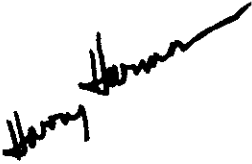


THE CALIFORNIA STATE UNIVERSITY AND COLLEGES

Office of the Chancellor  
400 Golden Shore  
Long Beach, California 90802  
(213) 590-5512

Date: August 10, 1978

To: Presidents

From:   
Harry Harmon  
Executive Vice Chancellor

Subject: Delegation of Fiscal Authority to California State University  
and Colleges Presidents - Executive Order No. 299

I am transmitting to you a copy of Executive Order No. 299 which delegates authority to you, within certain limitations, to approve fiscal transactions affecting your budgets for General Fund Support, Housing, Parking and Continuing Education.

The authorized campus agents for carrying out this delegation will presumably remain the same as those currently identified for Executive Orders No. 140 and 162. If a change in these signatories is desired, please complete a new Acceptance of Delegation form (copy attached) and mail it to the attention of Louis V. Messner in the Office of Budget Planning and Administration.

It is your responsibility as President to implement Executive Order No. 299 where applicable and to maintain the campus repository and index for all Executive Orders.

HH:lf

Attachment

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Distribution: Vice Presidents, Academic Affairs  
Vice Presidents, Administration  
Deans of Continuing Education  
Business Managers  
Chancellor's Staff

EXECUTIVE ORDER NO. 299  
DELEGATION OF FISCAL AUTHORITY

ACCEPTANCE OF DELEGATION

Please sign and return this form to Budget Planning and Administration accepting the delegation and indicating the two executive officers designated to act on behalf of the President in these matters. The two individuals appointed as the administrators of this delegation must be at the position classification of State College Business Manager II or higher. Any change in the individuals assigned responsibility for this delegation will require the completion of a new form and should be immediately submitted to this office.

The conditions, limitations and authority contained in Executive Order No. 299 are hereby acknowledged and accepted.

College President

Signature: \_\_\_\_\_

Typed Name: \_\_\_\_\_

Date: \_\_\_\_\_

I hereby authorize and empower the following two individuals at

\_\_\_\_\_  
(campus)

to act for me under provisions of the authorization contained herein.

First Executive Officer

Signature: \_\_\_\_\_

Typed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Alternate Executive Officer

Signature: \_\_\_\_\_

Typed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

cc: Department of Finance, Audits Division, Budget Division  
Budget Planning and Administration and Trustees. Internal  
Audit Staff

THE CALIFORNIA STATE UNIVERSITY AND COLLEGES  
Office of the Chancellor  
400 Golden Shore  
Long Beach, California 90802

Executive Order No. 299  
Title: Delegation of Fiscal Authority to California State University  
and Colleges Presidents  
Effective Date: July 1, 1978  
Supersedes: Executive Order Nos. 140 and 162

This Executive Order is issued pursuant to authority granted by Education Code Sections 89035, 89753 and 89754; and Sections 1, 2, and 4(e) of Chapter III of the Standing Orders of the Board of Trustees of The California State University and Colleges and applies to support allocations issued by the Chancellor's Office for the following funds:

1. State General Fund – Support only
2. State College Dormitory Revenue Fund – Housing System
3. State College Dormitory Revenue Fund – Parking System
4. State College Continuing Education Revenue Fund

The authority delegated to the presidents by Executive Orders No. 140 and 162 is superseded and replaced by this Executive Order No. 299, effective July 1, 1978.

The Vice Chancellor of Business Affairs is hereby delegated authority to implement and administer this Executive Order, including modification, revocation and restoration, in whole or in part, in particular cases, of matters delegated in Parts I and II of this Executive Order.

In implementing the authority delegated in Parts I and II of this Executive Order, the campuses should not make commitments exceeding their net allocation of funds which includes estimated salary savings and reimbursements (income).

No transfers between the General Fund and any Special Revenue Fund nor transfers between the Special Revenue Funds are permitted under this delegation.

This delegation specifically excludes transactions affecting Trust and Capital Outlay funds.

I

A. Intra-Program Transfer of Budget Allotments

Effective July 1, 1978, authority to approve transfers within and between the *object categories* of Personal Services and Operating Expenses and Equipment within a *program category* is hereby delegated to each president with respect to his particular campus, including the authority to further delegate to not more than two officers designated by him, all subject to the following limitations:

ALL FUNDS

1. No transfers may be made which are not in accordance with all applicable statutes including but not limited to, the Budget Act; or which are not in accordance with all applicable regulations and policies of the Board of Trustees.

2. Approval of the Chancellor's Office is required if the transfer is to implement any of the following:
  - a. New activities never formally authorized in the budget.
  - b. Expansion of objectives and levels of service of existing activities that significantly go beyond that formally authorized in the budget.
  - c. Any transfer between *program categories*.
  - d. Transfer to or from allotments which have been specifically restricted by the Chancellor's Office for any specific fiscal year.

#### GENERAL FUND ONLY

3. Approval of the Chancellor's Office is required if the transfer is to implement any of the following:
  - a. Reorganization plans that result in changes in, or creation of new organizational units and/or academic administrative positions must be submitted to the Vice Chancellor, Faculty and Staff Affairs, for review by representatives of Faculty and Staff Affairs, Academic Affairs, and Business Affairs in accordance with Trustee policy stated in "Review of Organizational Guidelines for Campuses" as set forth in Agenda Item No. 1 of the Committee on Faculty and Staff Affairs for the September 25-26, 1973 meeting of the Board of Trustees.
  - b. Restoration of budget reductions made by the Legislature or Governor.
  - c. Transfer of funds from allotments designated as being financed by the Student Services Fee.
  - d. Transfers from the Salary Savings Reserve Account to any other allotment.
4. No transfers to the reclassification and faculty promotion budget allotments may be made under this delegation. Transfers from these allotments are restricted to transactions within *program categories*.

#### SPECIAL REVENUE FUNDS ONLY

5. Approval of the Chancellor's Office is required if the transfer is to implement any of the following:
  - a. Transfers from allotments budgeted for Continuing Education for Central Administration entitled "Overhead Charges".
  - b. Transfers to equipment allotments.
  - c. Transfers to expand objectives or levels of service. For guidance refer to the following example and definitions:

Parking: An example would be that a proposal that would change the level of enforcement staffing within the parking program would require Chancellor's Office approval.

Continuing Education: For the purpose of these budgets, a significant expansion is defined as a 10% plus or minus change in the total amount budgeted by subprogram (e.g., Executive Management).

- d. Transfers which establish serialized positions, or establish or increase Temporary Help blanket positions.
- e. Transfers from allotments budgeted for Utilities or Staff Benefits.
- f. Any transfer to establish or increase allotments for Out-of-State travel.

## B. Accountability, Control, and Reporting Requirements

### 1. Accountability

#### a. All Funds

The president is responsible for adjusting campus expenditures in the event anticipated income (revenue or reimbursements) is below initial projections. This would be necessary since all allocations are based on net cost projections (authorized expenditures less estimated salary savings and estimated reimbursements).

#### b. General Fund Only

In implementing the authority delegated for transferring funds between budget allotments within budgetary programs, the president is responsible for achieving budgeted salary savings.

### 2. Control

#### a. All Funds

The Budget Planning and Administration unit of the Chancellor's Office will conduct periodic examinations of financial documents and transactions approved by the colleges pursuant to this delegation to assure compliance with applicable language contained in the appropriation item and control sections of the Budget Act, applicable statutes and regulations and policies of the Board of Trustees.

#### b. General Fund Only

Quarterly allotments of personal service expenditures will be established by each college in accordance with Sections 8301 and 8301.1 of the State Administrative Manual. At the end of each quarter, unliquidated balances for these allotments shall be transferred to the Salary Savings Reserve on Form 25, Transfer of Budget Allotment (TBA) within 30 days.

### 3. Reporting Requirements – All Funds

- a. Copies of all documents implementing these delegated transactions will be sent to the Chancellor's Office for post-audit.
- b. One information copy of documents (TBA) transferring funds between subprograms or object categories will be sent to the Chancellor's Office and contain a statement indicating the proposed use of funds and an explanation of how the funding source became available for transfer.

- c. Two copies of documents transferring funds between *program categories* (TBA for Special Fund – RAO for General Fund) or scheduling unbudgeted reimbursements or revenue (RAO for all funds) will be sent to the Chancellor's Office for approval. The Request for Allocation Order or TBA form shall contain a general purpose statement explaining the intended use of the funds and how they became available for transfer or scheduling.
- d. If any part of a transaction (607, 613, etc.) requires approval by the Chancellor's Office, all documentation pertinent to the transaction shall be submitted with the document requiring approval.
- e. Quarterly Reports of expenditures and reimbursements in a form prescribed by the Chancellor's Office.

## II

### A. Approval Authority for Forms 607

Effective July 1, 1978, authority is hereby delegated to each president with respect to his or her particular campus, to approve those Forms 607 effecting the kinds of position changes listed below, including authority to further delegate this authority to not more than two officers.

#### ALL FUNDS

1. Establishment of all new positions, including renewal of all blanket positions as authorized in the budget.
2. Abolishment of positions as authorized in the budget.
3. Downward reclassifications and restorations to the level authorized in the most current printed budget.
4. Conversion of whole positions to fractional equivalents or of fractional equivalents to whole positions, within the same classification.
5. Reclassification of positions on the Delegated Classification Review List subject to approval of funding provisions.
6. Campuses with a Plan of Classification Authority approved by the Faculty and Staff Affairs Division of the Chancellor's Office may reclassify all positions subject to the guidelines in UCAM Section 6112 and available funding sources.
7. Establishment of temporary parallel positions as required up to three months but not less than one week to cover absences of regular employees on military leave, jury duty, sick leave or Workers' Compensation insurance leave; and up to one month but not less than one week for early departures of terminating employees with extensive accumulated overtime and vacation time.
8. Conversion of full-time or part-time teaching positions to blanket teaching positions, including establishment of up to four graduate assistant positions for each full-time teaching faculty position subject to funds available. Such conversions will be for not less than one month or more than one year in duration. In no event will conversions to graduate assistants exceed 2% of total teaching faculty positions.
9. Conversion of non-teaching positions to blanket positions and vice versa.

## GENERAL FUND ONLY

10. Establishment or abolishment of positions for a term not to extend beyond June 30 of any fiscal year as required to implement transfers of funds between the *object categories* of Personal Services and Operating Expense and Equipment.

### B. Limitations

All of the foregoing position changes are subject to the following limitations:

#### ALL FUNDS

1. In accordance with Section 89753(d) of the Education Code, significant changes in grade or class of existing positions shall be shown as administrative adjustments in the subsequent budgetary submissions and shall be subject to review during the legislative budget process. Significant changes are defined as changes to classes with a base step equivalent to the Painter I classification. Reclassification, beyond this level, must be established on a temporary basis (i.e., expire June 30) until listed as a "Workload and Administrative Adjustment" in the printed budget. The reclassification document (Form 613) must be an action delegated to the campus by the Faculty and Staff Affairs section of the Chancellor's Office.
2. Classes restricted for use in the Chancellor's Office may not be established on the campus.
3. Temporary Help blankets for "various" classifications will not be used to appoint persons to professional positions with a base step above that equivalent to a campus Financial Manager I. Blankets for professional positions above this amount will be restricted to a given classification series and established by conversions of that given classification. Further, the intent is to restrict the use of Temporary Help blankets to part-year and to part-time employees. See UCAM Section 5220.02.
4. The following conditions must be satisfied on all changes of positions (Forms 607):
  - a. The financing is included in the approved budget, or the financing is provided by a transfer of funds that can be approved by the campus. (Transfers to augment the reclassification allotments must be approved by the Chancellor's Office.)
  - b. The Form 613, if applicable, has been approved pursuant to a delegation to the campus of classification authority, by the Faculty and Staff Affairs section of the Chancellor's Office. (If the Form 613 must be approved by Faculty and Staff Affairs, the Forms 607 and related funding document must be submitted to the Chancellor's Office for approval.)
5. Approval by the Chancellor's Office is required if the position change is to implement any of the following:

#### ALL FUNDS

- a. New activities never formally authorized in the budget.
- b. Expansion of objectives and levels of service of existing activities that significantly go beyond that formally authorized in the budget.

- c. Establishment and reclassification of positions at the level of Dean and Vice President must be submitted to Faculty and Staff Affairs for review and approval in accordance with UCAM Section 6112. (This includes review of major changes in the content of positions already established.)
- d. Restoration of budget reductions made by the Legislature or Governor.

**SPECIAL REVENUE FUNDS ONLY**

- e. Establishment of unbudgeted serialized or Temporary Help positions or increases in budgeted Temporary Help positions.

**C. Accountability, Control, and Reporting Requirements**

The following procedures will be required to be performed under this delegation for all funds:

1. Campuses will submit Forms 607 implementing delegated actions directly to the State Controller with an information copy to the Chancellor's Office. Information copies of locally approved funding documents will also be submitted to the Chancellor's Office unless specifically exempted in writing.
2. The Budget Planning and Administration unit of the Chancellor's Office will conduct periodic examinations of financial documents and transactions approved by the campus pursuant to this delegation.

Glenn S. Dumke by Harry Harman  
Glenn S. Dumke, Chancellor

Dated: August 10, 1978



THE CALIFORNIA STATE UNIVERSITY AND COLLEGES  
Office of the Chancellor  
400 Golden Shore  
Long Beach, California 90802  
(213) 590- 5726

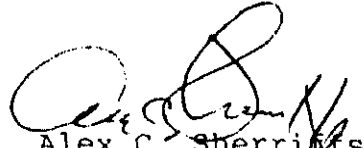
Code: BP 78-46  
SA 78-67

Date: August 8, 1978

To: Presidents



From: D. Dale Hanner  
Vice Chancellor  
Business Affairs



Alex C. Sherriffs  
Vice Chancellor  
Academic Affairs

Subject: Modification of the Delegation of Budget Authority  
Relating to the Educational Opportunity Program -  
1978/79 Fiscal Year

For the 1977/78 fiscal year, the Delegation of Budget Authority made by the then effective Executive Order 162 was modified to incorporate a restriction related to the Educational Opportunity Program (EOP). This restriction was pursuant to supplemental language included as a "condition" of the support appropriation (Item 324) of the 1977/78 Budget Act.

The purpose of this memorandum is to again recognize the intent of this budget language by implementing administrative restrictions pertaining to the utilization of funds and positions allocated to each campus EOP program. Specifically, for the 1978/79 fiscal year, the Delegation of Budget Authority made by Executive Order 299 (effective July 1, 1978) is hereby modified to include the special restriction described on the attachment. This modification clarifies Section I-A-1 but does not otherwise alter the provisions of Executive Order 299 or the "CSUC EOP Regulations and Guidelines" defining the Educational Opportunity Program.

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Distribution: Vice Presidents, Academic Affairs    Deans of Students  
Vice Presidents, Administration    Directors of EOP  
Business Managers    Chancellor's Office Staff  
Budget Officers    Administrative Information  
Center

Presidents  
August 8, 1978  
Page Two

If there are any questions concerning this matter, please contact Mr. Louis V. Messner, Chief, Budget Planning and Administration, or Dr. Vicente (Bert) Rivas, Associate Dean, Student Affairs.

DDH:ACS:ct

Attachment

1978/79 Modification of  
Executive Order 299 Pertaining  
to the Educational Opportunity Program

Effective for the 1978/79 fiscal year the funds budgeted for the Educational Opportunity Program (EOP) shall be used exclusively to assist EOP students, as defined by "CSUC EOP Regulations and Guidelines."

The following limitations shall apply to funds and positions budgeted under the sub program of "Supplementary Educational Services - EOP":

1. State EOP grant funds shall not be transferred to other cost centers or other budget allotments.
2. Any documented transfer of funds or positions outside the EOP cost centers must be sent to the office of Budget Planning and Administration for approval by that office and by the Coordinator of the Educational Opportunity Program in the Chancellor's Office. These will be approved only if the intended use is to assist EOP students.
3. Authorized positions and other EOP funds shall be used exclusively to service EOP students.
4. Personnel assignments may be made as follows:
  - A. Organizational assignment to and location in the EOP office, or
  - B. Organizational assignments or location outside the EOP office but serving EOP students exclusively.

5. All EOP Salaries and Wages budget allocations will be reduced by no more than 5% of the original budget level to meet the campus' salary savings requirement.
6. EOP student assistant funds or positions transferred to Student Pay-Work Study allotments for purposes of matching federal funds must be used to employ EOP students participating in the Work-Study program.

THE CALIFORNIA STATE UNIVERSITY AND COLLEGES  
Office of the Chancellor  
400 Golden Shore  
Long Beach, California 90802  
(213) 590-5557

Code: BP 79-38  
BA 79-49

Date: July 24, 1979

To: Presidents

*D. Dale Hanner*  
From: D. Dale Hanner  
Vice Chancellor  
Business Affairs

*Alex C. Sherriffs*  
Alex C. Sherriffs  
Vice Chancellor  
Academic Affairs

Subject: Modification of the Delegation of Budget Authority  
Relating to the Educational Opportunity Program -  
1979-80 Fiscal Year

For the 1977-78 fiscal year, the Delegation of Budget Authority made by the then effective Executive Order 162 was modified to incorporate a restriction related to the Educational Opportunity Program (EOP). This restriction was pursuant to supplemental language included as a "condition" of the support appropriation (Item 324) of the 1977-78 Budget Act. This budget language read as follows:

". . . provided further, that (1) Educational Opportunity Program (EOP) funds shall be used exclusively to assist EOP students, as defined in the Education Code and regulations adopted by the Trustees of the California State University and Colleges, and (2) all EOP funds, excluding grants, shall be allocated to campus EOP directors no later than December 1, 1977. . ."

The purpose of this memorandum is to continue recognition of the intent of this budget language by implementing administrative restrictions pertaining to the utilization of funds and positions allocated to each campus EOP program. Specifically, for the 1979-80

"MORE"

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Distribution: Vice Presidents, Academic Affairs  
Vice Presidents, Administration  
Business Managers  
Budget Officers  
Deans of Students  
Educational Opportunity Program Directors  
Chancellor's Office Staff  
Administrative Information Center  
Legislative Analyst

fiscal year, the Delegation of Budget Authority made by Executive Order 299 (effective July 1, 1978) is hereby modified to include the special restriction described on the attachment. This modification clarifies Section I-A-1 but does not otherwise alter the provisions of Executive Order 299 or the "CSUC EOP Regulations and Guidelines" defining the Educational Opportunity Program.

If there are any questions concerning this matter, please contact Mr. Louis V. Messner, Chief, Budget Planning and Administration, or Dr. Vicente H. Rivas, Associate Dean, Student Affairs.

DDH:ACS:ns  
Attachment

1979-80 Modification of  
Executive Order 299 Pertaining  
to the Educational Opportunity Program

Effective for the 1979-80 fiscal year the funds budgeted for the Educational Opportunity Program (EOP) shall be used exclusively to assist EOP students, as defined by "CSUC EOP Regulations and Guidelines."

The following limitations shall apply to funds and positions budgeted under the sub program of "Supplementary Educational Services - EOP":

1. State EOP grant funds shall not be transferred to other cost centers or other budget allotments.
2. Any documented transfer of funds or positions outside the EOP cost centers must be sent to the office of Budget Planning and Administration for approval by that office and by the Coordinator of the Educational Opportunity Program in the Chancellor's Office. These will be approved only if the intended use is to assist EOP students.
3. Authorized positions and other EOP funds shall be used exclusively to service EOP students.
4. Personnel assignments may be made as follows:
  - A. Organizational assignment to and location in the EOP office, or
  - B. Organizational assignments or location outside the EOP office but serving EOP students exclusively.
5. The Salary Savings requirement for EOP will be no more than 3.1% of the original budget level to meet the campus normal salary savings requirement.

Positions are not to be held vacant nor should there be a delay in hiring to meet more than the required salary savings of 3.1%. The intent of this statement is to obtain maximum utilization of EOP appropriated funds and not to generate higher salary savings in this area than are budgeted.