

**STUDENT ACTIVITIES**

**CALIFORNIA STATE UNIVERSITY,  
STANISLAUS**

**Report Number 04-39  
January 31, 2005**

---

**Members, Committee on Audit**

Roberta Achtenberg, Vice Chair  
Herbert L. Carter Moctesuma Esparza  
Debra S. Farar Bob Foster William Hauck  
Raymond W. Holdsworth

---

**Staff**

University Auditor: Larry Mandel  
Audit Manager: Jim Usher  
Internal Auditor: Liz Huber

---

**BOARD OF TRUSTEES**

**THE CALIFORNIA STATE UNIVERSITY**

---

## CONTENTS

Executive Summary .....	1
Introduction.....	2
Background .....	2
Purpose.....	4
Scope and Methodology .....	5

---

## OBSERVATIONS, RECOMMENDATIONS, AND CAMPUS RESPONSES

Student Organizations.....	6
Recognition Process.....	6
Application Forms.....	7
Officer Eligibility.....	8
Membership Requirements .....	9
Advisor Training/Orientation.....	9
Event Participation by Advisors .....	10
Activity/Event Management .....	11
Incomplete Facilities Requests.....	11
Alcohol Use Authorizations.....	12
Student Judiciary.....	13
Undocumented Practices/Policies .....	13
Recording Probations.....	14
Incomplete Files.....	15

## **APPENDICES**

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

---

## **ABBREVIATIONS**

CAS	The Council for the Advancement of Standards in Higher Education
CSU	California State University
CSUS	California State University, Stanislaus
GC	Government Code
SAM	State Administrative Manual
SNAPS	Student Needs and Priorities Survey

---

## **EXECUTIVE SUMMARY**

As a result of a systemwide risk assessment conducted by the Office of the University Auditor during the last quarter of 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 California State University, Stanislaus campus from June 28, 2004, through August 6, 2004, and audited the procedures in effect at that time.

In our opinion, controls within the selected areas of the student activities function were operating effectively and in compliance with existing California State University policies, with the exception of those areas identified herein.

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.

### **STUDENT ORGANIZATIONS [6]**

Student club/organization files were not always complete, and some file documents were not properly completed. The Application for Charter form did not reflect campus current practice/expectations regarding club officers, requiring both a president and a treasurer in order to obtain a charter, as opposed to any two officers for student clubs/organizations. In addition, the campus had not defined minor representative officers, and they did not verify that club officers are enrolled in at least six units and are in good standing while in office. Campus documents were unclear regarding minimum club member requirements. Further, student organization advisor orientation, training, and communication of expectations needed improvement, and campus policies regarding campus requirements for advisor attendance at their organization's events appear contradictory.

### **ACTIVITY/EVENT MANAGEMENT [11]**

The campus did not require a facilities request for certain student activities. Campus Facilities Request forms were not always properly completed, and the forms did not have a place for the organization to indicate whether food was going to be sold at the event. In two of three instances where alcoholic beverages were served at a campus event, the campus could not locate the approved Alcohol Use form.

### **STUDENT JUDICIARY [13]**

Certain campus-specific student judicial practices/policies were not formally documented, and the campus did not have terminology to distinguish low-level, disciplinary sanctions from probations that need to be recorded in the student's academic record. In addition, student discipline files were incomplete.

---

## 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 California State University, Stanislaus (CSUS), the campus chartered/recognized 78 student clubs and organizations in fiscal year 2003/04, encompassing approximately 8,072 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 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 CSUS, the campus does not get involved with off-campus activities, other than requesting that campus clubs/organizations submit an Alcohol Use Form for those cases where they intend to serve alcoholic beverages at an off-campus event. However, there were no controls to ensure that clubs submit an Alcohol Use Form, and the campus only receives about one each year. The campus stated that the CSU Office of the General Counsel had instructed the campus not to have any involvement with any off-campus activities, and the campus is considering discontinuing the request that an Alcohol Use Form be submitted by campus clubs/organizations for off-campus activities involving alcohol.

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 CSUS, the campus annually handled approximately 40 student judicial cases. In fiscal year 2002/03, the following administrative sanctions were imposed for student discipline:

SANCTION	NUMBER
Expulsion	0
Suspension	1
Probation	14
Other	12
<b>Total</b>	<b>27</b>

Other sanctions included such things as community service, counseling, and restitution. All student disciplinary proceedings at CSUS are handled by conferences, whenever possible. There have been two recent disciplinary hearings and the campus had hearing officers appointed.

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 *International Standards for the Professional Practice of Internal Auditing* issued by the Institute of Internal Auditors, and included the audit tests we considered necessary in determining 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 CSUS, the office of student leadership and development reporting to the vice president of student affairs has overall responsibility for student activities. The coordinator of student discipline also generally reports through the vice president of 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.

---

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

### **STUDENT ORGANIZATIONS**

#### **RECOGNITION PROCESS**

Certain student club/organization files were either missing certain documents, or contained documents that were not properly completed/signed.

Our review of 20 student club/organization files disclosed that:

- ▶ In three instances, a constitution was not on file for the student club/organization.
- ▶ In two instances, the Request for Advisor form did not contain the club president's signature.
- ▶ In five instances, a treasurer was not identified on either the Application for Charter form or Student Organization Trust Account Agreement.
- ▶ In one instance, the Application for Charter form did not contain required approval signature.

The California State University, Stanislaus (CSUS) *Student Organization Handbook* requires that student clubs/organizations obtain an advisor and develop a constitution. It further indicates that all charter packets must be filled out completely and signed by all appropriate parties. The club checklist included in the charter packet identifies four forms – Application for Charter, Request for Advisor, Club Membership Roster (also titled Student Organization Roster), and Signature Card.

Government Code (GC) §13402 states that management is responsible for establishing and maintaining a system of internal administrative controls, which includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions. Sound business practice mandates that a campus have controls in place to ensure required documents are obtained, and that documents are properly completed and contain required signatures.

The director of student leadership and development stated that the incomplete files were the result of document copies not being transferred over from previous year files. He further stated that the incomplete documents and missing signatures were the result of oversight.

Failure to obtain required and properly completed documents, including required signatures, increases the risk that clubs will be chartered or able to obtain funding without proper documentation or authorization.

### **Recommendation 1**

We recommend that the campus strengthen controls to ensure that student organization files contain required forms that include all required signatures.

#### **Campus Response**

We concur. Controls have been strengthened. Beginning in fall 2004, the activities coordinator, student leadership director, and associate vice president for student affairs all meet each semester to review charter packs and verify all forms and required signatures. The first meeting was held October 15, 2004.

### **APPLICATION FORMS**

The campus Application for Charter form did not reflect current practice/expectations as to the title of required club officers.

Student clubs/organizations are required to have both a president and a treasurer in order to obtain a charter; however, the Application for Charter form only indicated that two officers are required, without specifying that those officers are expected to be a president and a treasurer.

GC §13402 states that management is responsible for establishing and maintaining a system of internal administrative controls, which includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions.

The director of student leadership and development stated that the clubs were required to have two officers and were recently encouraged to name a president and treasurer in order to ensure club status should they acquire a trust account.

Unclear communication of officer requirements increases the risk that student clubs will receive a charter with inadequate representation.

### **Recommendation 2**

We recommend that the campus update the Application for Charter form to reflect the campus requirement that a club identify both a president and a treasurer.

#### **Campus Response**

We concur. The charter has been updated to require a president and treasurer.

## **OFFICER ELIGIBILITY**

The campus had not officially identified minor student representative officers, and they had not been verifying officer qualifications.

Our review disclosed that:

- ▶ The campus had not defined student club/organization officers as minor student representative officers, although they were being treated as though they were with minimum enrollment and academic qualifications as stated on the Application for Charter form.
- ▶ The campus had not verified that student club/organization officers were enrolled in at least six units and were in good standing while in office.

Coded memorandum Academic Affairs, Educational Support 93-08, *Minimum Academic Qualifications for Student Office Holders*, dated January 22, 1993, as 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 who are on probation from running for election.

The director of student leadership and development stated that the minor student office holders were not identified by the campus because of an oversight, and their good standing was not verified because of a lack of a policy regarding minor student office holders.

Not verifying compliance with stated minimum academic requirements increases the risk that ineligible students will be allowed to serve as club officers.

### **Recommendation 3**

We recommend that the campus:

- a. Define minor representative officers.
- b. Verify compliance with stated minimum academic qualifications for club officers.

### **Campus Response**

We concur. The campus has defined minor representative officers and is verifying compliance with stated qualifications for minor office holders.

## **MEMBERSHIP REQUIREMENTS**

Campus documents were unclear regarding minimum club member requirements.

The CSUS *Student Organization Handbook* indicates that an organization must maintain, at all times, a membership of at least four regularly enrolled students in good standing at the university. The campus Student Organization Roster form indicates that each organization is to list the names of at least eight currently enrolled students who are members of the organization.

State Administrative Manual (SAM) §20050 indicates that there should be an established system of practices to be followed in the performance of duties and functions, and that it represents a control weakness if policy and procedure manuals are either not up to date or do not exist.

The director of student leadership and development stated his belief that the inconsistencies resulted from a lack of communication with Associated Students, Inc. regarding expectations on the number of members, and failure, due to oversight, to update all materials that contained information regarding the minimum number of officers required.

Failure to communicate or verify compliance with minimum club membership requirements increases the risk that clubs will be improperly chartered and causes confusion as to the number of students participating.

### **Recommendation 4**

We recommend that the campus update the Student Organization Roster form and *Student Organization Handbook* to reflect campus current practice/requirements for minimum club members.

### **Campus Response**

We concur. The roster and handbook have been updated to reflect requirements for minimum club members.

## **ADVISOR TRAINING/ORIENTATION**

Student organization advisor orientation, training, and communication of expectations needed improvement.

Interviews with ten club advisors disclosed that:

- ▶ In six instances, they had not received any orientation when they originally undertook advising.
- ▶ In eight instances, they had not received any formal advisor training.
- ▶ The campus has no mandatory advisor training and does not enforce the campus requirement for advisor attendance at training for club officers.

GC §13403 states that the elements of a satisfactory system of internal accounting and administrative controls shall include, but are not limited to, an established system of practices to be followed in the performance of duties and functions, and personnel of a quality commensurate with their responsibilities. Sound business practice mandates that a campus develop processes to ensure that persons with managerial and oversight responsibilities are trained in campus and California State University (CSU) policies and are made aware of expectations in their role as a club advisor.

Campus policy *Advisor Expectations* states advisors are expected to attend orientation and training programs for advisors.

The director of student leadership and development stated that advisors have not been required to attend orientations in the past because it was their belief that they could only encourage attendance.

Not providing adequate orientation, ongoing training, or effective communication increases the risk of misunderstandings regarding campus expectations and acceptable practices in their role as a faculty/staff club advisor.

### **Recommendation 5**

We recommend that the campus improve participation in student organization advisor training.

### **Campus Response**

We concur. Advisor training has been expanded and training sessions are being offered at multiple venues.

## **EVENT PARTICIPATION BY ADVISORS**

Advisor understanding as to required participation in student activities varied.

Ten advisors were queried about participation in student activities. Responses ranged from advisors who were uncertain of the requirements to one who said she was not required to attend.

The campus *Student Organization Handbook* states that advisors are expected to attend all official meetings and events of the organization, whenever possible. The handbook further states that at least one officer and one advisor or faculty/staff designee of the student organization must be in attendance at all functions sponsored or co-sponsored by the organization.

The campus Request for Advisor form states that an advisor must also be present at all activities sponsored by the organization, unless arrangements are made with, and approved by, the office of student activities.

GC §13403 states that the elements of a satisfactory system of internal accounting and administrative controls shall include, but are not limited to, an established system of practices to be followed in performance of duties and functions, and personnel of a quality commensurate with their responsibilities. Sound business practice mandates that a campus develop processes to ensure that

persons with managerial and oversight responsibilities are trained in campus and CSU policies and made aware of expectations in their role as a club or organization advisor.

GC §13402 states that management is responsible for establishing and maintaining a system of internal administrative controls, which includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions.

The director of student leadership and development stated that changes in policy over the years, which required advisors to attend events and only encouraged them to attend meetings, were not consistently updated in publications and communicated to the advisors due to oversight.

Inconsistencies in campus policy regarding expectations of advisor event participation increase the risk for misunderstandings and inadequate supervision of student activities.

### **Recommendation 6**

We recommend that the campus identify and remove inconsistencies wherever campus policy is stated regarding requirements for advisors' attendance at their organization meetings and events.

### **Campus Response**

We concur. Documents have been updated. Inconsistencies regarding requirements for advisors' attendance at their organization meetings and events have been eliminated.

## **ACTIVITY/EVENT MANAGEMENT**

### **INCOMPLETE FACILITIES REQUESTS**

Facilities Request forms were not always properly completed by student organizations.

Our review of 25 student activities/events disclosed that:

- ▶ In 20 instances, the Facilities Request forms did not indicate whether food was to be sold at the event and, thus, whether a campus Food Sales form was required.
- ▶ In six instances, Facilities Request forms did not contain one or more signature authorizations from student leadership and development, the facilities reservation office, public safety, or the student club advisor.

GC §13402 states that management is responsible for establishing and maintaining a system of internal administrative controls, which includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions. Sound business practice mandates that a campus have

controls in place to ensure required documents are properly completed and contain required signatures.

The director of student leadership and development stated that food sales were not addressed on the form because all groups were required to meet with campus dining regardless of whether they were selling or giving away food, and facilities requests have not been required to be signed by all the parties listed in all instances.

Failure to properly complete Facilities Request forms increases the risk that unauthorized events will take place.

### **Recommendation 7**

We recommend that the campus:

- a. Ensure that Facilities Request forms are properly completed and contain required signature authorizations.
- b. Require organizations to specify on the Facilities Request form whether a campus Food Sales form needs to be completed.

### **Campus Response**

We concur.

- a. The student leadership office has taken steps to modify the form to allow for appropriate signatures and has alerted campus administrators of the need to sign off on all events.
- b. The student leadership office has collaborated with facilities services to revise the existing campus facilities form.

## **ALCOHOL USE AUTHORIZATIONS**

Alcohol Use forms were not properly maintained by the campus.

In our review of 25 student activities, three were identified by the campus as having served alcoholic beverages. In two of the three instances, the campus could not locate the Alcohol Use form or request.

The campus *Student Organization Handbook* states that requests to serve alcohol shall be submitted for approval to the president or designee no later than five days prior to the event. Such requests involving alcohol at events involving student participation are submitted for approval to the club advisor and the vice president of student affairs or designee.

GC §13402 states that management is responsible for establishing and maintaining a system of internal administrative controls, which includes documenting the system, communicating system

requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions.

The director of student leadership and development stated that one of the missing forms was for an event held in the student union, and copies of these forms were not retained by student leadership and development. He further stated that the other missing form was for an off-campus event and, in these cases, an Alcohol Use form was not prepared, and the related request for alcohol forms were not retained by the campus after they were approved.

Failure to safeguard documentation in support of authorization for club events increases campus liability for negligent behavior.

### **Recommendation 8**

We recommend that the campus ensure the proper completion and retention of approved Alcohol Use forms and requests.

### **Campus Response**

We concur. All alcohol use forms and checklists are being kept on file in the facilities scheduling office. Additionally, copies of all approved forms are being kept in the office of student leadership and development.

## **STUDENT JUDICIARY**

### **UNDOCUMENTED PRACTICES/POLICIES**

Certain campus-specific practices/policies were not formally documented.

Specifically, we noted the following:

- ▶ The majority of first-time alcohol-related incidents were handled with warning letters.
- ▶ Student judiciary rarely moves to settlement in conference, but rather gives the student at least two days to decide whether or not to sign the settlement agreement or exercise their right to have their case sent to hearing.
- ▶ Cases are sent directly to hearing if the campus plans suspension.

GC §13402 states that management is responsible for establishing and maintaining a system of internal administrative controls, which includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions.

SAM §20050 indicates that there should be an established system of practices to be followed in the performance of duties and functions, and that it represents a control weakness if policy and procedure manuals are either not up to date or do not exist.

The coordinator of student discipline stated that although the consistency with which the campus now handles the above-noted items is still relatively informal, the campus had planned to internally formalize these practices through the creation of an interpretations and precedents manual. At the time of the audit, this manual had not yet been developed.

Not maintaining documentation of current campus practice regarding the processing of student judiciary cases increases the risk that inconsistencies might occur in the processing of similar cases.

### **Recommendation 9**

We recommend that the campus document, in a policy and procedures manual, all campus-specific student judiciary practices.

### **Campus Response**

We concur. An internal document has been created and will be updated regularly. This internal procedures document provides topical descriptions of campus-specific procedures utilized within judicial affairs.

## **RECORDING PROBATIONS**

The campus did not have terminology to distinguish low-level, disciplinary sanctions from probations that need to be recorded in the student's academic record.

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 coordinator of student discipline stated that disciplinary probation was not recorded on the academic transcript, as the sanction was intended to serve at a level below the probation articulated by Executive Order 628.

Lack of adequate recordkeeping for academic sanctions increases the risk that multiple violations or repeat offenders would not be identified for possible administrative action.

### **Recommendation 10**

We recommend that the campus develop different terminology to distinguish low-level disciplinary sanctions from probations.

#### **Campus Response**

We concur. Disciplinary probation is now noted on a student's academic transcript. Lower-level probation is noted as "Disciplinary Notice."

### **INCOMPLETE FILES**

Some student discipline files were missing documentation.

Our review of ten student discipline files (eight conferences and two hearings) disclosed the following instances of missing documents:

- ▶ In six instances, no Closure Letter was in the file.
- ▶ In three instances, no Findings Letter was in the file.

GC §13402 states that management is responsible for establishing and maintaining a system of internal administrative controls, which includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions.

The coordinator of student discipline stated that these materials were incomplete due to other priorities and as a result of evolving process improvements, and that they intended to have them completed by the end of summer.

Failure to retain adequate supporting documentation to evidence the processing of student judiciary cases may expose the campus to potential liability and reduce its ability to adequately defend against potential lawsuits.

### **Recommendation 11**

We recommend that the campus ensure that campus procedures for all steps in the student judicial process are completed and documented in the student judicial files.

#### **Campus Response**

We concur. Effective August 2004, a review checklist to confirm status indicators and subsequent response or handling of correspondence has been implemented for all discipline files. This document provides verification that all stages of written communication with a student have been processed.

---

## APPENDIX A: PERSONNEL CONTACTED

<u>Name</u>	<u>Title</u>
Marvalene Hughes	Interim President
Fernando Beltran	Academic Advisor, Educational Opportunity Program
Wanda Bonnell	Academic Advisor, Educational Opportunity Program
Alan Brown	Director, University Student Union
April Dunham-Filson	Accountant I
Fred Edmondson	Dean of Students/Associate Vice President, Student Affairs
Mark Erickson	Director of Housing
Jennifer Humphrey	Executive Assistant to the Vice President for Student Affairs/ Coordinator, Student Discipline
Troy Johnson	Assistant Track Coach/Athletic Academic Coordinator
Kelly Lauth	Machine Systems Specialist
Sari Miller-Antonio	Professor of Anthropology
Stacey Morgan-Foster	Vice President for Student Affairs
Ronald Noble	Senior Director, Retention Services/ Director, Educational Opportunity Program
Robert Pecot	Freshman Success Coordinator
Brandon Price	Director, Student Leadership and Development
Cari Stammer	Administrative Director, Associated Students, Inc.
Mary Stephens	Vice President, Business and Finance
Tyler Summerset	Student Activities Coordinator/Greek Advisor
Amy Thomas	Crime and Emergency Resource Officer
Aracele Villapudua	Academic Advisor for Student Support Services



# CALIFORNIA STATE UNIVERSITY, STANISLAUS

801 West Monte Vista Avenue • Turlock, California 95382  
(209) 667-3077 • FAX (209) 667-3350

Vice President for Business and Finance

March 15, 2005

Larry Mandel, University Auditor  
Office of the Chancellor  
401 Golden Shore  
Long Beach, CA 90802-4210



Dear Larry:

The campus responses to the recent Student Activities audit recommendations are enclosed. We appreciate the effort made to recommend areas needing improvement and assure you that all findings will be fully addressed over the next few months.

Any questions concerning the response should be directed to Jennifer Humphrey at (209)664-6531 or via email at [jhumphrey@csustan.edu](mailto:jhumphrey@csustan.edu).

Sincerely,

A handwritten signature in black ink, appearing to read 'Mary Stephens'.

Mary Stephens, Vice President  
Business and Finance

Enclosures

- cc: President Hughes w/attachments  
Vice President Morgan-Foster w/attachments  
Associate Vice President Edmondson w/attachments  
Audit Manager Usher w/attachments

THE CALIFORNIA STATE UNIVERSITY

## STUDENT ACTIVITIES

### CALIFORNIA STATE UNIVERSITY, STANISLAUS

Report Number 04-39

## STUDENT ORGANIZATIONS

### RECOGNITION PROCESS

#### Recommendation 1

We recommend that the campus strengthen controls to ensure that student organization files contain required forms that include all required signatures.

#### Campus Response

We concur. Controls have been strengthened. Beginning in Fall 2004, the Activities Coordinator, Student Leadership Director, and Associate Vice President for Student Affairs all meet each semester to review charter packs and verify all forms and required signatures. The first meeting was held October 15, 2004.

### APPLICATION FORMS

#### Recommendation 2

We recommend that the campus update the Application for Charter form to reflect the campus requirement that a club identify both a president and a treasurer.

#### Campus Response

We concur. The charter has been updated to require a President and Treasurer.

### OFFICER ELIGIBILITY

#### Recommendation 3

We recommend that the campus:

- a. Define minor representative officers.
- b. Verify compliance with stated minimum academic qualifications for club officers.

### **Campus Response**

We concur. The campus has defined minor representative officers and is verifying compliance with stated qualifications for minor office holders.

### **MEMBERSHIP REQUIREMENTS**

#### **Recommendation 4**

We recommend that the campus update the Student Organization Roster form and *Student Organization Handbook* to reflect campus current practice/requirements for minimum club members.

### **Campus Response**

We concur. The roster and handbook have been updated to reflect requirements for minimum club members.

### **ADVISOR TRAINING/ORIENTATION**

#### **Recommendation 5**

We recommend that the campus improve participation in student organization advisor training.

### **Campus Response**

We concur. Advisor training has been expanded and training sessions are being offered at multiple venues.

### **EVENT PARTICIPATION BY ADVISORS**

#### **Recommendation 6**

We recommend that the campus identify and remove inconsistencies wherever campus policy is stated regarding requirements for advisors' attendance at their organization meetings and events.

### **Campus Response**

We concur. Documents have been updated. Inconsistencies regarding requirements for advisors' attendance at their organization meetings and events have been eliminated.

## ACTIVITY/EVENT MANAGEMENT

### INCOMPLETE FACILITIES REQUESTS

#### Recommendation 7

We recommend that the campus:

- a. Ensure that Facilities Request forms are properly completed and contain required signature authorizations.
- b. Require organizations to specify on the Facilities Request form whether a campus Food Sales form needs to be completed.

#### Campus Response

We concur.

- a. The Student Leadership Office has taken steps to modify the form to allow for appropriate signatures and has alerted campus administrators of the need to sign off on all events.
- b. The Student Leadership Office has collaborated with Facilities Services to revise to existing campus Facilities Form.

### ALCOHOL USE AUTHORIZATIONS

#### Recommendation 8

We recommend that the campus ensure the proper completion and retention of approved Alcohol Use forms and requests.

#### Campus Response

We concur. All alcohol use forms and checklists are being kept on file in the Facilities Scheduling Office. Additionally, copies of all approved forms are being kept in the Office of Student Leadership and Development.

## STUDENT JUDICIARY

### UNDOCUMENTED PRACTICES/POLICIES

#### Recommendation 9

We recommend that the campus document, in a policy and procedures manual, all campus-specific student judiciary practices.

#### Campus Response

We concur. An internal document has been created and will be updated regularly. This internal procedures document provides topical descriptions of campus-specific procedures utilized within Judicial Affairs.

### RECORDING PROBATIONS

#### Recommendation 10

We recommend that the campus develop different terminology to distinguish low-level disciplinary sanctions from probations.

#### Campus Response

We concur. Disciplinary probation is now noted on a student's academic transcript. Lower level probation is noted as "Disciplinary Notice."

### INCOMPLETE FILES

#### Recommendation 11

We recommend that the campus ensure that campus procedures for all steps in the student judicial process are completed and documented in the student judicial files.

#### Campus Response

We concur. Effective August 2004 a review checklist to confirm status indicators and subsequent response or handling of correspondence has been implemented for all discipline files. This document provides verification that all stages of written communication with a student have been processed.

THE CALIFORNIA STATE UNIVERSITY  
OFFICE OF THE CHANCELLOR

BAKERSFIELD

CHANNEL ISLANDS

April 7, 2005

CHICO

DOMINGUEZ HILLS

**MEMORANDUM**


FRESNO

FULLERTON

TO: Mr. Larry Mandel  
University Auditor

HAYWARD

HUMBOLDT

FROM: Charles B. Reed  
Chancellor 

LONG BEACH

SUBJECT: Draft Final Report Number 04-39 on *Student Activities*,  
California State University, Stanislaus

LOS ANGELES

MARITIME ACADEMY

MONTEREY BAY

In response to your memorandum of April 7, 2005, I accept the response as  
submitted with the draft final report on *Student Activities*, California State  
University, Stanislaus.

NORTHRIDGE

POMONA

SACRAMENTO

CBR/amd

SAN BERNARDINO

Enclosure

SAN DIEGO

cc: Dr. Marvalene Hughes, President

SAN FRANCISCO

SAN JOSE

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS