

# maricopa steward



## Spotlight on Records and Records Information Management (RIM)

### Public Stewardship

*The efficient and effective use of resources as the Maricopa Community Colleges prepare students for their role as productive world citizens. As caretakers of public resources that have been entrusted to us, we are fully accountable to the constituents that we serve.*

This issue of the *Maricopa Steward* spotlights the areas of records and records information management. Every employee, department or division within the Maricopa Community Colleges handles records on a daily basis—whether writing or responding to e-mail, creating reports, processing requests—whatever documents memorialize the work that you do, as a public sector organization, we are required to maintain and destroy records according to

an established retention schedule. The articles in this quarter's *Maricopa Steward* will help to navigate through the life cycle of a record, the nuances of electronic mail as well as social networking. Also featured is an **MCCCD Service Directory** that contains key college phone numbers in one location. Don't forget to take a look at the articles on **Employee Property Return of Assets** and the **MCCCD Tuition Waiver Handbook**. ♦

## Public Records Requests and E-mail

Several court cases have hit the news recently showing how electronic documents have been used to uncover questionable business practices and other unethical behaviors. Text messages, voice mail, blogs, even instant messages can be used as evidence and are not, as some have famously discovered, irretrievable. E-mail is often a focus in internal investigations of misconduct and in the state of Arizona a recent landmark decision by the Supreme Court (*Lake v. City of Phoenix*) declared that even metadata (that string of incomprehensible characters describing who created what, when, etc.) is considered a public record and is subject to release. Most people think deleting such items obscures them forever, but that isn't necessarily the case. Unless new data is written on top of the old, it may still be there.

- messages on alternative devices should be mindful that the duty to retain records according to the approved retention schedule exists regardless of the communications tool that is being used.*
- 2. *If an employee has a business need to receive e-mail messages that are larger than the established limit on the MCCCD system, or that contain file types that are normally prohibited because of the potential security risks, the employee should open a help desk ticket to request changes to their e-mail account in order to accommodate their business need.*

### Review and Approval of Alternate E-Mail Account Systems

*The prior review and approval by the Vice Chancellor of Information Technology Services is required for the implementation of alternate college electronic mail account systems. Requests will be evaluated based upon the following considerations:*

- 1. *The system must be compatible and interoperable with the MCCCD e-mail system.*
- 2. *All information within the e-mail system must be e-discoverable, per law.*
- 3. *Any proposed changes to the college e-mail system with e-discovery implications must be submitted to District ITS for approval.*
- 4. *District ITS must always have full and complete access to ensure the ability to provide any information necessary for e-discovery, local or remote, in a timely and secure manner.*

This was done primarily to ensure that, in the event of a public records request, Maricopa would be able to ensure access to and release of e-mail records in a timely manner.

Although some electronic files can be recovered, it is expensive in terms of time and labor. Custodians should be mindful they are keeping records for the duration stipulated in the **retention schedule** ([www.maricopa.edu/publicstewardship/pr/schedule.php](http://www.maricopa.edu/publicstewardship/pr/schedule.php)) and no longer. ♦

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As mentioned in previous issues of the *Maricopa Steward*, most of the work we do in the MCCCD is subject to release, unless protected or considered confidential. E-mail is no exception. In most instances, the originator of e-mail messages is considered to be the custodian of the message. In other cases, it is the recipient who must use the information and maintain it according to its value. The majority of public records requests that come through the Office of Public Stewardship are for e-mail conversations about a subject of interest. A recent addition to the Technology Resource Standards (AR 4.4, number 17 under Prohibited Conduct) states:

*Conducting District or college-related business using any electronic mail account other than one hosted or provided by MCCCD, and approved by the Vice Chancellor of Information Technology Services, even when the e-mail account copies all outgoing and incoming messages to the MCCCD hosted account [is prohibited].*

### Exceptions:

- 1. *A permissible exception would include faculty to student communications that are FERPA protected and otherwise not subject to public disclosure. Employees who create administrative or operational*

## Guidance on E-mail Records

Jerry Kirkpatrick, Records Management Specialist, Arizona State Library, Archives and Public Records

In order to provide a better understanding of E-mail Records I have prepared the following:

E-mail can be a record if it meets the definition of a “record” set forth in ARS §41-1350: Definition of records

“In this chapter, unless the context otherwise requires, “records” means **all** books, papers, maps, photographs or other documentary **materials, regardless of physical form or characteristics**, including prints or copies of such items produced or reproduced on film or electronic media pursuant to section 41-1348, made or received by any governmental agency in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained therein....”

As with any other type of communication, the determination of whether the communication is a record and how long the communication needs to be retained is based upon the content of the communication (e-mail). **It is the responsibility of the individual who received (or sent) the e-mail to retain the e-mail as necessary.** Once a public body official or employee determines that an e-mail is a record, then they need to decide how long the e-mail should be retained. Retention is based upon the content of the e-mail, and where that content falls on an approved Retention Schedule. All the General Retention Schedules for Public Bodies can be located at the following link:

[www.lib.az.us/records/schedules\\_and\\_manuals.aspx](http://www.lib.az.us/records/schedules_and_manuals.aspx)

If, for example, an e-mail is sent requesting general information on your public body,

that would probably fall under “General Correspondence,” and would need to be retained according to that particular records series and retention period. If an employee sends an e-mail requesting time off for bereavement leave, then that e-mail becomes a “Time and Leave Record” and would need to be retained accordingly. E-mails between employees regarding budgets, changes to budgets, etc all become “Budget Records” and would need to be retained accordingly. That being said, it is impossible to have a single retention period for “E-mail Records” since e-mails are used to communicate a vast number of subjects (content).

When it comes to e-mails and Public Records Requests, there are usually three main issues:

1. **We retain all e-mails for X period of time**  
This cannot be correct given the fact that retention is based upon the content of a communication, and not all e-mails have the same content. Thus, they cannot have the same retention period. We often learn that Information Technology (IT) may have a practice of auto deleting e-mails left in the inbox after a certain period of time (30, 60, or 90-days) but **the expectation is on the employee to move e-mail records** out of the inbox **for proper retention**. This practice will almost always leads to problems since most employees will come to assume that IT is managing their e-mails, and that all e-mails have a single retention period.
2. **A printed e-mail is still an “e-mail”**  
If I were a conscientious employee, and I knew my inbox was being wiped clean every 30, 60 or 90 days, I would move my record e-mails out of my inbox and into a sub-folder within the e-mail system, or as a .pst file on my hard drive, or print and file as a paper record. If an employee is printing and filing their e-mail records, and they get a Public Records Request for “e-mail” records, they sometimes do not even think of the printed and filed e-mails as “e-mail” since the record is no longer in their inbox.

But, those printed records would still be “e-mail” records since they originated in e-mail, and would thus be required to be released if the Public Records Request was for “e-mails.”

3. **I didn’t send the e-mail from my work account**  
The issue of whether an e-mail is sent from a work or personal e-mail account is not valid when we remember that the content of the e-mail determines whether it is a record, and how long it needs to be retained. If one is a government employee, and is using a personal computer / laptop / blackberry to conduct government business, then that communication is probably a record, and needs to be retained per the correct Retention Schedule and records series.

Questions regarding e-mail, or on Records Management in general, please contact Jerry Kirkpatrick, ASLAPR (see below).

### Jerry Kirkpatrick

Records Management Specialist  
(Retention Schedules, Imaging Requests, Training)  
Arizona Secretary of State’s Office  
Arizona State Library,  
Archives and Public Records (ASLAPR)  
Records Management Division  
1919 W Jefferson Street  
Phoenix, AZ 85009  
602-926-3820 Phone  
602-256-2838 Fax  
[www.lib.az.us/records/](http://www.lib.az.us/records/)

Approved **Retention Schedules** can be found on the Office of Public Stewardship web:  
[www.maricopa.edu/publicstewardship/pr/schedule.php](http://www.maricopa.edu/publicstewardship/pr/schedule.php)

## Social Networking Guidance

Jerry Kirkpatrick, Records Management Specialist, Arizona State Library, Archives and Public Records

The use of Social Networking media/tools continues to grow among public bodies, but not everyone is thinking about the statutory requirements for managing these records. To help provide some guidance on Social Networking, the Arizona State Library, Archives and Public Records have developed a Social Networking Guidance document. This Guidance approaches Social Networking from both a Records Management and Information Technology (IT) perspective. You will find areas of concern with these tools/sites, questions to ask before (and after) your public body decides to “tweet,” and great links—including two that have policies you can download and revise to meet your needs.

Excerpts from the Guidance regarding records management follows. You can download the full text of the Guidance at the following link (a secure FTP site) [rmd.lib.az.us/Retention%20Schedules/](http://rmd.lib.az.us/Retention%20Schedules/).

### Records Management Considerations

#### 1. For the Record

As public bodies/governments, any information created for, or received from Social Networking/Web 2.0 applications and tools will probably be a record.

#### 2. SocNet is No PicNic

The Statutory requirements regarding Records Management of public records are never easy, and that is especially so for these records. You need to be prepared for these challenges, and aware of the difficulties you will face in complying with these requirements regarding SocNet records...[R]emember, e-mail has been around for over 15 years and we are all still trying to find the most efficient and cost effective manner for properly managing e-mail records.

#### 3. It's the Content (and Intent)

The transitory nature of most SocNet communication does not mean that any records created or received while using these tools will be transitory. It is the content and the intent of the communication that determines whether these communications will qualify as records, and the specific retention period required for such records.

#### 4. No Schedule, No Service

Make sure SocNet records are on a Retention Schedule. Placing these records on a Retention Schedule will help draw

attention to the fact that information created or received from these sites can be records, and require the appropriate retention as records.

#### 5. For Once, Try NOT to be Original

Copies/duplicates of information already existing and being managed elsewhere by an Agency are Not public records, so that information will not need to be retained, or can be retained for a short period of time... As much as possible, ask employees to use information/data/records that already exist elsewhere in your Agency.

#### 6. King of the Content

Who controls the content of these SocNet records? In most cases, the SocNet website will have full control over the content of everything posted to their sites. And, if they control the content, then they will usually control the retention of the records, therefore controlling the entire Records Management process...As public bodies, you will need to “manage” these records, as you would any other records.

#### 7. If you Can't, Should You?

If you can't manage the records created or received by SocNet, should you allow the use of SocNet? The Statutes require public bodies to “efficiently and effectively” manage their records, so make sure that you can properly do so before you start tweeting, blogging or posting. You may need to “turn off” certain aspects of a social networking site/application, if you are not prepared to fully manage the SocNet records generated.

#### 8. E-mail Comments and Postings

Comments, wall postings, etc. received by Users, Friends, Fans (and others) of your SocNet site will probably be unique records. As such, you will need to capture and retain them accordingly. Comments posted to some sites can be forwarded as an e-mail, which increases your ability to better manage these unique records. Having these comments and postings e-mailed to one of your e-mail accounts puts the control over these records back into your hands. Consider forwarding these e-mails to an Agency account, similar to those used to capture public comments made on your government websites.

#### 9. Notify and Involve Information Technology (IT)

If it isn't already apparent, most Records Managers will need to partner with their Information Technology colleagues if they

want to truly manage the great potential and challenges posed by SocNet. Make sure your IT professionals are able to track the use of these technologies as they do e-mail and other e-communications. Involve them by asking how you can capture, retain and manage these records. Any electronic communication requires a concerted, coordinated effort on behalf of your Records Management and IT personnel.

#### 10. No Policy, No Service

Have a policy on SocNet (along with other e-communications) and focus on Records Management responsibilities and requirements. Public bodies need to know what their employees are using SocNet for, and what information is being created and/or received. This can best be done upfront, by defining the parameters of SocNet activity. Make sure your policy sets the party/parties responsible for capturing, retaining and managing these SocNet records, or you will ensure that no one is responsible.

#### 11. The Matrix

An essential outgrowth of either the IT or Records Management policy for Electronic Communications and SocNet will be the matrix. You will need to create and maintain a matrix of your Agencies/Divisions/Employees use of Web 2.0 technology, best broken down by application. This matrix should include the specific technology involved, Departments involved, web address/location of each, and the opportunities/potential for each.

#### 12. If it Works, Use It

Control SocNet activities from the very beginning. One of the best ways to ensure that the use of SocNet sites and tools is going to be acceptable to your public body is to provide guidance and assistance when the SocNet pages are first being set up. Consider developing a Tool Kit, or even creating a SocNet page that teaches your Agencies/Departments how to set up a SocNet account/page of their own.

#### 13. Use the Terms

What do you do if someone in the public posts a message to your SocNet site that is offensive or obscene? Consider incorporating the Terms of Use established by the venue for your SocNet activities into your Policy. These Terms of Use already define ones participation in SocNet, so why

continued...

## Social Networking continued from pg. 3

not reflect them in your policy? In most cases, these Terms of Use will address issues such as profanity, intellectual property and/or copyright infringement, and other difficult issues. Most users of SocNet sites will be familiar with the need to both know and comply with the Terms of Use, and will not find it unusual that your public body SocNet site has incorporated these Terms into your policy, procedures or practices.

**14. Keep It Simple**

Try to keep communications/blogs to a single topic, since this will make it easier to manage these records. Retention Schedules are built around managing records according to one specific retention period for each specific records series/type. Mixing multiple topics in your SocNet communications will make it that much more difficult to determine the correct retention period for these records. In addition, be aware of the subjects that require longer retention, and try to avoid these.

**15. Use a Title/Heading**

Whenever and wherever possible, use a title or heading for your information, since this will help with managing these records. (Similar to the subject line for e-mail.)

**16. Train, Train, Train**

You can never train too much on the Records Management aspects of SocNet and other forms of electronic communication. Training is an important aspect of any compliance program, and is a sure line of defense for any public body. Remember the four pillars of an effective Records Management Program – Retention Schedules, RM Policies, Training and Documentation. concerns and classify them into manageable areas -- to make it easy to follow through all the various questions and not get lost in the process."

**Important Links** (accurate as of 06/15/2010)

1. Why Governments Need a "How-to Toolkit" When Using Social Media/Social Networking  
[www.govtech.com/gt/765118](http://www.govtech.com/gt/765118)
2. State of Florida Toolkit for "How to Use" Social Media / Social Networking Tools  
[sites.google.com/site/flsocmed/](http://sites.google.com/site/flsocmed/)  
You need to click the links at the bottom of the page to get more information on "Lessons Learned," "Twitter," "Video," etc.

3. Federal Government's Toolkit for Web 2.0 and Social Networking  
[www.usa.gov/webcontent/technology/other\\_tech.shtml](http://www.usa.gov/webcontent/technology/other_tech.shtml)
4. State of Arizona Policy on Social Networking  
[www.azgita.gov/policies\\_standards/pdf/P505SocialNetworkingPolicy.pdf](http://www.azgita.gov/policies_standards/pdf/P505SocialNetworkingPolicy.pdf)
5. Tools for RM Archiving of Twitter & Facebook  
[apriedmonds.wordpress.com/2009/12/10/tools/](http://apriedmonds.wordpress.com/2009/12/10/tools/)
6. Social Media Policies Database of Over 110 Organizations  
[www.socialmediatoday.com/SMC/155843](http://www.socialmediatoday.com/SMC/155843)
7. Social Media Governance Database of Over 130 Policies  
[socialmediagovernance.com/policies.php](http://socialmediagovernance.com/policies.php)
8. United States Air Force, Web Posting Response Assessment  
[www.af.mil/shared/media/document/AFD-091210-037.pdf](http://www.af.mil/shared/media/document/AFD-091210-037.pdf) ♦

## Backups, Archives and Disaster Recovery Plans

Although the format that a record exists in is never as important as the value it has for the organization, changes in business infrastructure have become necessary as electronic records have become more prevalent in daily operations. Even though the Arizona State Library, Archives and Public Records recognizes two mediums for records, paper and film, e-records comprise a large percentage of most business records. As technology rapidly evolves, having a systematic process in place to ensure that e-records are accessible is crucial to ensuring business stability.

The traditional view of an **archive** is a repository for those records in any medium that, because of their enduring historical or legal value, are retained permanently. However, in regards to electronic records, archiving also describes a systematic way to capture, hold, retrieve and manage business data for the duration of their life cycle. Content management software can help to do this. Many companies provide software solutions that automatically capture

data (voice, images, software files, video, etc.) and then sort, index, and archive them in a central database. This is a much more systematic way of maintaining electronic records over time compared to a backup. A **backup** is a copy of information created as a precaution in case the original is lost or stolen. It's usually maintained for a short period of time that may or may not reflect retention schedule timelines.

Electronic archives can be programmed to purge data based on the timelines set by the custodian of record to meet the standard records retention deadlines imposed by the Arizona State Library, Archives and Public Records. In the event of a pending or imminent legal action, audit or government investigation, holds can be put into the system which will suspend the retention timeline and maintain the specified records series until the hold is removed.

Disaster recovery plans become a key issue in regards to electronic records management (ERM) because there must be a plan in place to help the organization maintain business functions even during a crisis. *ARMA International* defines **disaster recovery plan** as a written and approved course of action to take after a disaster strikes that details how an organization will restore critical business functions and reclaim damaged or threatened records.

While Maricopa's Enterprise Application and Data Administration Services ([www.maricopa.edu/dba/](http://www.maricopa.edu/dba/)) "assumes responsibility for the installation, configuration, management and tuning of delivered or in-house applications," we are in the process of developing a Records and Information Management policy to address all aspects of records and information management. In addition, Maricopa has recently adopted a Maricopa Emergency Management System (MEMS) to deal with critical issues should they arise. ♦

## Information Lifecycle Management

Information Lifecycle Management (ILM) is the practice of applying certain policies to the effective management of information throughout its useful life ([Wikipedia—en.wikipedia.org/wiki/Information\\_Lifecycle\\_Management](http://en.wikipedia.org/wiki/Information_Lifecycle_Management)). Although the concept isn't new to business infrastructure, the term became a buzzword for vendors specializing in information management in 2004. The elements of ILM—structured data, backup and recovery, tiered-storage, robust archival policies, hierarchical data management, data warehousing and business intelligence applications—are essential building blocks in every IT architecture and data center operation ([HCL Technologies—www.hcltech.com/emc-alliances/information-lifecycle-management/](http://HCL Technologies—www.hcltech.com/emc-alliances/information-lifecycle-management/)). The broad concept is to manage data and storage needs while keeping costs of data storage down. As information becomes less valuable over time, it is moved to less expensive storage media until its lifecycle has ended and the information can be disposed of. As with paper records, information has a lifecycle based on the value it has to the institution.

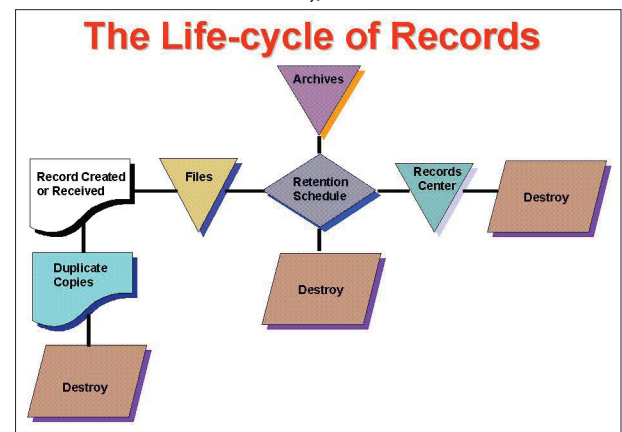
### Lifecycle Phases

The lifecycle of records, regardless of form, has five phases:

- **Creation or receipt**—point of origin of a record and assigning a value to its contents
- **Distribution**—where the record goes (internal/external); also serves as a record of transactions with others
- **Use**—how a record is used and for what purpose; also how it is used to generate business decisions
- **Maintenance**—management of information (how it's stored, who has access, security issues, as well as considerations for movement to alternate storage sites as its value decreases over time)
- **Disposition**—those records whose lifecycles are complete and subsequently destroyed (no value)

The Arizona State Library, Archive and Public Records (ASLAPR) only recognizes two media for the storage of historical documents (documents which need to be maintained 'forever.'). Historical records can only be maintained as paper documents or on film.

Source: Arizona State Library, Archives and Public Records



### Technology Assurance Agreement

Additionally, Maricopa must sign an agreement with the State Library that any business operations that are conducted solely via electronic means (i.e., HRMS and SIS) will be continually updated as technology shifts and all records will be accessible for the duration of the records retention period. If MCCCDC wishes to adopt a new technology for business operations, this assurance agreement stipulates that all efforts will be made to ensure that the old data will be migrated to the new system seamlessly or that the old technology will be maintained so that older records are still available as needed. ♦

## Record End of Life and Do We Have to Keep All This Paper?

Once a record has met the end of its lifecycle it becomes necessary to dispose of it in an appropriate manner. E-records may be deleted, and the media used to store the data can be reused, but paper records have different requirements. If a record contains confidential information it will need to be shredded, or burned, to meet the standards set forth by the Arizona State Library, Archives and Public Records. Remember, before you destroy anything, you must ensure that a records hold is not in place by calling your college President's office or the District's Office of General Counsel.

### Recycle vs. Shredding

Records that do not contain confidential information may be recycled—or thrown away if they can not be recycled. A third-party vendor may be contracted to shred confidential records but they must be able to guarantee that the records will be secured to ensure confidentiality at all times. Several

colleges have established contracts with vendors to come in periodically and shred documents, setting up locked bins around campus to ensure confidentiality, while other colleges have purchased a shredder to handle destruction needs in-house. A list of contacts for college document destruction services can be found at [www.maricopa.edu/publicstewardship/pr/Document%20Destruction%20Services.pdf](http://www.maricopa.edu/publicstewardship/pr/Document%20Destruction%20Services.pdf).

### Document Imaging

In some instances, records that need to be retained for some time can be scanned and the electronic files kept while the paper is destroyed, but not all records lend themselves to scanning. For instance, historical records can be imaged (on film) but not in a digital file. The State Library only recognizes paper and film as appropriate mediums for historical documents. As may be expected, there are strict requirements that need to be adhered to in order to scan images for such purposes.

Imaging requirements are discussed on the Public Stewardship website [www.maricopa.edu/publicstewardship/pr/faq.php#standard](http://www.maricopa.edu/publicstewardship/pr/faq.php#standard). The proper forms (**Imaging Request Form**) that must be approved by the State Library can also be found at the above referenced web site. This process only needs to be followed if the electronic files are to become the *record*—scanning files for convenience sake (while maintaining the paper version as the official record) can be done without an imaging request.

Once the records have been destroyed, a **Report of Records Destruction** form needs to be completed and sent the Arizona State Library to document the destruction. Copies of any records series should be destroyed at the time the records are.

Any questions regarding records destruction can be directed to the Office of Public Stewardship, 480-731-8882. ♦

## Ombuds Annual Report FY 2009-2010

The Office of Public Stewardship prepares quarterly reports on the types of concerns submitted to the Concernline or reported directly to the Ombudsman. The Concernline is a 24-hour/7-day-a-week service that is operated by Global Compliance, a third-party vendor. Also referred to as the 24/7 Hotline, this tool serves as an anonymous reporting mechanism for submitting concerns such as fraud, theft, policy violations, enrollment irregularities, conflict of interest and the misuse of public resources. Concerns may be submitted either by phone at 1.866.447.9819 or web at [www.concernline.maricopa.edu](http://www.concernline.maricopa.edu).

Once reported, concerns are evaluated and assigned for review or investigation. All concerns receive a reply upon conclusion of the review or investigation.

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 in any other category.

The following concerns were reported for FY2009-2010 (July 1, 2009 to June 30, 2010):

- two discrimination
- 17 unfair employment practices
- 15 harassment or unfair treatment
- two environmental, health and safety
- eight conflict of interest
- one quality of services, two standards of conduct, five misuse of resources, two customer relations and one falsification/destruction of information (ethics/values and stewardship)
- 18 general assistance requests

- 166 college-specific issues (reflects a variety of issues including: 42 financial aid, 15 tuition and fees, 17 payment/enrollment debt, 30 non-employee tuition waiver and four program complaints)

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 by MCCCDC and Global Compliance is provided for the purpose of trend reporting. While the categories between both reporting agencies are similar, they are not exact and may reflect different concerns. The general categories listed were established for the purpose of organizing the above information. The reporting reflects the number of individuals that have submitted concerns during the reporting period but does not reflect whether the incidents were substantiated or unsubstantiated. ♦

### Office of Public Stewardship Resources

#### Governance

- **Policy**  
[www.maricopa.edu/publicstewardship/governance/boardpolicies/boardpolicies\\_toc.php](http://www.maricopa.edu/publicstewardship/governance/boardpolicies/boardpolicies_toc.php)
- **Administrative Regulations**  
[www.maricopa.edu/publicstewardship/governance/adminregs/adminregs\\_toc.php](http://www.maricopa.edu/publicstewardship/governance/adminregs/adminregs_toc.php)

#### Ombuds

- **Ombudsman**  
(480) 731-8084
- **24/7 Hotline**  
(866) 447-9819
- **Maricopa Concernline**  
[www.concernline.maricopa.edu](http://www.concernline.maricopa.edu)

#### Public Records

[www.maricopa.edu/publicstewardship/pr/recordsrequest.php](http://www.maricopa.edu/publicstewardship/pr/recordsrequest.php)

#### Records and Information Management

[www.maricopa.edu/publicstewardship/pr/retention.php](http://www.maricopa.edu/publicstewardship/pr/retention.php)

## Employee Property Return of Assets

When an employee is transferred or reassigned to a different location, or otherwise separated from employment with the MCCCDC, college or district property in that person's possession must be retrieved. This includes rescinding or modifying as necessary access to data, systems and facilities. To facilitate compliance with the Employee Return of Property and Assets administrative regulation, a procedure has been established. Upon termination, resignation or transfer, an employee's supervisor should begin the process for return of assets. This includes notifying Information Technology to disable employee access to all data and communication systems and networks, or to modify access if the employee remains in the system, and to notify Building Security or College Safety to revoke or modify access to facilities. The full administrative regulation and the corresponding form are posted at:

- AR 1.11.2  
[www.maricopa.edu/publicstewardship/governance/adminregs/fiscal/1\\_11.php#employee](http://www.maricopa.edu/publicstewardship/governance/adminregs/fiscal/1_11.php#employee)
- FM-13  
[www.maricopa.edu/publicstewardship/governance/adminregs/appendices/print/FM-13%20FORM.pdf](http://www.maricopa.edu/publicstewardship/governance/adminregs/appendices/print/FM-13%20FORM.pdf) ♦

## Tuition Waiver Handbook

The **Tuition Waiver Handbook** is a resource manual to address issues related to the treatment of tuition waivers and other instances (affidavits and exemptions). The handbook is the standard used when questions arise regarding eligibility, process and reporting. The 2010 version includes new language on withdrawal limits (eligible parties can withdraw from the same course only two times), clarification on adjunct faculty eligibility (first class date must be on or after the first assignment date) and updated tuition waiver forms. Some of the changes were a result of an Internal Audit and Management Advisory Services (IAMAS) audit from fall 2008 which recommended the Manager of the Office of Public Stewardship and Senior Manager of Human Resources:

- Work with the college cashier officers to ensure that the approval, accounting/reconciling and asset receipt/custody functions within their cashier offices are separated to the extent possible and develop uniform operating procedures for the processing of tuition waivers.
- Continue monitoring processes; seek assistance from the SIS Project Oversight Group (POG) to develop an automated process that is able to detect waived tuition greater than the allowed six credit hours for adjunct faculty taking courses at more than one college; work with the colleges to implement a formal process for recovering any waived tuition that is disallowed; revise the Adjunct Faculty Tuition Waiver Request Form to include the criterion stated in the Handbook regarding first teaching assignment date and class start dates; determine whether District Employee Services should authorize waived tuition of qualifying employees on intermittent leave; and expand the Handbook to include the more definitive language in the Blue Book for courses taken during an employee's working hours of accountability.
- Propose the monitoring of withdrawals or a credit hour limit for employee, spouse or dependent waivers to help reduce the cost of withdrawals to the District.

An additional recommendation was made to the Business Intelligence and Reporting team to determine whether the BOEXI reports used for monitoring of tuition waivers and enrollment irregularities are complete and implement processes to ensure that all BOEXI reports are updated to include all transaction codes, as applicable.

There is a hard cost to the institution (\$2.7 million in 2009) for the courses waived each year. The costs are roughly equal between employees, dependents and others (which includes Salt River Pima-Maricopa Indian Community, Music Major Fee, Dependents of Slain Peace Officer, and Arizona National Guard waivers; as well as F-T Teacher/F-T Classroom Aide and Arizona-Sonora Exchange Program exemptions).

Changes to the 2010 handbook include:

- o Revised Qualified Non-Employee Tuition Waiver eligibility to include Armed Forces or Former Armed Forces members who received a Purple Heart citation with a disability status greater than 50% who, at the time of injury, resided or were stationed in Arizona
- o Added limitation regarding number of allowed withdrawals from the same course (two) and revised "Course Withdrawal" to include language regarding non-participation, non-attendance, and non-completion (i.e., "Z" grades)
- o Revised chart to remove "Employees participating in the District's retirement programs;" program discontinued July 1, 2010
- o Revised charts to include Purple Heart information as listed in bullet one
- o Revised Tuition Waivers as follows:
  1. Include information regarding non-participation, non-attendance, and non-completion (i.e., "Z" grades)
  2. Include information on Purple Heart recipients as noted in bullet one
  3. Removed "Early/Active Retiree" from Employee Tuition Waiver and all notes related to "Early/Active Retiree" status
- o Revised Non-Employee Waiver Process to include Arizona Department of Veterans Affairs as agency of notice
- o Defined "Dependent Spouse" and "Dependent Child" in detail
- o Modified waiver process and clarified reimbursement process
- o Clarified eligibility in "Type of Participant" and "Category/Group" to include Arizona National Guard Member Purple Heart Recipients
- o Corrected Item Types for Skill Center Employees
- o Clarified eligibility for Adjunct faculty tuition waivers regarding first teaching assignment and class start date
- o Updated cashier's procedure for verifying Tuition Waivers
- o Updated all tuition waiver request forms
- o Added note with location of Non-Employee Tuition Waiver Qualified Participant List

- o Changed BOEXI Report numbering convention to match reorganization per IT
  - + MCCD\_SF\_1810 Employee Enrollment & Tuition Waivers (Formerly MCCD\_SR\_3070)
  - + MCCD\_SF\_1820 Dependent Enrollments & Tuition Waivers (Formerly MCCD\_SR\_3071)
  - + MCCD\_SF\_1830 Other Tuition Waivers (Formerly MCCD\_SR\_3072)
  - + MCCD\_SF\_1840 Part-Time Faculty Enrollments & Tuition Waivers (Formerly MCCD\_SR\_3073)
- o Clarified instructions for monitoring enrollment irregularities (MCCD\_SF\_1810 and MCCD\_SF\_1840), including late-start and/or short-term classes

Tuition waiver forms can be found online via the Office of Public Stewardship web at [www.maricopa.edu/publicstewardship/resources/TW.php](http://www.maricopa.edu/publicstewardship/resources/TW.php). Refer to this web site for the most current version of the waiver forms. **Older forms are not valid because they do not contain the most current requirements and will NOT be processed.**

Questions regarding tuition waivers can be directed to the Senior Manager of Human Resources (480-731-8469) or the Manager of the Office of Public Stewardship (480-731-8880). ♦

*Maricopa Steward* is published biannually by the Office of Public Stewardship (OPS), part of the Office of General Counsel for the Maricopa Community Colleges, and spotlights Maricopans who embody the ideals behind high impact service. OPS is charged with promoting stakeholder accountability and maintains the Maricopa Concernline, provides citizens' and employee ombuds services, manages public records disclosures and supports Maricopa's governance process.

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# maricopa steward

## High Impact Service ... Maricopa Service Directory

The Office of Public Stewardship receives a large volume of calls from students and the community requesting help with navigating college business processes along with requests for general information regarding residency, tuition and fees, financial aid, tuition waiver eligibility, etc. A pattern of questions began to emerge so we put together a contact list and frequently asked questions pages in an effort to create a single resource to address these issues. The Maricopa Service Directory provides contact information for Academic Advising, Admission and Records/Student Enrollment Services, Financial Aid, Veterans Services and College Cashier's. We include links to the established instructional grievance process (classroom and coursework issues) and the non-instructional complaint process (concerns outside of the classroom), along with the phone numbers of the areas that oversee those formal grievance processes.

Issues concerning fraud, theft, policy violations, enrollment irregularities, conflict of interest or the misuse of public resources are dealt with by the Ombudsperson or can be submitted to the 24-7 Global Compliance Hotline ([www.concernline.maricopa.edu](http://www.concernline.maricopa.edu)).

### Academic Advising

Academic Advising helps students plan their educational pathway and set academic goals.

|      |              |
|------|--------------|
| CGCC | 480-732-7317 |
| EMCC | 623-935-8597 |
| GWCC | 602-286-8600 |
| GCC  | 623-845-3099 |
| MCC  | 480-461-7222 |
| PVCC | 602-787-7060 |
| PC   | 602-285-7110 |
| RSC  | 480-517-8580 |
| SCC  | 480-423-6539 |
| SMCC | 602-243-8331 |

### Academic Affairs

This office oversees academic-related issues. If you have a grade grievance or other instruction-related issue, there is a formal process established that you must follow before these individuals will weigh in.

|      |              |
|------|--------------|
| CGCC | 480-732-7012 |
| EMCC | 623-935-8033 |
| GWCC | 602-286-8022 |
| GCC  | 623-845-3155 |
| MCC  | 480-461-7352 |
| PVCC | 602-787-6607 |
| PC   | 602-285-7607 |
| RSC  | 480-517-8270 |
| SCC  | 480-423-6317 |
| SMCC | 602-243-8016 |

### Administrative Services

This office oversees the operational areas of the college (bookstore, cashiers, food services, M&O, etc.)

|      |              |
|------|--------------|
| CGCC | 480-732-7014 |
| EMCC | 623-935-8840 |
| GWCC | 602-286-8017 |
| GCC  | 623-845-4526 |
| MCC  | 480-461-7382 |
| PVCC | 602-787-6601 |
| PC   | 602-285-7524 |
| RSC  | 480-517-8137 |
| SCC  | 480-423-6754 |
| SMCC | 602-243-8287 |

### Admissions and Records/Student Enrollment Services

A&R handles residency and registration for students who wish to enroll in any of our colleges.

|      |              |
|------|--------------|
| CGCC | 480-732-7320 |
| EMCC | 623-935-8888 |
| GWCC | 602-286-8200 |
| GCC  | 623-845-3300 |
| MCC  | 480-461-7600 |
| PVCC | 602-787-7020 |
| PC   | 602-285-7800 |
| RSC  | 480-517-8540 |
| SCC  | 480-423-6100 |
| SMCC | 602-243-8123 |

### Financial Aid

This office provides service to students who have unmet financial need or who wish to see if they qualify for grants, loans or scholarships.

|      |              |
|------|--------------|
| CGCC | 480-732-7321 |
| EMCC | 623-935-8930 |
| GWCC | 602-286-8300 |
| GCC  | 623-845-3366 |
| MCC  | 480-461-7441 |
| PVCC | 602-787-7100 |
| PC   | 602-285-7410 |
| RSC  | 480-517-8310 |
| SCC  | 480-423-6549 |
| SMCC | 602-243-8132 |

### Fiscal (Cashier's / Bursar)

This office, also called the Cashier's Office or College Bursar, handles the receipt and payment of money as it relates to enrollment or financial aid dispersal.

|      |              |
|------|--------------|
| CGCC | 480-732-7312 |
| EMCC | 623-935-8868 |
| GWCC | 602-286-8277 |
| GCC  | 623-845-3589 |
| MCC  | 480-461-7510 |
| PVCC | 602-787-7350 |
| PC   | 602-285-7522 |
| RSC  | 480-517-8334 |
| SCC  | 480-423-6148 |
| SMCC | 602-243-8326 |

### Student Services

This office oversees student services related issues. If you have a non-instructional grievance (any concern regarding college business outside of the classroom), there is a formal process established that you must follow before these individuals will weigh in.

|      |              |
|------|--------------|
| CGCC | 480-732-7309 |
| EMCC | 623-935-8812 |
| GWCC | 602-286-8031 |
| GCC  | 623-845-3015 |
| MCC  | 480-461-7932 |
| PVCC | 602-787-6604 |
| PC   | 602-285-7856 |
| RSC  | 480-517-8567 |
| SCC  | 480-423-6317 |
| SMCC | 602-243-8031 |

### Veterans Services

Services for Veterans at the Maricopa Community Colleges are designed to offer the highest quality assistance. Veterans Services offices work creatively and diligently to support your educational goals as you make use of your GI Bill education benefits. Their objective is to offer information and assistance to Veterans and Dependents of Veterans eligible for Veterans Educational Assistance.

|      |              |
|------|--------------|
| CGCC | 480-857-5188 |
| EMCC | 623-935-8937 |
| GWCC | 602-286-8061 |
| GCC  | 623-845-3363 |
| MCC  | 480-461-7425 |
| PVCC | 602-787-7045 |
| PC   | 602-285-7342 |
| RSC  | 480-517-8153 |
| SCC  | 480-423-6515 |
| SMCC | 602-243-8369 |

For more information about the instructional grievance process, go to [www.maricopa.edu/publicstewardship/governance/adminregs/appendices/S-6.php](http://www.maricopa.edu/publicstewardship/governance/adminregs/appendices/S-6.php). The non-instructional complaint resolution process can be found at [www.maricopa.edu/publicstewardship/governance/adminregs/appendices/S-8.php](http://www.maricopa.edu/publicstewardship/governance/adminregs/appendices/S-8.php).

The Maricopa Service Directory can be found at [www.maricopa.edu/publicstewardship/servdir.php](http://www.maricopa.edu/publicstewardship/servdir.php) and the Frequently Asked Questions page is at [www.maricopa.edu/publicstewardship/faq.php](http://www.maricopa.edu/publicstewardship/faq.php). ♦