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ABBREVIATIONS

APC Academic Professionals of California
CFA California Faculty Association
CSEA California State Employees’ Association
CSU California State University
CSULB California State University, Long Beach
EO Executive Order
FTE Full-Time Employment
HEERA Higher Education Employee-Employer Relations Act
IUOE International Union of Operating Engineers
MPP Management Personnel Plan
OED Office of Equity and Diversity
OGC Office of General Counsel
SAM State Administrative Manual
SETC State Employees Trades Council
SUPA State University Police Association
UAPD California Federation of the Union of American Physicians and Dentists
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 2003 meeting, directed that Employee Relations be reviewed.

We visited the California State University, Long Beach (CSULB) campus from June 2, 2003, through June 26, 2003, and audited the procedures in effect at that time.

In our opinion, controls within selected areas of the employee relations function at CSULB were operating effectively and in compliance with existing California State University (CSU) policies. Campus employees were provided avenues for development and training that included, but were not limited to, new employee orientation, periodic training sessions for supervisory and management staff that covered critical and emerging employee relations issues, and an essentials for manager training program.

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.

EMPLOYEE RELATIONS ADMINISTRATION [6]

Certain activities that impact the control environment and administration of the employee relations function needed improvement. Although the campus implemented various processes to acclimate and train staff in employee relations, formalized sexual harassment training, including the handling and reporting of employee complaints, had not been provided to all faculty and staff. Training efforts for campus managers also needed strengthening since, in certain instances, managers were not aware of and/or had not received recent formal training on handling informal and formal sexual harassment and discrimination complaints, progressive disciplinary guidelines, and preparing performance evaluations.

PERFORMANCE MANAGEMENT [9]

Administrative controls over performance management activities needed strengthening. The campus had not developed progressive discipline guidelines, and reminders for pending performance evaluations did not include all management employees that were entitled to a six-month review.
INTRODUCTION

BACKGROUND

With the passage of major employment legislation since the 1960s, human resources management practices at the California State University (CSU) have evolved from the traditional role of hiring and record keeping to include administering labor contracts, providing employee assistance, and ensuring civil rights and other regulatory compliance. These activities embody the employee relations function within the human resources area and help ensure mutually satisfying working conditions and a viable employee-employer relationship.

The campus human resources departments that provide support for all respective employees typically administer the employee relations function. At the CSU, there are two main classes of employees that are designated in accordance with the provisions of the Higher Education Employee-Employer Relations Act (HEERA) of 1979. These classes are as follows:

Represented employees are individuals who belong to one of ten bargaining units at the CSU and whose duties do not include managerial activities as defined by HEERA.

Non-represented employees are individuals who are not included in a bargaining unit and are hired as Management Personnel Plan (MPP), confidential, or excluded employees.

Total full-time employment (FTE) at the CSU has grown from 31,361 to 39,440 active and on-leave employees (excluding hourly employees), which represents a 25.7% increase from October 1995 to October 2002. For administrative and reporting purposes, CSU has further grouped the represented and non-represented employees into staff, faculty, and MPP categories of which all are provided employee relations support by the campus and designated chancellor’s office departments, and reported as follows:

<table>
<thead>
<tr>
<th>Class</th>
<th>Employee Type</th>
<th>2002</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Represented</td>
<td>Staff</td>
<td>16,997</td>
<td>43.1</td>
</tr>
<tr>
<td></td>
<td>Faculty</td>
<td>17,422</td>
<td>44.2</td>
</tr>
<tr>
<td>Non-Represented</td>
<td>MPP</td>
<td>3,142</td>
<td>8.0</td>
</tr>
<tr>
<td></td>
<td>Staff - Confidential</td>
<td>315</td>
<td>0.7</td>
</tr>
<tr>
<td></td>
<td>Staff – Excluded</td>
<td>1,564</td>
<td>4.0</td>
</tr>
<tr>
<td>Total FTE</td>
<td></td>
<td>39,440</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Presently, seven unions represent the 34,419 FTE employees that belong to ten bargaining units. In October 2002, the California Faculty Association (CFA) and the California State Employees’ Association (CSEA) included 31,077 total FTE (17,422, and 13,655, respectively), with the remaining 3,342 FTE dispersed between the following unions:
INTRODUCTION

<table>
<thead>
<tr>
<th>Union</th>
<th>2002 FTE</th>
</tr>
</thead>
<tbody>
<tr>
<td>California Federation of the Union of American Physicians</td>
<td>71</td>
</tr>
<tr>
<td>and Dentists (UAPD)</td>
<td></td>
</tr>
<tr>
<td>Academic Professionals of California (APC)</td>
<td>1,996</td>
</tr>
<tr>
<td>State Employees Trades Council (SETC)</td>
<td>973</td>
</tr>
<tr>
<td>State University Police Association (SUPA)</td>
<td>288</td>
</tr>
<tr>
<td>International Union of Operating Engineers (IUOE)</td>
<td>13</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>3,342</strong></td>
</tr>
</tbody>
</table>

In the CSU Staffing Trends and Analysis report, dated February 2003, the percentage distribution of total FTEs at the CSU is graphically represented as follows:

PURPOSE

Our overall audit objective was to ascertain the effectiveness of existing policies and procedures related to the administration of the employee relations function 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, specific goals included making a determination as to whether:

- Administration and management of the employee relations function provide effective internal controls, clear lines of organizational authority, delegations of authority, and documented policies and procedures.
INTRODUCTION

- Processes and procedures ensure timely and effective interpretation and communication of CSU policies and other directives impacting the employee-employer relationship, channels for reporting improprieties and escalating grievances and complaints, and resources for resolving both work and non-work related problems.

- Campus procedures provide for timely reimbursement of union leave.

- Managers are appropriately trained and knowledgeable of assigned employee relations responsibilities.

- Complaints and reconsideration requests are handled in compliance with applicable CSU policy and other directives.

- Employees are provided timely feedback and guidance for performance development and improvement.

- Disciplinary action is performed in accordance with collective bargaining agreements, CSU policy, and other directives.

- Whistleblower disclosures are handled in compliance with CSU policy and shared only with individuals who have a legitimate business reason to know.

- Confidential hardcopy and system information assets such as information pertaining to complaints, reconsideration requests, and performance management activities are reasonably secure.

SCOPE AND METHODOLOGY

The proposed scope of the audit as presented in Attachment B, Audit Item 2 of the January 28-29, 2003, meeting of the Committee on Audit stated that the review would include negotiating and administering collective bargaining agreements with represented employees, administering the management personnel plan for non-represented employees, and the systems for addressing staff grievances and complaints. Potential impacts include inordinate costs, unfavorable contracts, increased exposure to litigation, and unfair labor practices. The Office of the University Auditor has not previously reviewed Employee Relations.

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. The audit review focused on procedures in effect during fiscal year 2002-2003. Throughout this report, we will refer to employee relations as the primary audit subject. At California State University, Long Beach, the associate vice president for academic personnel; the associate vice president for budget and human resources management; the director of employee relations; the director of staff personnel services; and other responsible individuals administer the employee relations function.
We focused primarily upon internal, administrative, compliance, and operational controls over the management of the employee relations function. Specifically, we reviewed and tested:

- Administrative policies, procedures, and processes.
- Interpretation and communication of CSU policies, union provisions, and other directives.
- Reimbursements for union leave provided to represented employees in all bargaining units.
- Training provided to campus managers with employee relations responsibilities.
- Complaint handling for non-represented and certain represented employees.
- Reconsideration requests from non-represented employees.
- Performance management for non-represented and represented employees, excluding the CFA.
- Disciplinary actions for non-represented and represented employees, excluding the CFA.
- Processing of involuntary terminations for non-represented employees.
- Handling of whistleblower disclosures and complaints of alleged retaliation.
- Maintenance and protection of confidential employee relations information.
OBSERVATIONS, RECOMMENDATIONS, AND CAMPUS RESPONSES

EMPLOYEE RELATIONS ADMINISTRATION

Controls to ensure that staff were appropriately trained and knowledgeable of campus and California State University (CSU) employee relations policies needed improvement.

Staff personnel services and other campus departments implemented various processes to acclimate and train staff in the employee relations area. New staff and faculty were offered bimonthly and annual orientation sessions, respectively, that covered campus policies, benefits, and other employee information; during the First Friday and Essentials for Managers training sessions, campus managers were provided training opportunities in the areas of employment law, labor relations, and employee health and safety; and upon special request to the office of equity and diversity (OED), campus departments were provided focused training on sexual harassment, discrimination, and other employment rights issues. However, our review disclosed that:

- Formalized sexual harassment training, including the handling and reporting of employee complaints, had not been provided to all faculty and staff. OED provided the last formalized training session approximately three years ago.

- Efforts to train campus managers in assigned employee relations responsibilities needed strengthening. Interviews with ten campus managers disclosed that:
  - Four had not received recent formal training on handling informal and formal sexual harassment and discrimination complaints.
  - Nine had not documented informal complaints of sexual harassment and discrimination that were resolved at the department level. As a result, some informal complaints that were received by the campus were not reported to the OED or included in that department’s annual compilation and report to the president.
  - Three were not aware of performance evaluation training that was provided by staff personnel services.
  - Five had not received training on progressive disciplinary guidelines.
  - Five were not aware of the campus management personnel plan (MPP) reconsideration procedures, and eight had not received formal training on reconsideration requests.
  - Four incorrectly identified the campus administrator for handling whistleblower disclosures; two were not aware of how to correctly handle whistleblower disclosures; and all were not aware of how to handle allegations of retaliation from staff employees.
Executive Order (EO) No. 345, *Prohibition of Sexual Harassment*, dated May 29, 1981, states that to maintain a learning and working environment free from sexual harassment, the campuses are encouraged to educate the campus community, students, and employees regarding sexual harassment. The California State University, Long Beach (CSULB) *Affirmative Action Plan*, dated September 1, 2002, through August 31, 2003, states that staff personnel services will conduct training regularly for hiring authorities and administrative service managers on the equal employment and affirmative action commitments of the university, and the procedures to be followed. This will include review of hiring, advancement, discipline, and related processes.

The CSULB *Complaint Procedures* state that all informal complaints must be reported to the director of equity and diversity.

State Administrative Manual (SAM) §20050 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 persons with managerial and oversight responsibilities are trained in campus and CSU policies and other employee relations areas.

The associate vice president of budget and human resources management stated that the campus faces many challenges, included limited financial resources, in effectively reaching all campus managers and staff with essential training. She further stated that the campus remains committed to delivering a balanced training and professional development program.

Not providing effective training increases the risk of employee complaints and potential lawsuits against the campus and the CSU.

**Recommendation 1**

We recommend that the campus:

a. Formalize and expand the current employee training programs through developing and implementing a comprehensive education and training plan that includes minimum periodic training of all campus managers, and staff, as appropriate. This plan should include education and training on preventing and handling informal and formal sexual harassment and discrimination complaints, including the requirement for departments to document and report complaints to the office of equity and diversity, performance evaluations, progressive discipline guidelines, MPP reconsideration requests, and the campus procedures for whistleblower disclosures and allegations of retaliation.

b. Implement controls to ensure that training is provided in the timeframes that are established by the training plan.

**Campus Response**

We concur with the recommendations.
a. The campus has expanded and formalized the existing Staff Training and Development Program that includes training on performance management and labor relations. The program is publicized on the university website and in a newsletter that is distributed three times a year. Invitations to participate in these on-campus training activities are circulated across the campus, both in general e-mail broadcasts as well as individually to all managers.

At least two sessions per year are offered in the areas of employee relations and performance management to all management and staff employees. All new managers are invited to participate in Essentials for New Managers, a program with six, three-hour modules. Two of these training modules are specific to performance management and employee relations. A complete list of training offered by staff personnel services during 2003 is being provided to the auditors. For the period January through May 2004, a number of sessions specific to performance management and employee relations training have already been scheduled and registrations are being accepted via the training website. A copy of the overall training plan proposed for 2004 is being provided to the auditors. Adjustments to the plan may be required once information concerning the 2004-2005 budget is known.

Notification and education regarding procedures for whistleblower disclosures and allegations of retaliation are conducted on an ongoing basis. For 2004, education sessions have been calendared for managers and supervisors on January 9, 2004, as part of the regularly scheduled First Friday training sessions, and also on February 9, 2003, as part of the regularly scheduled administrative services managers meeting. In addition, all faculty and staff employees receive annual notifications via e-mail regarding whistleblower protections. These notifications include a link to the on-line campus whistleblower and retaliation policies. Detailed campus procedures on both whistleblower reporting and protections and claims of retaliation were distributed to all offices on the campus in hard copy on June 9, 2003, and are available on the university website.

OED has contracted for an on-line training program called Workplace Answers dealing with sexual harassment and discrimination for supervisors, managers, and other employees. The on-line training builds a sound foundation of knowledge in the individual employee and in the workforce in general. The program includes a customized letter of introduction and periodic notices to participants and is also available by remote in mobile units for employees who are not equipped with computers. In May 2003, the university purchased 1,150 employee licenses and 300 manager-supervisor licenses. The on-line programs were enhanced to fit CSULB needs. The programs are currently operational and 157 managers and supervisors from academic affairs and the division of administration and finance are enrolled in the current round of training. Twenty-two faculty and staff from the College of Business Administration are also enrolled. The campus intends to continue to distribute the training for all divisions within the course of three years, as the budget will allow.

The OED issued a new brochure containing a revised Policy Promoting Access & Opportunity and Prohibiting Discrimination, Harassment, and Retaliation, 03-09, to the entire campus on December 1, 2003. The brochure includes both formal and informal complaint procedures consistent with collective bargaining agreements and chancellor’s office executive orders. In addition, the OED website has been updated to replace obsolete publications, policy, and procedures with current ones. A copy of the new publication, Policy Promoting Access &
Opportunity and Prohibiting Discrimination, Harassment, and Retaliation, 03-09, and the Complaint Resolution Procedures are being provided to the auditors.

The OED is continuing the process of informing the campus community of the need for all offices to document complaints and report them to the OED office. The units normally handling a number of complaints are the women’s resource center and student life and development. The interim director of equity and diversity informed these offices of the procedures. First Friday training participants were informed on September 5, 2003. Furthermore, OED has requested the assistance of each division executive in informing their respective staff to document and report informal complaints.

b. The campus has implemented controls to ensure that training is provided in the timeframes established by the training program. These include additional oversight by the associate vice president for budget and human resources and scheduling the training through the campus website.

Corrective action on this finding is complete.

PERFORMANCE MANAGEMENT

PROGRESSIVE DISCIPLINE GUIDELINES

The campus had not developed progressive discipline guidelines that included, but were not limited to, authority for preparing and/or reviewing investigatory reports and imposing formal discipline, and internal procedures for handling disciplinary cases and maintaining confidential information.

The Office of General Counsel’s (OGC) Guidelines for Preparing Disciplinary Cases, dated September 1995, state that to facilitate the initiation of formal disciplinary action, the following internal procedures should be developed by the campus: (a) define policy person(s) responsible for reviewing investigatory report and deciding on appropriate sanction; (b) define a person responsible for preparing investigatory report and coordinating between witnesses, policy personnel, and the OGC; (c) establish an early warning system to identify employees who need to improve their performance or modify their conduct; and (d) establish procedures in conjunction with the OGC to maintain investigator’s work product as confidential under the attorney-client privilege.

SAM §20050 states that one symptom of a deficient internal control system is policy and procedural or operational manuals that are either not currently maintained or are nonexistent.

The associate vice president of budget and human resources management stated that campus practice of implementing progressive discipline complies with the OGC guidelines and not documenting campus specific guidelines was an oversight.

A lack of current and complete guidelines increases the risk of misunderstandings related to the performance of duties and functions and inconsistencies in complying with relevant CSU policies and/or directives.
Recommendation 2

We recommend that the campus develop and publish progressive discipline guidelines.

Campus Response

We concur with the recommendation.

The university’s Statement on Progressive Discipline has been written and incorporated into the training/education programs and is posted on the university website. A copy of the statement as it appears on the university website is being provided to the auditors.

Corrective action on this finding is complete.

PERFORMANCE EVALUATIONS

Controls over the performance management process did not always ensure that periodic evaluations were received for all campus staff.

Staff personnel services sent various reminders to campus departments of pending and/or past-due evaluations. The reminders were sent for all represented and non-represented employees with the exception of MPP employees that were entitled to a six-month performance evaluation. Of eight MPP employee files reviewed, the campus could not provide performance evaluations for two applicable employees that met this criteria.

Title 5 §42722 states that MPP employees shall be evaluated after six months and one year.

The recruitment and training manager indicated that notices were not being sent to managers reminding them that six-month reviews were due for MPP employees in their first year of employment.

Inadequate control over the performance management process increases the risk of non-compliance with campus and/or CSU policy, poor staff morale, and possible unjustifiable disciplinary and termination actions.

Recommendation 3

We recommend that the campus establish procedures to send reminder notices to the appropriate managers regarding performance evaluations that are due for new MPP employees six months from their date of hire.

Campus Response

We concur with the recommendation.
In late 2003, the campus developed an appraisal due notification system using the features offered in the PeopleSoft human resources module. This program is run monthly and automatically prepares custom letters from the director of staff personnel to notify managers when the six-month evaluations for newly hired MPP employees are due. An information copy of this notification letter is also sent to the division/area administrative services manager. A sample of the monthly report (November 2003) and the automated notification letter is being provided to the auditors.

Corrective action on this finding is complete.
## APPENDIX A:
### PERSONNEL CONTACTED

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Robert C. Maxson</td>
<td>President</td>
</tr>
<tr>
<td>Dorothy Abrahamse</td>
<td>Dean, College of Liberal Arts</td>
</tr>
<tr>
<td>Laurie Angel</td>
<td>Division Fiscal Manager, Physical Planning and Facilities Management</td>
</tr>
<tr>
<td>Tom Angell</td>
<td>Director of Staff Personnel Services</td>
</tr>
<tr>
<td>Lou Caron</td>
<td>Administrative Services Manager, Academic Affairs</td>
</tr>
<tr>
<td>Pat Caton</td>
<td>Employee Relations Assistant</td>
</tr>
<tr>
<td>Scott Charmack</td>
<td>Associate Vice President, Physical Planning and Facilities Management</td>
</tr>
<tr>
<td>Kathleen Cohn</td>
<td>Associate Vice President, Academic Personnel</td>
</tr>
<tr>
<td>William Griffith</td>
<td>Vice President, Administration and Finance</td>
</tr>
<tr>
<td>Victoria Hamilton</td>
<td>Recruitment and Training Manager</td>
</tr>
<tr>
<td>Richard Hernandez</td>
<td>Manager, Custodial Services</td>
</tr>
<tr>
<td>Kathleen Hext</td>
<td>Director of Internal Auditing Services</td>
</tr>
<tr>
<td>Carol Johnson</td>
<td>Assistant Vice President for Administration and Finance</td>
</tr>
<tr>
<td>Elena Macias</td>
<td>Interim Director, Office of Equity and Diversity</td>
</tr>
<tr>
<td>Robyn Rae Mack</td>
<td>Associate Vice President for Budget and Human Resources Management</td>
</tr>
<tr>
<td>Leslie Nix-Baker</td>
<td>Director of Employee Relations</td>
</tr>
<tr>
<td>Kevin Nguyen</td>
<td>Personnel Computer Specialist</td>
</tr>
<tr>
<td>Elizabeth Novack</td>
<td>University Ombuds</td>
</tr>
<tr>
<td>Nikco Palmer</td>
<td>Personnel Services Assistant</td>
</tr>
<tr>
<td>Donald Para</td>
<td>Dean, College of the Arts</td>
</tr>
<tr>
<td>Janet Parker</td>
<td>Director of Budget and Human Resource Information Systems</td>
</tr>
<tr>
<td>Laura J. Reilly</td>
<td>Accounts Payable Manager</td>
</tr>
<tr>
<td>Jan Reyes</td>
<td>Coordinator, Disability Support and Accommodation and</td>
</tr>
<tr>
<td></td>
<td>Former Director, Office of Equity and Diversity</td>
</tr>
<tr>
<td>Stanley Skipworth</td>
<td>Captain, University Police</td>
</tr>
<tr>
<td>Aysu Spruill</td>
<td>Senior Internal Auditor</td>
</tr>
<tr>
<td>Kimberlee Verdugo</td>
<td>Recruitment Coordinator, Personnel Assistant</td>
</tr>
<tr>
<td>Ronald Vogel</td>
<td>Dean, College of Health and Human Services</td>
</tr>
<tr>
<td>Rosario Yeung-Lindquist</td>
<td>Administrative Services Manager, Library</td>
</tr>
</tbody>
</table>
January 14, 2004

Mr. Larry Mandel
University Auditor
California State University
401 Golden Shore, 4th Floor
Long Beach, California 90802

Re: Response to Employee Relations Audit Report 03-16

Dear Larry:

Please find enclosed California State University, Long Beach's response to the above report. The campus concurs with the audit recommendations and has already taken corrective action to address all of them.

We are providing documentation under separate cover to evidence completion of all of the items.

Please let me know if we can provide you with any additional information.

Sincerely,

William H. Griffith
Vice President for Administration and Finance

Enclosure

cc: Robert C. Maxson, President
    Robyn Mack, AVP, Budget and Human Resources Management
    Leslie Nix-Baker, Director of Employee Relations
    Tom Angell, Director of Staff Personnel
    Elena Macias, Director, Office of Diversity and Equity
    Kathleen Hext, Director of Internal Auditing Services
    Michelle Schlack, Audit Manager, Office of the University Auditor
RESPONSE TO EMPLOYEE RELATIONS AUDIT
JANUARY 14, 2004
CALIFORNIA STATE UNIVERSITY,
LONG BEACH
REPORT NO. 03-16

EMPLOYEE RELATIONS ADMINISTRATION

Recommendation 1

We recommend that the campus:

a. Formalize and expand the current employee training programs through developing and implementing a comprehensive education and training plan that includes minimum periodic training of all campus managers, and staff, as appropriate. This plan should include education and training on preventing and handling informal and formal sexual harassment and discrimination complaints, including the requirement for departments to document and report complaints to the office of equity and diversity, performance evaluations, progressive discipline guidelines, MPP reconsideration requests, and the campus procedures for whistleblower disclosures and allegations of retaliation.

b. Implement controls to ensure that training is provided in the timeframes that are established by the training plan.

Campus Response: We concur with the recommendations.

1a. The campus has expanded and formalized the existing Staff Training and Development Program that includes training on performance management and labor relations. The program is publicized on the University website and in a newsletter that is distributed three times a year. Invitations to participate in these on-campus training activities are circulated across the campus, both in general e-mail broadcasts as well as individually to all managers.

At least two sessions per year are offered in the areas of employee relations and performance management to all management and staff employees. All new managers are invited to participate in the “Essentials for New Managers,” a program with six, three-hour modules. Two of these training modules are specific to performance management and employee relations. A complete list of training offered by Staff Personnel Services during 2003 is being provided to the auditors. For the period January through May 2004, a number of sessions specific to performance management and employee relations training have already been scheduled and registrations are being accepted via the training website. A copy of the overall training plan proposed for 2004 is being provided to the auditors. Adjustments to the plan may be required once information concerning the 2004-2005 budget is known.

Notification and education regarding procedures for whistleblower disclosures and allegations of retaliation are conducted on an ongoing basis. For 2004, education sessions have been calendared for managers and supervisors on January 9, 2004, as part of the regularly
scheduled “First Friday” training sessions, and also on February 9, 2003, as part of the regularly scheduled Administrative Services Managers Meeting. In addition, all faculty and staff employees receive annual notifications via e-mail regarding whistleblower protections. These notifications include a link to the on-line campus whistleblower and retaliation policies. Detailed campus procedures on both whistleblower reporting and protections and claims of retaliation were distributed to all offices on the campus in hard copy on June 9, 2003, and are available on the University website.

The Office of Equity and Diversity (OED) has contracted for an on-line training program called Workplace Answers dealing with sexual harassment and discrimination for supervisors, managers and other employees. The on-line training builds a sound foundation of knowledge in the individual employee and in the workforce in general. The program includes a customized letter of introduction and periodic notices to participants and is also available by remote in mobile units for employees who are not equipped with computers. In May 2003 the University purchased 1150 employee licenses and 300 manager-supervisor licenses. The on-line programs were enhanced to fit CSULB needs. The programs are currently operational and 157 managers and supervisors from Academic Affairs and the Division of Administration and Finance are enrolled in the current round of training. Twenty-two faculty and staff from the College of Business Administration are also enrolled. The campus intends to continue to distribute the training for all divisions within the course of three years, as the budget will allow.

The OED issued a new brochure containing a revised Policy Promoting Access & Opportunity and Prohibiting Discrimination, Harassment, and Retaliation, 03-09 to the entire campus on December 1, 2003. The brochure includes both formal and informal complaint procedures consistent with collective bargaining agreements and Chancellor’s Office Executive Orders. In addition, the OED website has been updated to replace obsolete publications, policy and procedures with current ones. A copy of the new publication, Policy Promoting Access & Opportunity and Prohibiting Discrimination, Harassment, and Retaliation, 03-09, and the Complaint Resolution Procedures is being provided to the auditors.

The OED is continuing the process of informing the campus community of the need for all offices to document complaints and report them to the OED office. The units normally handling a number of complaints are the Women’s Resource Center and Student Life and Development. Dr. Elena Macías, Interim Director of Equity and Diversity, informed these offices of the procedures. “First Friday” training participants were informed on September 5, 2003. Furthermore, OED has requested the assistance of each division executive in informing their respective staff to document and report informal complaints.

1b. The campus has implemented controls to ensure that training is provided in the timeframes established by the training program. These include additional oversight by the Associate Vice President for Budget and Human Resources and scheduling the training through the campus website.

Corrective action on this finding is complete.
PERFORMANCE MANAGEMENT

PROGRESSIVE DISCIPLINE GUIDELINES

Recommendation 2

We recommend that the campus develop and publish progressive discipline guidelines.

Campus Response: We concur with the recommendation.

The University’s Statement on Progressive Discipline has been written and incorporated into the training/education programs and is posted on the University website. A copy of the statement as it appears on the University website is being provided to the auditors. Corrective action on this finding is complete.

PERFORMANCE EVALUATIONS

Recommendation 3

We recommend that the campus establish procedures to send reminder notices to the appropriate managers regarding performance evaluations that are due for new MPP employees six months from their date of hire.

Campus Response: We concur with the recommendation.

In late 2003 the campus developed an “appraisal due” notification system using the features offered in the PeopleSoft Human Resources module. This program is run monthly and automatically prepares custom letters from the Director of Staff Personnel to notify managers when the six-month evaluations for newly hired Management Personnel Plan (MPP) employees are due. An information copy of this notification letter is also sent to the division/area administrative services manager. A sample of the monthly report (November 2003) and the automated notification letter is being provided to the auditors. Corrective action on this finding is complete.
February 27, 2004

MEMORANDUM

TO: Mr. Larry Mandel
   University Auditor

FROM: Charles B. Reed
       Chancellor

SUBJECT: Draft Final Report Number 03-16 on Employee Relations,
         California State University, Long Beach

In response to your memorandum of February 27, 2004, I accept the response as submitted with the draft final report on Employee Relations, California State University, Long Beach.

CBR/bth

Enclosure

cc: Mr. William H. Griffith, Vice President for Administration and Finance
    Dr. Robert C. Maxson, President