and program, and that the operations of the SSUC shall be supervised by campus officials.

Title 5 §42404(a) states that auxiliary organizations are required to maintain adequate records. The administrative records retention schedule in the Office of the Chancellor generally provides that records be kept for at least two years. Campus Policy 1988-1, *SSU Archives Policy*, dated January 28, 1988, states that destruction of any record is forbidden, unless it has been determined that the record is inappropriate for the campus or CSU Archives. If there is a statute of limitations on the period of time in which an intramural participant can file a claim for injuries, then sound business practice would mandate that records be kept at least that long.

The SSUC recreational sports coordinator stated that record retention had not been previously discussed. She further stated that there would be more time to complete the *Sports Club Manual* update, since a third staff person had been hired.

Incomplete documentation and not adequately addressing risks for intramurals and club sports increase the campus exposure to potential liability.

### **Recommendation 6**

We recommend that the campus:

- a. Establish a process to ensure that the SSUC maintains informed consent (assumption of risk) forms for all intramural participants on file for an appropriate period of time.
- b. Complete updating the *Sports Club Manual* and implement appropriate risk monitoring controls.

### **Campus Response**

- a. We agree. Informed consent forms for all intramural participants will be kept on file in the campus recreation office for a period of three years.
- b. A working draft of the *Sport Clubs Manual* will be developed including Release Agreement Forms, Registration Forms, and Rosters.

To be completed by November 12, 2004.

## **STUDENT JUDICIARY**

The campus did not always record disciplinary probation status in student academic records.

We noted that:

- ▶ The campus used disciplinary settlement agreements to document conditions for students to continue in good standing. Sometimes these conditions were not recorded in the student's academic record.
- ▶ Very few cases of academic dishonesty for cheating or plagiarism were typically sent to the coordinator of student discipline. Faculty who assigned academic sanctions for cheating or plagiarism, as part of an informal resolution, did not have a system for aggregating information on repeat violations or those that occurred in different departments. Faculty who chose a formal resolution did report cheating and plagiarism cases to the student discipline office.

Title 5 §41301(a) indicates that cheating or plagiarism in connection with an academic program at a campus is a violation of the student code of conduct.

Executive Order 628, *Student Disciplinary Procedures*, dated September 30, 1994, requires that probation and suspension shall be made part of the student's academic record during the term of the probation or suspension. Expulsion shall be made part of the student's permanent academic record.

The vice president for student affairs stated that general counsel had advised that the campus could choose not to record probation on the student's transcript in cases concluded by a settlement agreement. He further stated that in cheating and plagiarism cases settled by faculty through informal resolution, the campus academic senate had established local policy abolishing reporting and recordkeeping of academic sanctions by the coordinator of student discipline.

Lack of adequate recordkeeping for academic sanctions regarding cheating and plagiarism increases the risk that multiple violations or repeat offenders would not be identified for possible administrative sanction.

### **Recommendation 7**

We recommend that the campus:

- a. Clarify with general counsel the authority for not recording probations in the student's academic record.
- b. Establish an effective method of aggregating repetitive academic sanctions for cheating and plagiarism and identifying those that warrant administrative sanctioning by the coordinator of student discipline.

### **Campus Response**

- a. We agree. The Office of General Counsel reported that recording the sanction of probation on a student's academic record is optional when it is developed in a Student Discipline Settlement Agreement. Beginning with the fall 2004 semester, we have chosen to implement the practice of recording probation with the transcript text notation "Student Disciplinary Probation Status."
- b. We agree with this recommendation and are in the process of revising our campus Cheating and Plagiarism Policy to reflect the change. A revision of the policy will be forwarded to the student affairs committee of the academic senate for review and approval. The revision will define a procedure for the creation of an aggregate list of students charged through the informal resolution process. The director of judicial affairs will manage this centralized listing and have the authority to proceed with student discipline investigation of repeat offenders.

To be completed by November 12, 2004.

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## APPENDIX A: PERSONNEL CONTACTED

<u>Name</u>	<u>Title</u>
Ruben Armiñana	President
Trisha Allen	Campus Life/Greek Advisor
Ed Beebout	Advisor, The Sonoma State Star
Liz Close	Professor and Chair, Nursing and Faculty/Staff Advisor to Sigma Alpha Epsilon Fraternity
Letitia Coate	University Controller and Senior Director for Financial Services
Tammy Cotter	Alcohol/Drug Education and Prevention Specialist
Erik Dickson	Executive Director, Associated Students
Christina Difani	Assistant Coach, Women's Volleyball and Faculty/Staff Advisor to the Men's Volleyball Club
Marilyn Dudley-Rowley	Lecturer, Sociology and Faculty/Staff Advisor for Cannabis and Society Education
George Ellington	Lieutenant, Police and Parking Services
Larry Furukawa-Schlereth	Chief Financial Officer and Vice President for Administration and Finance
Heather Howard	Interim Director of Campus Life and Leadership
Nate Johnson	Senior Director, Police and Parking Services/Chief of Police
Shawn Kilat	Administrative Assistant, Office of Campus Life and Leadership
Kurt Koehle	Director, Internal Operations
Rand Link	Vice President for Student Affairs
Richard Ludmerer	Senior Director of Risk Management
Neil Markley	Director of Administrative Services
Kris Montgomery	Coordinator, Women's Resource Center and Interim Director of Judicial Affairs and Special Projects
Barbara Moore	New Media Development Manager, Information Technology
Mark Niemann	Technology Consultant, School of Education and Faculty/Staff Advisor to the Rowing Club
Lisa Noto	University Registrar
Mack Schwing	Director, Wine Business Program and Faculty/Staff Advisor to Wine Sense
Darius Spearman	Inter-Cultural Center Coordinator, Sonoma Student Union and Faculty/Staff Advisor to the Asian Pacific Islander Organization
Joe Standridge	Lecturer, Business Administration and Faculty/Staff Advisor to the Inline Hockey Club
Lynn Stauffer	Associate Professor, Computer Science and Faculty/Staff Advisor to the Computer Club
Pam Su	Recreational Sports Coordinator, Sonoma Student Union
Vickie Vescio	Open Recreation Coordinator, Sonoma Student Union
Tom Wagner	Administrative Manager, Student Affairs
Steve Wilson	Associate Vice President for Administration and Finance
John Wright	Executive Director, Sonoma Student Union



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RECEIVED  
UNIVERSITY AUDITOR

OCT 14 2004

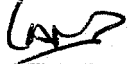
THE CALIFORNIA STATE  
UNIVERSITY

~~Dear Mr. Mandel:~~

On behalf of President Armiñana, I am submitting the campus response to the recommendations of the Student Activities, Sonoma State University, Report Number 04-36. The response has also been forwarded via e-mail to lmandel@calstate.edu.

Please contact Kurt Koehle (kurt.koehle@sonoma.edu) on my staff for additional information and follow up.

Sincerely,

  
\_\_\_\_\_  
Laurence Furukawa-Schlereth  
Chief Financial Officer and  
Vice President for Administration and Finance

Enclosure

Cc: President Ruben Armiñana  
Rand Link, Vice President for Student Affairs  
Steve Wilson, Associate Vice President for Administration and Finance  
Letitia Coate, Controller and Senior Director for Financial Services  
Erik Dickson, Executive Director, Associated Students, Inc.  
John Wright, Executive Director, Sonoma Student Union Corporation  
Kurt Koehle, Director of Internal Operations

THE CALIFORNIA STATE UNIVERSITY

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**STUDENT ACTIVITIES**  
**Sonoma State University**  
**Audit Report Number 04-36**

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**GENERAL ENVIRONMENT**

**Recommendation 1**

We recommend that the campus establish a routine for periodic self-assessment of student activities using a format/process similar to the CAS standards and complete the first scheduled self-assessment as soon as possible.

**Campus Response**

We agree. The Vice President for Student Affairs will issue a letter of instruction requiring that the Office of Campus Life, the Associated Students Inc. (ASI), and the Student Union collaborate on a periodic self-assessment of student activities every five years. This self-assessment will utilize CAS, as well as other appropriate assessment tools.

To be completed by November 12, 2004.

**STUDENT ORGANIZATIONS**

**CHARTERING**

**Recommendation 2**

We recommend that the campus:

- a. Update chartering forms and establish procedures to ensure that all required approvals are documented.
- b. Strengthen the enforcement of required minimum membership to charter an organization and documentation requirements to evidence that the minimum membership was met, verification of student status was performed, and Club Web Access and Policy Agreement forms are signed.
- c. Take action to increase attendance at mandatory chartering meetings.
- d. Require execution of new acknowledgment of responsibility documents when there is a midyear change in student club/organization officers.

**Campus Response**

- a. We agree. The Office of Campus Life club chartering materials forms will be updated to include the appropriate signatures.
- b. We agree. The Office of Campus Life will institute a re-chartering checklist to insure required minimum membership to charter an organization and to evidence that the minimum membership

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was met, verification of student status was performed, and Club Web Access and Policy Agreement forms are signed.

- c. We agree. The Office of Campus Life will require students to sign in and individually acknowledge each organization they may be representing as a part of each re-chartering meeting. The Campus Life Advisor will not approve club chartering packets until all signatures are provided and forms are complete.
- d. We agree. The Office of Campus Life will require execution of new acknowledgment of responsibility documents no later than two-weeks after the start of the spring semester. Failure to submit documentation will result in the club being placed on a "hold" status, and they will be unable to utilize university resources or facilities.

To be completed by November 12, 2004.

**ADVISORS**

**Recommendation 3**

We recommend that the campus:

- a. Develop a strategy for identifying advisors who do not meet expectations and an action plan to either encourage greater involvement or seek a replacement.
- b. Establish a policy for designating alternates during extended advisor absences.
- c. Complete the advisor website and provide other orientation and training.

**Campus Response**

- a. We agree. The Office of Campus Life will increase communication with advisors that will include membership to a club advisor list-serve, notification of regularly scheduled charter meetings and advisor receptions. Additionally, we will develop a strategy and action plan for identifying advisors who do not meet the basic university needs and expectations of specified clubs.
- b. We agree. The Office of Campus Life will develop a procedure to designate an alternate advisor for club advisors who will be absent for an extended period greater than one month.
- c. We agree. The Office of Campus Life will complete an advisor website development plan for the launch of an advisor website, which will include advisor orientation, training, and resource materials.

To be completed by November 12, 2004.

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**OFFICER ELIGIBILITY**

**Recommendation 4**

We recommend that the campus:

- a. Define minor representative officers.
- b. Document eligibility checks for election candidates.

**Campus Response**

- a. We agree. The campus will define minor representative officers consistent with Coded Memorandum 93-08.
- b. We agree. The campus will develop procedures to check and document eligibility status of all candidates for student elected office.

To be completed by November 12, 2004.

**ACTIVITY/EVENT MANAGEMENT**

**WRITTEN AGREEMENTS**

**Recommendation 5**

We recommend that the campus re-assess involvement of the SSUC in food sales and posting services, and integrate any such services rendered into written agreements.

**Campus Response**

We agree. The campus will develop written agreements with its auxiliaries to address campus posting and the role of auxiliary staff in student food sales.

To be completed by November 12, 2004.

**INTRAMURALS AND CLUB SPORTS**

**Recommendation 6**

We recommend that the campus:

- a. Establish a process to ensure that the SSUC maintains informed consent (assumption of risk) forms for all intramural participants on file for an appropriate period of time.

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- b. Complete updating the *Sports Club Manual* and implement appropriate risk monitoring controls.

**Campus Response**

- a. We agree. Informed consent forms for all intramural participants will be kept on file in the campus recreation office for a period of three years.
- b. A working draft of the *Sport Clubs Manual* will be developed including Release Agreement Forms, Registration Forms, and Rosters.

To be completed by November 12, 2004.

**STUDENT JUDICIARY**

**Recommendation 7**

We recommend that the campus:

- a. Clarify with general counsel the authority for not recording probations in the student's academic record.
- b. Establish an effective method of aggregating repetitive academic sanctions for cheating and plagiarism and identifying those that warrant administrative sanctioning by the coordinator of student discipline.

**Campus Response**

- a. We agree. The Office of General Counsel reported that recording the sanction of Probation on a student's academic record is optional when it is developed in a Student Discipline Settlement Agreement. Beginning with the fall 2004 semester, we have chosen to implement the practice of recording Probation with the transcript text notation "Student Disciplinary Probation Status."
- b. We agree with this recommendation and are in the process of revising our campus Cheating and Plagiarism Policy to reflect the change. A revision of the policy will be forwarded to the Student Affairs Committee of the Academic Senate for review and approval. The revision will define a procedure for the creation of an aggregate list of students charged through the informal resolution process. The Director of Judicial Affairs will manage this centralized listing and have the authority to proceed with student discipline investigation of repeat offenders.

To be completed by November 12, 2004.

THE CALIFORNIA STATE UNIVERSITY  
OFFICE OF THE CHANCELLOR

BAKERSFIELD

November 9, 2004

CHANNEL ISLANDS

CHICO

DOMINGUEZ HILLS

**MEMORANDUM**

FRESNO

FULLERTON

TO: Mr. Larry Mandel  
University Auditor

HAYWARD

FROM: Charles B. Reed  
Chancellor

HUMBOLDT

LONG BEACH

SUBJECT: Draft Final Report Number 04-36 on *Student Activities*,  
Sonoma State University

LOS ANGELES

MARITIME ACADEMY

MONTEREY BAY

In response to your memorandum of November 9, 2004, I accept the response as submitted with the draft final report on *Student Activities*, Sonoma State University.

NORTHRIDGE

POMONA

SACRAMENTO

CBR/al

SAN BERNARDINO

Enclosure

SAN DIEGO

cc: Dr. Ruben Armifiñana, President

SAN FRANCISCO

SAN JOSE

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS