

Office of Public Stewardship

Annual Report 2011-2012

<http://www.maricopa.edu/publicstewardship>



Office Overview

The MCCCDC Office of Public Stewardship (OPS) was established in order to consolidate resources and formalize administrative responsibility for services that are related to stakeholder accountability. The Office of Public Stewardship is responsible for the **Maricopa Concernline, Citizens' and Employee Ombuds Services, Public Records Management, and Maricopa Governance**. In addition, the Office is responsible for establishing procedures for the administration of the **MCCCDC Tuition Waiver Program** and monitoring the use of waivers by employees, dependents of employees, and non-employees authorized by state statute to attend our colleges on a waiver.

The OPS is part of the Office of General Counsel, but as established by the International Ombudsman Association, maintains independence and autonomy in the review of ombuds-related issues. The Office is also committed to demonstrating key policy values such as honesty, integrity, responsibility, and stewardship when assisting both internal and external constituents in identifying and utilizing the proper mechanisms to obtain information and resolve concerns.

The OPS periodically produces a publication called the *Maricopa Steward*. The publication features updates to MCCCDC Board policies and administrative regulations, spotlights records and information

management topics of interest, and shares ombuds trends within the Maricopa Community Colleges.

In addition to facilitating the policy and administrative regulation amendment processes and electronically maintaining the policies and regulations online, the Office also maintains "Conflict of Interest" and "Residency for Tuition Purposes" web sites. Finally, for compliance with MCCCDC email messaging standards, the OPS also assigns access to the email designees to post messages to the district-wide email distribution lists **dl-maricopa-business** and **dl-maricopa-announcements**. Training is mandatory before access will be granted to the lists. The lists are monitored to ensure that the standards are adhered to by the designees.

Maricopa Governance

MCCCD Board Policies and Administrative Regulations

In FY2011-2012, although no specific Board policies were amended by Board action, there were three amendments to existing administrative regulations which remain under the Board's purview and one resolution in response to the State Legislature's proposed Guns on Campus provision. The three Administrative Regulations amended by the Board were Facility Rentals, Non-Discrimination (adding Gender Identity as a protected class), and Workplace Violence Prevention.

Additionally, 12 administrative regulations were amended through the formal approval process and a series of administrative regulations in support of student services, referred to as the Catalog Common Pages, were vetted through the appropriate councils before being submitted through the administrative regulations approval process. In addition to the Common Pages, the administrative regulations were: Academic Calendars for 2012-2013 and 2013-2014, Delegation of Authority for Grants (new), Guidelines for Service Animals on Campus (appendix item), Maricopa Emergency Management System (MEMS), Social Media, Solicitation was replaced by Use of College Grounds, Smoke-Free/Tobacco-Free Environment and Breathe Easy Tobacco Free | Smoke Free Guidelines for Enforcement, Use of College Facilities (technical revision), Underwriting

Activities for District-Sponsored Radio Stations (new), and Verification of Information for Financial Aid (appendix item). Detailed information about the Common Pages can be found at <http://www.maricopa.edu/publicstewardship/resources/cp.php>.

Proposals are posted on the OPS web at <http://www.maricopa.edu/publicstewardship/governance/proposals/proposals.php> and a crosswalk of approved Board policies and Administrative Regulations is posted at <http://www.maricopa.edu/publicstewardship/governance/proposals/crosswalk.php>. Comments are sent via email to an account established just for that purpose (governance@domail.maricopa.edu), compiled, and presented to the parties responsible for the proposed language changes for review. The complete approval process is delineated at <http://www.maricopa.edu/publicstewardship/governance/process.php>.

Tuition Waivers

For FY2011-2012, the Tuition Waiver Handbook was amended to add a definition for "dependent fraud;" to add new item types for part-time, Board-approved specially funded and part-time, Board-approved regular employees; and to edit instructions for verifying adjunct faculty eligibility.

All the tuition waiver request forms were updated to include a ***statement of understanding*** regarding

the limitation on the use of a tuition waiver—students may not use a tuition waiver for the same course if the student has already received two W, Y, Z, or F grades previously for that course. OPS updated the Dependent Tuition Waiver Request Form to include a statement of understanding regarding dependent fraud; amended eligibility language for adjunct faculty based on revisions to the Adjunct Faculty Handbook; and updated adjunct faculty tuition waiver eligibility to begin one calendar week before the first day of classes.

Also, in fall 2011, the OPS created a new Part-Time Employee Tuition Waiver Request Form and procedures that limit the number of credit hours to 6 credit hours; this was noted on the HR Field Values chart of the Tuition Waiver Handbook. Part-time employees were added to the Eligibility Reference and clarification was made to Adjunct Contractor assignment eligibility and adjunct faculty tuition waiver use during summer (crossing fiscal years).

Finally, language was added regarding a limitation that the tuition waiver will only cover the in-county credit hour cost of tuition. Waivers will not cover costs for out-of-county, out-of-state, non-resident distance learning, non-resident study abroad, or any other fees or surcharges.

Blue Book

As of this writing, the Blue Book 2012 is being revised to include all updated administrative regulation changes. The All Employee Manual section will be removed from the Blue Book as it

is considered duplicative to the new staff policy and procedure manual this is being developed by the District's HR Solutions Center. The Blue Book as a publication will be phased out beginning in FY2013-2014 in order to have one established policy resource that is acknowledged by employees. Individuals will be directed to review all policies and regulations annually to meet disclosure mandates.

The OPS provides a variety of other resources at <http://www.maricopa.edu/publicstewardship/pr/rim.php> including a *Records and Information Management Handbook*, Frequently Asked Questions, and a Do/Don't list for email messaging.

Records and Information Management (RIM)

Public Records Requests

The OPS processed 100 personal requests, 5 media requests, and 2 commercial requests for FY2011-2012:

Quarter	Personal			Media			Commercial		
	Count	Fee	Number	Count	Fee	Number	Count	Fee	Number+
1Q	42*	\$ 250.25	2,128	1	\$ 0.00	10	1	\$ 0.00	14.027
2Q	7**	416.23	1,676	4**	171.25	641	0	0.00	0
3Q	36**	304.50	2,597	0	0.00	0	0	0.00	0
4Q	15**	123.18	1,695	0	0.00	0	1	0.00	14.275

+Commercial requests are counted by thousand sections.

*Count of records presented for review (and processed by OPS) for this quarter was 12,000+ pages

**Count of records presented for review (and processed by OPS) for this quarter was 5,000+ pages

Several high volume requests, numbering in the thousands of pages, were processed by the OPS during the year including:

- A response to the Department of Education’s investigation into MCCC’s charter high schools related to immigration concerns.
- A second high volume request came from an ABC15 investigation on MCCC’s Public Safety Department structure, salaries, and spending.
- A third high volume request came from outside counsel in response to litigation brought against MCCC by a student; counsel is also representing an aggrieved employee and records were released in response.

Commercial requests from myEdu were not released as the company refused to pay the \$200/thousand section fee for data from all 10 colleges in the District.

Revised Records Retention Schedules

The OPS works with the Arizona State Library, Archives and Public Records (ASLAPR) Records Management Division to provide information and access to the approved records retention schedules. The ASLAPR creates the schedules and asks state agencies and political subdivisions for input when revisions are needed. The OPS acts as a liaison between the ASLAPR and the rest of the MCCC community. In FY2011-2012, 22 retention schedules were updated (with 6 more schedules still in process for revision, for which MCCC has provided input). Areas impacted at the college and District were asked to give feedback on the proposed retention schedules and make suggestions for adding or removing items for each scheduled listed below.

- Administrative (approved March 6, 2012)
- Audit (approved November 3, 2011)
- Bond (approved April 24, 2012)

- Copy Center and Mail Room (approved May 1, 2012)
- Election (approved April 20, 2012)
- Electronic Communications, Social Networking and Website (approved March 8, 2012)
- Environmental Quality Management and Sustainability (approved March 8, 2012)
- Equipment/Vehicle Services (approved March 15, 2012)
- Financial (approved March 15, 2012)
- Financial Aid (approved March 27, 2012)
- Human Resources/Personnel (approved March 8, 2012)
- Information Technology (IT) (approved May 1, 2012)
- Law Enforcement (approved April 5, 2012)
- Library (approved March 8, 2012)
- Management (approved March 6, 2012)
- Medical (approved March 27, 2012); see also Public Health
- Public Health (approved April 20, 2012); see also Medical
- Purchasing/Procurement (approved August 30, 2011)
- Registrar (February 13, 2012); see also Undergraduate Admissions
- Student Records for School Districts and Charter Schools (approved August 30, 2011)
- Undergraduate Admissions (approved February 13, 2012); see also Registrar
- Warehouse/Supply (approved April 20, 2012)

Pending schedules, to be completed FY2012-2013:

- Capital Development Planning
- Curriculum
- Facilities and Ground Management
- Legal
- Purchasing / Procurement
- Risk Management

Ombuds Services

Trend Data FY2011-2012

The Office of Public Stewardship prepares quarterly reports on the types of concerns submitted to the Concernline or reported directly to the Ombudsman. Once reported, concerns are evaluated and assigned for review. All concerns receive a reply upon conclusion of the review.

Trend data reflect reports in areas such as discrimination, unfair employment practices, harassment or unfair treatment, environment/health and safety, conflict of interest and ethics/values, and use of public resources. Also tracked are concerns about employee relations, requests by employee job groups, requests for general assistance, and incidents of college-specific issues that do not fall into any other category.

In FY2011-2012, several conflict of interest concerns were reviewed including improper vendor relationships, inappropriate use of MCCCDC marks on vendor web sites and materials, and perceived conflicts between MCCCDC duties and duties to another co-employer. Employee use of tuition waivers for mandatory training during hours of accountability was also reviewed in response to concerns of enrollment irregularity and misuse of public funds and reported to the Audit and Finance Committee.

In general, the following concerns were reported for FY2011-2012 (July 1, 2011 to June 30, 2012). There were 275 direct contacts to the OPS and 55 submissions via the Maricopa Concernline. Concerns included:

- 1 discrimination
- 22 unfair employment practices
- 19 harassment or unfair treatment (including 7 workplace harassment reports)
- 2 environmental, health and safety
- 6 conflict of interest
- 1 behavior of service provider; 2 gifts, bribes and kickbacks; 5 misuse of resources; 1 accounting and auditing practices; 1 quality control; 2 falsification or destruction of information; 1 using the Internet improperly; 1 work ethics; and 1 disclosure of confidential information; (ethics/values and stewardship)
- 47 general assistance requests
- 212 college-specific issues (reflects a variety of issues including: 48 financial aid, 13 residency, 33 payment/enrollment debt, 7 debt set-off (AZ State Tax withholding), 10 Culinary Program transfer complaints, and 6 instructional grievance process)

Finally, it is important to note that during this review cycle, six concerns were presented about those in notable executive positions. These ranged from concerns about questionable personnel decisions (hiring and restructuring) to work climate and environment matters and conflict of interest.

All concerns are treated as allegations made and are examined in order to establish whether the claim is substantiated or not. The information provided here is for the purpose of trend reporting. The reporting reflects the number and type of concerns submitted during the reporting period but does not reflect whether the incidents were substantiated or unsubstantiated.

Training Responsibilities

The OPS provides training in several areas including:

Maricopa Governance; Governance, Stewardship, and Ethics; Ombuds Services; Public Records Release; Records and Information Management; Email Standards; and Office of Public Stewardship.

Presentations may be held one-on-one or for a group.

- Arizona Chapter, National Forum for Black Public Administrators Professional Development Workshop, Glendale, AZ, 3/19/12
- Association of College and University Policy Administrators 2012 Conference, Denver, CO, 5/5-9/12

For FY2011-2012, the following presentations were provided by OPS staff:

- Public Records Class Presentation, 9/29/11
- Women's Leadership Group: Stewardship, Governance, and Ethics, 11/18/11
- Women's Leadership Group: Board Debrief, 12/9/11
- 4th Summit of Community Colleges and Indian Nations Tribes: Addressing Changes in Immigration Laws, 1/18/12

External Training Supported by OPS:

- *eDiscovery and the Cloud* Webinar, 12/1/11
- *Documentation: Legal Implications and Critical Issues Campuses Should Consider* Webinar, 4/12/12

Professional Development for OPS Staff:

- Ombuds 101, Baltimore, MD, 10/24-26/11
- Arizona State University's Workshop on Mental Health, Tempe, AZ, 1/6/12

The OPS maintains the following organizational memberships:

- Arizona Chapter, ARMA International
- International Ombuds Association

Web Resource List

<http://www.maricopa.edu/publicstewardship/>

Maricopa Governance

<http://www.maricopa.edu/publicstewardship/governance/index.php>

Blue Book

<http://www.maricopa.edu/publicstewardship/resources/bb.php>

Common Pages

<http://www.maricopa.edu/publicstewardship/resources/cp.php>

Conflict of Interest

<http://www.maricopa.edu/publicstewardship/coi.php>

Legislative Compliance

<http://www.maricopa.edu/publicstewardship/resources/legcomp.php>

Tuition Waivers

<http://www.maricopa.edu/publicstewardship/resources/tw.php>

Ombuds Services

<http://www.maricopa.edu/publicstewardship/ombuds/index.php>

Ombuds Trends

<http://www.maricopa.edu/publicstewardship/ombuds/ombudstrends.php>

Maricopa Concernline

<https://www.concernline.maricopa.edu/>

Records & Information Management (RIM)

<http://www.maricopa.edu/publicstewardship/pr/index.php>

Public Records Trends

<http://www.maricopa.edu/publicstewardship/pr/prtrends.php>

Public Records Handbook

<http://www.maricopa.edu/publicstewardship/pr/PRHandbook.pdf>

Retention Schedules

<http://www.maricopa.edu/publicstewardship/pr/schedule.php>



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