



## Blue Ribbon Panel Recommendations Implementation Progress Report April 2007

The Blue Ribbon Community Member Panel, appointed by Chancellor Glasper, met several times to review a variety of internal control issues many of which were recently reported in the media. The Panel made 40 recommendations, which were adopted by the Governing Board, and resulted in 14 new categories of revised policies and administrative regulations. Most of these have been posted to the District Office Web site and the web links are noted below. The following sections delineate the progress in the implementation of these new or revised policies and administrative regulations.

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### **Public Stewardship and Ethics**

All Board approved employees now are required to participate in mandatory ethics training within the next two years. Training for other employees will occur after this initial round of training of Board approved employees. Four (4) proposals to help develop and provide this training are under review and a selection is expected the week of April 23. Initial training for Chancellor's Executive Council (CEC) and Governing Board members tentatively is planned for this summer and training for all other employees will begin in the fall. The training for most employees will be on-line. We will be using the Human Resources (HR) system to track participation.

<http://www.maricopa.edu/gvbd/policy/auxiliary.php#stewardship>

### **Hiring of Relatives**

All Board approved employees are now required to file an annual disclosure form identifying any relatives who also are employed by the district and indicating if the relative(s) are in the line of supervision. The term "relatives" is specifically defined and includes but is not limited to Board approved and temporary employees and adjunct faculty. Employees are required to file updates immediately following any personal changes.

An on-line form for this disclosure and other required disclosures or acknowledgments is being developed and is expected to be available for use on or before July 1. The Vice Chancellor for Human Resources will review all disclosures that indicate a relative is employed by the district and will determine if their employment violates this policy and if there is a need to move one or both of the individuals because they are in the line of supervision. More information about the disclosure forms

will be provided in the near future. Summary Reports of the disclosures will be provided to the Governing Board.

[See the attached document.](#)

### **Special Services Employments (SSE)**

A new Special Services Employment Request and Approval form has been developed for use. Additionally, specific documentation of all work performed under a SSE is now required. A new form for employees to document such work is being developed.

<http://www.maricopa.edu/gvbd/policy/auxiliary.php#special>

<http://www.maricopa.edu/legal/blc/index.htm>

### **Employment Standards**

This new policy is in effect and defines varied actions that could lead to employee discipline, including termination. Summary reports will be provided to the Governing Board on a quarterly basis.

<http://www.maricopa.edu/gvbd/policy/auxiliary.php#employmentstandards>

### **Whistleblower/Ombuds Services**

An Internal Ombuds Office is being created to provide a 24 hour hotline for District employees to report concerns and complaints; these services would be available to employees and would supplement other formal mechanisms that currently are available to employees. A Request for Proposal (RFP) has been released to secure organizational ombudsperson services and will be a contracted service for the foreseeable

future. Nine (9) responses were received on April 17; three were for Ombudsperson services; 5 were for 24/7 anonymous hotline services; and 1 was for both services. Contract awards are expected in May or June.

Quarterly reports will be provided to the Governing Board on the number of whistleblower complaints and concerns. No identifying information of any employee contacting the ombudsman will be included.

<http://www.maricopa.edu/gvbd/policy/auxiliary.php#whistleblower>

### **Internal Control**

A new Statement on Internal Control policy was adopted by the Governing Board. The statement acknowledges that the responsibility for internal control rests with the management of the district. This includes all members of some employee groups (the Chancellor's Executive Council and the Management, Technical and Administrative groups), faculty in leadership positions such as department and division chairs and certain other employees. Annual acknowledgments are required. An on-line form is under development and is expected to be available on or before July 1.

<http://www.maricopa.edu/gvbd/policy/executive.php#internalcontrol>

### **International Travel**

The Governing Board adopted a new policy on international travel. Reporting on educational outcomes and benefits is required of each traveler. Summary reports on international travel will be provided to the Governing Board on a quarterly basis.

<http://www.maricopa.edu/gvbd/policy/auxiliary.php#internationaltravel>

### **Conflict of Interest/Procurement of Goods and Services**

All Board approved and certain other employees are now required annually to file a conflict of interest form to indicate any real or potential financial conflicts of interest or to indicate the employee has no real or potential conflicts. Employees are required to file updates immediately following any personal changes. Like other disclosure forms, this also will be an on-line form that is expected to be in use on or before July 1.

Mandatory training is also now required of all persons who must complete a conflict of interest form. This is the current Public Sector: Legal Issues training, which is in the process of being converted into an on-line course. The HR system will be used to track completion of training. Training is expected to begin this summer/fall.

[http://www.maricopa.edu/gvpolicy/adminregs/fiscal/1\\_9.htm](http://www.maricopa.edu/gvpolicy/adminregs/fiscal/1_9.htm)

### **Enrollment Irregularities**

New and strengthen enrollment

procedures have been adopted by the Governing Board. This new policy defines certain enrollments that are not permitted. New standardized written procedures are expected to be ready in the fall.

Annual reporting to the Governing Board is now required.

[http://www.maricopa.edu/gvpolicy/adminregs/instruction/3\\_7.htm](http://www.maricopa.edu/gvpolicy/adminregs/instruction/3_7.htm)

### **Internal Audit**

A number of changes have been made regarding Internal Audit:

- Two new internal auditors are currently being recruited. It is hoped that hiring recommendations will be made in May.
- A RFP has been released for contract audit services to be used on an as needed basis. Six (6) responses were received on April 17 and it is hoped that award notifications can be made in May.
- A third community member will be added to the Audit and Finance Committee.
- Dr. Linda Blessing, Board of Regents Executive Director Emerita, will serve as the Chair of the Audit and Finance Committee.
- A new intake form for internal audits requested by CEC or Governing Board members has been implemented.
- Follow-up on completed internal audits now begins in 3 months, compared to a year

<http://www.maricopa.edu/gvpolicy/adminregs/appendices/FM-1.htm>

### **Cash Handling**

Several new internal control mechanisms are now required of all offices and personnel handling cash in any department, office, or part of the Maricopa Community Colleges. These include but are not limited to cashier's offices, athletic events, theaters or performing arts centers. These procedures will reflect the unique physical layout of each space as well as the unique staffing of each area. However, all departments, offices, or parts of the District are required to establish written procedures for all required internal controls. These procedures are being drafted and are expected to be finalized within the next month.

Additionally, all employees who handle cash must annually acknowledge their understanding of the procedures and agree to comply with all current procedures. Supervisors and managers overseeing cash handlers annually must acknowledge that they will enforce all cash handling controls. These forms will be on-line and are expected to be ready for use on or before July 1.

[http://www.maricopa.edu/gvpolicy/adminregs/fiscal/1\\_17.htm](http://www.maricopa.edu/gvpolicy/adminregs/fiscal/1_17.htm)

### **Travel Regulation**

A number of changes were made including better defining group travel

and related procedures, international travel for conferences where alternatives exist in the United States, defining the process for trip cancellations, specifying non-reimbursable expenses, allowing exceptions to be made for extraordinary circumstances by the Vice Chancellor for Business Services, and providing additional clarification on international travel issues.

Additionally, the annual travel acknowledgment form required of any employee who travels now will be an on-line form.

[http://www.maricopa.edu/gvpolicy/adminregs/fiscal/1\\_15.htm](http://www.maricopa.edu/gvpolicy/adminregs/fiscal/1_15.htm)

### **Use of College Facilities**

A tiered approach for setting rental rates for District facilities was eliminated. Rates now are based solely on the type of use. Quarterly reports to the Governing Board are now required.

[http://www.maricopa.edu/gvpolicy/adminregs/fiscal/1\\_5.htm](http://www.maricopa.edu/gvpolicy/adminregs/fiscal/1_5.htm)

<http://www.maricopa.edu/gvpolicy/adminregs/appendices/FM-6.htm>

### **Maricopa Integrated Risk Assessment Project (MIRA)**

All Board approved employees and ultimately all employees are required to attend mandatory training on MIRA. An on-line training module is under development. The HR system will track completion of training. Training is expected to begin this summer/fall.

[http://www.maricopa.edu/gvpolicy/adminregs/auxiliary/4\\_16.htm](http://www.maricopa.edu/gvpolicy/adminregs/auxiliary/4_16.htm)

