

State of California

Memorandum



Date: February 19, 2008

To: Joice Xiong
Director of Internal Audits

cc: M Ortiz
EA Barnes
DO Straney
LM Rotunni

From: Herman D. Lujan, Ph.D.
Provost and Vice President for Academic Affairs

Subject: Response to the Review of the College of Science

I would like to thank you for the significant effort in the review of the College of Science. The findings are important with respect to Science, but also result in many outcomes to be implemented for all the colleges. In the text below, each of the recommendations from the review is repeated for reference, followed by the specific Academic Affairs response.

Responses by Recommendation:

Recommendation 1

- Funds should not be transferred/loaned from one College to another to “balance the books” without addressing the underlying problems that created the deficit.
- To prevent future deficit spending, analysis of the deficit and appropriate corrective actions should be implemented by the College and the Academic Affairs division.

Academic Affairs Response

- a) Funds will not be transferred from one area to another as loans.
Timeline: Completed; this change in practice is immediate and continuing.
- b) A new budget model was developed that closely relates allocations to FTES targets. This comprehensive model was used to reallocate funding in 2007/08 and will be used in the future. Imbalances developed through the use of incremental budgeting contributed to the College of Science shortfall.
Timeline: Model was developed and implemented by December 31, 2007.

Recommendation 2

- Academic Affairs needs to ensure that there is appropriate oversight and management of hiring actions in the College of Science.
- The Division/College should have budget monitoring systems in place for early detection of problems and issues.

Academic Affairs Response

- c) Tenure-track faculty search requests will be evaluated using consistent methods throughout Academic Affairs. The AVP for Faculty Affairs and the Director of Academic Resources have been charged with establishing a process flow that provides the Provost with evaluation of human resource needs and available funding information prior to search and hiring approvals.

Timeline: Fundamental elements of process developed and tested in updating search requests and approving hires for 2008/09. Process documentation to be completed, approved by the Provost by July 1, 2008, and implemented in 2008/09.

- d) Budget monitoring systems are in place. Increased efforts will be made to assure that management at all levels is apprised of the expected outcome of funding shortfalls.

Timeline: Immediate and continuing.

Recommendation 3

- Academic Affairs should review its policies and practices related to faculty workload and release time and ensure that they comply with CSU policy.
- Academic Affairs should evaluate the costs associated with the current workload and release time in the College of Science to determine if this is an acceptable level of expense.
- Academic Affairs should ensure that the College's core objective of delivering instruction is not compromised by release time practices.

Academic Affairs Response

- e) The AVPs for Undergraduate Studies, Research & Graduate Studies, and Faculty Affairs will be charged to work with the college deans to develop guidelines for assigned time and monitoring faculty workload. These guidelines will take into consideration the appropriate use of assigned time consistent with the priority of delivering instruction. Guidelines will be approved by the Provost and implemented throughout the division.

Timeline: Guidelines to be developed, approved by the Provost by July 1, 2008, and implemented in 2008/09.

Recommendation 4

- Academic Affairs should re-assess the effectiveness of the faculty start-up investment strategy in the College of Science. Identifiable and verifiable measures should be in place to determine whether these investments are justifiable.
- Academic Affairs should defer the awarding of additional start-up costs until the assessment described above is completed.

Academic Affairs Response

- f) The AVP for Research & Graduate Studies will be charged to work with the college deans to develop guidelines for the awarding of start-up funding and a process of outcomes assessment. These guidelines will be approved by the Provost and implemented throughout the division.

Timeline: Guidelines and assessment plan to be developed, approved by the Provost by July 1, 2008, and implemented in 2008/09. First assessment to be completed by June 30, 2009.

- g) Appropriate support for teaching and scholarship must be provided if new faculty members are to become productive members of the community, and the provision of start-up funding is a common practice throughout academia. Academic Affairs does not find the sub-recommendation to defer awarding of start-up funding workable as written. During the development of guidelines and assessment plans, college deans will be charged with using a fiscally conservative approach to start-up funding. The anticipated fiscal situation and serious reduction in new faculty hires for 2008-09 will result in reduced start-up funding in the immediate future.

Recommendation 5

- Reimbursed activities should be re-evaluated to ensure that general fund dollars are used for general fund activities only. This is mandated by CSU Executive Order 1000.

Academic Affairs Response

- h) The AVP for Research & Graduate Studies and the Director of Academic Resources will be charged to work with the college deans to develop guidelines for the use of Reimbursed Activities funding. Guidelines will be approved by the Provost and implemented throughout the division.

Timeline: Guidelines to be developed, approved by the Provost by July 1, 2008, and implemented in 2008/09.