

# North Phoenix Preparatory Academy

## Notice of Telephonic Meeting of Board of Directors

Pursuant to A.R.S. § 38-431.02, notice is hereby given to members of the Board of Directors of North Phoenix Preparatory Academy and to the general public that the Board of Directors will hold a meeting open to the public on **Tuesday, July 10, 2018 at 2:00 p.m.** The meeting will be held telephonically, all public members are able to join and participate in the entire call by calling **641-715-3580, and entering conference code 852213#**. Public members are also welcome to participate by attending the meeting in person on the second floor of the **Cicero Campus, 7205 N Pima Rd Scottsdale, AZ 85250**.

Additional documentation relating to public meeting agenda items may be obtained at least 24 hours in advance of the meeting by contacting Gena McFarland at (502) 644-2580. Persons with a disability may request a reasonable accommodation by contacting Gena McFarland at (502) 644-2580 at least 48 hours in advance of the meeting to allow time to arrange for the accommodation

### AGENDA

1. Call to Order
2. Call to the Public  
*In compliance with the Open Meeting Law, the Board of Directors will neither discuss nor take action on issues raised during the call to the public that are not specifically identified on the agenda. At the conclusion of an open call to the public, members of the Board of Directors may, however, respond to criticism made by those who have addressed the Board, ask staff to review a matter, or ask that a matter be placed on a future agenda.*
3. Approval of the Adopted Annual Budget for School Year 2018-2019
4. Approval of 2018-2019 Great Hearts Academies Standard School Policies Guide
5. Announcements/Adjournment

*Members of the Board of Directors will attend the meeting either in person or by telephone conference call. The Board reserves the right to change the order of items on the agenda, with the exception of public hearings set for a specific time.*

Dated and posted this \_\_\_\_\_ day of \_\_\_\_\_ 2018, at \_\_\_\_\_ a.m. / p.m.  
North Phoenix Preparatory Academy

Signature \_\_\_\_\_

Print name \_\_\_\_\_

# North Phoenix Preparatory Academy

## Forecasted Statements of Activities

July 2018 School Board Packet

	2018-19 Adopted Budget	2018-19 Proposed Budget		Variance
Enrollment (ADM)	482	482		-
<b>Revenue</b>				
Federal and State	\$ 3,740,561	\$ 3,740,561	87%	\$ -
Student Fees	183,285	183,285	4%	-
Comm Investment, Tax Credits & Philanthropy	350,034	350,034	8%	-
Rental Income	19,000	19,000	0%	-
Total Revenue	<u>4,292,880</u>	<u>4,292,880</u>	100%	-
<b>Expense</b>				
Instructional	2,146,987	2,146,987		-
Special Education	183,407	183,407		-
Extra Curricular: Athletics	183,234	183,234		-
Extra Curricular: Non-Athletics	15,918	15,918		-
Support Services: Facilities	643,330	643,330		-
Support services: Other Non-Instructional	119,878	119,878		-
Support services: Administration	903,247	903,247		-
Depreciation & Amortization	38,159	38,159		-
Total Operating Expense	<u>4,234,160</u>	<u>4,234,160</u>	99%	-
Net Operating Income	<u>58,720</u>	<u>58,720</u>	1%	-
<b>Other Income</b>				
Other Income	2,589	2,589		-
Total Other Income	<u>2,589</u>	<u>2,589</u>		-
<b>Other Expense</b>				
Other Expense	-	-		-
Total Other Expense	<u>-</u>	<u>-</u>		-
Change in Net Assets	<u>\$ 61,309</u>	<u>\$ 61,309</u>	1%	\$ -
<b>Cash Adjustments:</b>				
Depreciation & Amortization	38,159	38,159		-
Leasehold Improvements	(8,000)	(8,000)		-
Furniture, Fixtures and Equipment	-	-		-
Technology (Hardware/Software)	-	-		-
Change in Net Cash	<u>\$ 91,468</u>	<u>\$ 91,468</u>	2%	\$ -
Per Student Revenue	8,906	8,906		-
Per Student Operating Expense	8,785	8,785		-
Per Student Instructional Expense	4,454	4,454		-
Per Student Facilities Expense	1,335	1,335		-
Per Student Administrative Expense	1,874	1,874		-

# **Great Hearts Academies Standard School Policies Guide**



**What follows are standard GreatHearts Academy Policies to be reviewed and adopted by all local site boards.**

## **GreatHearts Academies Governance Structure**

### **Our Charter, Accreditation, and Affiliations**

All GreatHearts schools are chartered by the State Board for Charter Schools and fully accredited.

GreatHearts charter schools are individual non-profit 501(c)(3) corporations governed by a Governing Board of Directors and each is a part of the GreatHearts network of schools. GreatHearts Arizona, a private non-profit organization, supports each Arizona public 501(c)(3) charter academy in the GreatHearts network with curriculum, data management, faculty orientation and professional development, human resources services, standard policies, business management (such as accounting), special education services, and the development of funding and facility opportunities. In 2018-19, GreatHearts will operate 21 classical, liberal arts academies in the metropolitan Phoenix area

Each school site receives a set of professional management services in areas including curriculum development, human resources, finance, legal, facilities, development/fundraising, enrollment/admissions, and special education. Professional services fees ranging from 8-10% of the academy's state aid will be included each year in the academy's approved annual budget.

### **Academy Employees**

See Board Approved *Faculty Handbook*

### **Signing of Faculty and Staff Agreements**

Academy Faculty and Staff are employees of GreatHearts Academies. Agreements are not fully signed – by Headmaster and CEO of GreatHearts – until candidates successfully complete the GreatHearts Human Resources background clearance process, including AZ Dept. of Public Safety Class I Fingerprint Clearance Card, phone reference checks, etc.

GHA schools are not for profit, non-sectarian charter schools and do not discriminate in their hiring practices on the basis of gender, race, religion, national origin, or disability.

GHA schools do not require certification for teachers, but faculty must be highly qualified in the subjects they teach. Typically this is accomplished with a degree and/or 24 credit hours in the specific subject area (history, or life science, for example).

GHA schools do not sponsor H1B visas for faculty. Proposals for exceptions to this policy must be submitted to GreatHearts Human Resources.

### **Official GreatHearts Website**

The [GreatHearts](#) website is an important tool for communication. Families are encouraged to visit the website regularly to view communiqués, faculty contact information, updates on athletic and extra-curricular schedules and locations, and other school related events and information. GreatHearts Academies is committed to making the website usable by all people, including those with disabilities, by meeting or exceeding the requirements of the Web Content Accessibility Guidelines 2.0 Level AA (WCAG 2.0 AA).

GreatHearts strives to make the site an equal playing field for everyone and continually monitors the site to make sure that all content provided is accessible to all visitors. To assist in this process, GreatHearts has engaged an accessibility consulting company to help ensure its Web presence is in conformance with the WCAG 2.0 AA. The efforts to improve the website are ongoing.

## Student Enrollment

[Read More from the Enrollment Policy Handbook.](#)

GHA schools are non-sectarian, publicly-funded charter schools and do not discriminate in their enrollment or hiring practices on the basis of gender, race, religion, national origin or disability. As Arizona charter schools, GHA schools do not have attendance boundaries and therefore do not prohibit enrollment based on a pupil's residence anywhere within the state of Arizona. GHA schools comply with all Arizona Revised Statutes and Federal Law regarding enrollment and attendance at chartered public schools.

GHA schools are not required to admit any student who has been expelled from another school, is in the process of being expelled, or who is not in compliance with a condition of disciplinary action imposed by another school, school district, or juvenile court.

All qualified applicants will be admitted to GHA schools to the extent that capacity exists. Capacity for each class and grade level is defined as the number of students permitted by the Academy's charter and charter amendments. An Open Enrollment period will be announced by the school administration, with a start date and firm submission deadline, during which applications will be accepted for the following academic year. Note: Any guardian/parent of a current student who plans to return the following school year at the same academy must fill out re-enrollment paperwork to confirm the student's intent to return. During the re-enrollment period, once a parent/guardian elects "No" and withdraws from the enrollment system or a withdrawal form is turned into the front office of the school the student is attending during any period, the academy can offer that position to another student waiting to receive an offer. *Students who are in exit grades at an academy do not fill out re-enrollment paperwork, but will need to fill out a new enrollment application to attend another GreatHearts Academy.*

### ***Open Enrollment Lottery***

Our Open Enrollment period is NOT first-come, first served. If, for any grade level, the number of applicants exceeds the number of openings, there will be a lottery to determine enrollment and waitlist numbers. Only applications submitted during the OPEN ENROLLMENT PERIOD are included within that lottery pool. Lotteries will be held in January, and results will be available to view in mid-January (dates pending for both events).

## **How Our Waitlist Works**

When an application reaches the top of the list and a spot becomes available, the school will email or call the applicant immediately.

## **Predicting Waitlist Outcomes**

It is not possible to determine an applicant's chances of being offered a spot. Once classes are full, any spots that open up are the result of student withdrawals. Although typically a number of spots open up before the start of school, there is no way of knowing in which grades spots will open up or how many spots will become available.

## **Admissions Standards**

GreatHearts Academies have no admissions standards, as we are publicly funded charter schools. However, students may be required to do summer school in order to meet graduation requirements and/or to prepare them for the rigors of the intense academics of the school.

## **Kindergarten Enrollment Policy**

We follow state guidelines which stipulate that a child must turn 5 before September 1st in the year in which they are enrolled for Kindergarten. Also, we do not offer early entrance testing for Kindergarten, and the final decision for early acceptance for Kindergarten would fall to the Headmaster of that academy. Our Archway academies do adhere to the state guidelines regarding the minimum age for Kindergarten, and exceptions are generally not made for early Kindergarten admittance.

Our standard Kindergarten offering is a  $\frac{1}{2}$  day program, which is funded in full by the State of Arizona and meets all state requirements. We also offer a tuition-based, extended day Kindergarten program, which allows us to provide a full day of instruction to Kindergarten students. Tuition for the extended day program varies by school. Please contact the schools directly for more information.

## ***Applications Eligible for Priority Status***

### ***2018-19 Priority Status Order for Filling Seats:***

The following types of applications are eligible for "Priority Status," and in the following order:

1. Current student in same school
2. Archway graduate applying to entry level grade at designated recipient\* Prep school
3. GH Faculty / Administrator child or grandchild (full-time, benefits-eligible)
4. Applicants who have siblings currently attending, or have alumni siblings who attended, the same school or designated feeder/recipient\* school
5. Board member child or grandchild
6. Transfer student – from one GH school to another
7. Confirmed rollover applicant from the previous school year
8. Non-prioritized Open Enrollment applicants (by original lottery number)
9. Non-prioritized Post Enrollment applicants (by date of application)

**Please note:** Any false statement on an application, including falsely indicating priority eligibility, may result in revocation of enrollment or offer of enrollment.

If a school is the recipient of a CSP grant, per federal regulation, admission to the school throughout the duration of the grant must be done strictly by lottery with the only categories of applicants that may be exempted from the lottery being:

1. Siblings of students already admitted to or attending the same charter school
2. Children of the charter school's founders, teachers, and staff (as long as the total number of students allowed under this exemption constitutes only a small percentage of the school's total enrollment).

*Archway Graduate to Prep Entry Grade Priority Policy:*

Priority status is provided for Archway Graduates applying to the entry level grade of their designated feeder/recipient\* GreatHearts prep school. Archway Graduate priority status does not guarantee placement at the desired school.

If an offer is made to an applicant due to having the Archway Graduate status prior to the year's end and *the applicant withdraws from their Archway before graduating, the offer of enrollment will be withdrawn* and the applicant will be placed back on the waitlist, using their original lottery number or date of application to place them, without a seating priority.

1. Archway graduates who wish to enroll in the entry level grade at their designated feeder/recipient\* academy should apply during the Open Enrollment period for the upcoming school year.
2. These applicants should indicate on their application to the designated recipient school that they are currently attending a GreatHearts school, and should indicate the name of their current GH school.
3. These Archway Graduate applications will be marked for Archway Graduate priority status.

Once marked as an "Archway Graduate" application, these priority applications are ordered by original lottery number. Priority status does not guarantee placement at the desired school.

*Sibling Priority Policy:*

Sibling priority only applies when the incoming applicant has a sibling that is officially enrolled, currently attending, or has graduated from, the same school or designated feeder / recipient\* academy to which the applicant is applying.

1. A "sibling" is defined as an immediate family member of the applicant, or a blended family member of the applicant that resides under the same roof as the applicant and shares the same legal guardian. Does not apply to extended family of sibling unless legal documentation of guardianship is shown.
2. The sibling must be currently enrolled at, or an alumnus of, the same school or designated feeder/recipient\* school to which the applicant is applying.
3. The applicant can only receive priority status for the same school or designated feeder/recipient\* school at which their sibling is currently enrolled or from which the sibling has graduated.
4. If the sibling withdraws from the school before the applicant is offered enrollment, priority status will be revoked.
5. Once marked as a "sibling" application, these priority applications are ordered by original lottery number.

6. Priority status does not guarantee placement.

*GreatHearts Faculty / Administrator Child Priority Policy:*

Children and grandchildren of Full-time, benefits-eligible GreatHearts Lead Office and School Faculty and Administrators:

1. The employee must be the parent or legal guardian of the applicant or the applicant must live with the employee for at least 50% of the calendar year.
2. The eligible applicant will receive priority status at any school within the GreatHearts network.
3. The employee is responsible for notifying the school/s to which they apply of their submitted application and of their priority status eligibility.
4. If employment is terminated by employee or employer before the applicant is offered enrollment or attends one day of school at a GreatHearts academy, priority status will be revoked.
5. Once marked as an “employee” application, these priority applications are ordered by original lottery number.
6. Priority status does not guarantee placement.

Children and grandchildren of Part-time, benefits-eligible GreatHearts Lead Office and School Faculty and Administrators:

1. The employee must be the parent or legal guardian of the applicant or the applicant must live with the employee for at least 50% of the calendar year.
2. The eligible applicant will receive priority status at any school within the GreatHearts network.
3. The employee is responsible for notifying the school/s to which they apply of their submitted application and of their priority status eligibility.
4. If employment is terminated by employee or employer before applicant is offered enrollment at a GreatHearts school, priority status will be revoked.
5. Once marked as a “faculty” application, these priority applications are ordered by original lottery number.
6. Priority status does not guarantee placement.
7. Priority status for part-time employees is only granted if their contract stipulates that the employee is benefits eligible.

*GreatHearts Board Member Child Priority Policy:*

Children and grandchildren of GreatHearts Board Members and GreatHearts School Board Members:

1. The board member must be the parent, legal guardian, or legal grandparent of the applicant and if legal guardian, the applicant must live with the board member for at least 50% of the calendar year.
2. The board member must be an official, board-approved board member.
3. The eligible applicant will receive priority status at any school within the GreatHearts network.

4. The board member is responsible for notifying the school/s to which they apply of their submitted application and of their priority status eligibility.
5. If the board member's service on the board ends before the applicant is offered enrollment at a GreatHearts school, priority status will be revoked.
6. Once marked as a "board" application, these priority applications are ordered by original lottery number.
7. Priority status does not guarantee placement.

*Transfer Student Priority Policy:*

1. A student may only request a transfer to one specific GreatHearts academy and must have started within 14 school days of the first day of school to be eligible to transfer for the following school year. The applicant is also required to finish out the year at their current campus before transferring to their new school of choice.
  - a. In the case of siblings, all transfer requests submitted must be for the same school or feeder/recipient school as the transfer requests submitted for all other siblings.
  - b. The applicant must not be in the process of being expelled from their current academy.
2. Students requesting a transfer must also:
  - a. Complete an application for the next school year to their desired transfer school.
  - b. Complete and submit a Transfer Request form to their desired transfer school.
  - c. Email or deliver completed form to the Office Manager of the school.
3. GreatHearts Preparatory students who transfer within the GH network must sit out a season of sport per AIA (Arizona Interscholastic Associate) rules.
  - a. It is the job of the accepting school to notify the student of the requirement of sitting out for the year.
4. Once the desired school approves the transfer, the application will be marked for transfer priority status for the upcoming school year.
  - a. Once marked as a "transfer" application, these priority applications are ordered by original lottery number.
5. Priority status does not guarantee placement at the desired school, but rather it places the transfer application in a prioritized position on the waitlist for the desired academy / grade.

***Roll-Over Policy***

If a student is not offered a spot for the current school year, and if the student's waitlisted application is eligible to rollover to the next school year's waitlist, the school/enrollment department will contact the parents/guardians before open enrollment for the following school year begins. This will allow the parents/guardians to roll the application over to the next school year's waitlist. If parents/guardians rollover, they will not have to reapply for the next school year, and the application will move up the waitlist with other rollover applications. These rollover applications will be ahead of new, incoming, non-prioritized applications submitted for that school year during the open enrollment and post open enrollment period. It is crucial that families do not miss the rollover deadlines set by the school to ensure the student's application is moved to the next year's wait list.

### ***Initial Offer of Enrollment***

Every family will receive an email and/or a phone call from the school to which they applied if and when an offer is extended to their child. Please contact the main office of the specific school if you have any questions concerning the initial offer of enrollment.

### ***Enrollment Packet***

Completion of an online application or acceptance of an offer of enrollment *does not* constitute official enrollment. Offered applicants will receive an enrollment packet from the school directly to finalize their enrollment at the school. Parents must complete the enrollment packet by the school's packet deadline to be enrolled in the school. Failure to submit that enrollment packet by the school's deadline will result in non-enrollment of the student.

### ***Registration***

In order to complete the registration process, parents must have records transferred from the child's previous school to the Academy. This documentation should include the child's immunization history and a copy of his/her birth certificate or other legally acceptable identifying documents, as well as his/her complete academic and disciplinary records, including any special needs or information. A request form may be obtained at the school office. Official transcripts should be sent to the Academy directly by the previously attended school or, if hand delivered, the transcripts should arrive sealed with a signature across the back of the envelope. If the child was home-schooled, a signed description of the curriculum and course content mastered must be submitted to the Academy. A more complete explanation of the documents that may be submitted is included in the Enrollment Policy, which is part of this Handbook.

Additionally, in order to complete student registration or re-enrollment, a parent must provide proof of Arizona residency. This proof must be re-submitted annually; acceptable forms of residency verification are listed in the enrollment packets issued by the school and described in detail in the Enrollment Policy which is part of this Handbook. Parents have the right of access to the records of their children. The school reserves the right to have a **72-hour waiting period** in order to maintain the smooth flow of school business, although there may be an additional delay during certain times of the year when administrative staff is involved with other tasks, and to charge a reasonable fee for the cost of copying records. Non-custodial parents also have the right of access to records, unless the school has received a court document to the contrary. Please review the FERPA notification which follows for more information regarding access to and disclosure of student information.

### **Official Transcripts**

To request a school transcript, please submit a request to your school's Office Manager. Please make note of whether an unofficial or official transcript is needed. Unofficial transcripts are given directly to the family. However, official transcripts will be sent directly to the institution. Exceptions may be made in extenuating circumstances, but official transcripts are usually requested to be sent directly from the school.

### **Extra-Curriculars/Athletics**

## GreatHearts Academies Extra-Curricular and Field Trip Fee Schedule

Activity	Fee Range <i>per</i> Season of Participation
Primary School Athletics	\$50 to \$200
Junior High Athletics	\$100 to \$400
High School Athletics	\$100 to \$400
Music Ensembles	\$25 to \$200
Speech and Debate	\$50 to \$375
All other activities	\$5 to \$300

Exact fees within the board approved range are to be determined by the school administration, in conformity with the annual approved budget, based on local expenses and circumstances. Fees will vary from sport to sport, for instance, based on operational expenses.

### Student Transportation

For issues of safety and liability:

Students may not be transported by the school (or through school arranged carpooling) in 15-passenger vans.

Faculty and staff members may not transport students in their personal vehicles. Please reference the “*General Personnel Guidelines and Policies*” section at the end of the *Faculty Handbook* for more information on transportation.

### Board Meetings

#### “Call to the Public” Guidelines

During its Open Public Meetings, the GreatHearts Academies – School Site Board welcomes public commentary during the agenda “Call to the Public.” Those wishing to address the Board need not request permission in advance. Board members may not discuss any issues with the public or amongst themselves, or take legal action, on any issue that was not previously part of the public agenda. Action taken as a result of public comment on issues not part of the public agenda will be limited to directing staff to study the matter and/or scheduling the matter for further consideration and action at a later date.

Members of the public may request that an issue be placed on the published agenda of a Board meeting by sending a written request to the President of the Board at least 7 calendar days prior to the date of the Board meeting. The Board sets the agenda and has the discretion to accept or reject requests for inclusion on the agenda.

### Student Life

See Board Approved *Family Handbook*

## **Inter-state and International Travel**

A GreatHearts Academy understands that students involved in extra-curricular activities will travel in state for events.

The Headmaster and board must approve all trips out of state that are associated with the school, led by the school, marketed at the school, and/or which include a staff member traveling with one or more students (other than a staff member who is traveling with his or her own children who are also students.)

*International Travel: Due to matters of significant liability that could threaten the overall wellbeing of the school, GreatHearts Academies does not authorize, support, or approve international travel of any kind.*

For the board to approve an out of state trip within the United States, the following conditions must be met first by the submission of a Trip Request Application Packet at least 7 days prior to a regularly convened board meeting.

The Headmaster must submit the following:

1. A one-page narrative with a clear articulation of how the trip furthers the academic and cultural mission of the school for a significant number of students.
2. A signed affirmation that no administrator, staff member, student, or parent, is benefiting financially through the execution of the trip in any way.
3. A signed affirmation that the trip is financially viable and self-sufficient and will not impact the school budget in any way. All funds and deposits are paid in advance of the trip. Very strict rules are outlined for record-keeping and financial accountability.
4. A detailed chaperone plan for the trip with a minimum chaperone ratio of 1 authorized and fingerprinted chaperone for every 10 students and a day-by-day student mobility plan of how the students will be chaperoned in the specific circumstances that this trip presents.
5. In a binder, the Headmaster must submit for each staff member, chaperone, or student who will travel:
  - Participant's application, with all relevant contact information
  - Permission to travel form
  - Prescription Drug Policy form
  - Permission and Behavioral Contract
  - Trip requirements checklist
  - Roommate request/fulfillment process

## **Book Deposits**

Textbook deposits should be collected from families with the submission of the enrollment packets in the spring and should be a percentage of the real cost of the book, with the refund being based on the condition of the returned book.

In addition to textbooks, which are and remain the property of the school, each student is required to have a set of consumable books (workbooks, paperbacks, etc.). Because these consumable books, unlike the textbooks, will be the student's to keep and will grow to create an impressive library of classic literature over the course of his/her academic career with GreatHearts, families are invited to purchase these materials for their students in order to offset the expense to the school, but are not required to do so; these materials will be provided on the first day of school to any student who has not purchased them already. Families may purchase the consumable books from a variety of local or online vendors, after first obtaining the ISBN#s of the books from their school's Office Manager to ensure purchase of the correct editions.

See Board approved *Family Handbook*.

## **Emergency Evacuation Drills**

Pursuant to the State Fire Code the governing body of the school prescribes and enforces the following policies and procedures for emergency evacuation drills:

### **First emergency evacuation drill**

The first emergency evacuation drill of each school year shall be conducted within 10 days of the beginning of classes.

### **Frequency**

Required emergency evacuation drills shall be held monthly or more frequently where necessary to familiarize all occupants with the drill procedure.

### **Time of day**

Emergency evacuation drills shall be conducted at different hours of the day or evening, during the changing of classes, when the school is at assembly, during the recess or gymnastic periods, or during other times to avoid distinction between drills and actual fires.

### **Assembly Points**

Outdoor assembly points shall be designated and shall be located a safe distance from the building being evacuated so as to avoid interference with fire department operations. The assembly areas shall be arranged to keep each class separate to provide accountability of all individuals.

### **Leadership**

Responsibility for the planning and conduct of drills shall be assigned to competent persons designated to exercise leadership.

### **Time**

Drills shall be held at unexpected times and under varying conditions to simulate the unusual conditions that occur in case of fire.

### **Record Keeping**

Records shall be maintained of required emergency evacuation drills and include the following information:

- a. Identity of the person conducting the drill
- b. Date and time of the drill
- c. Notification method used
- d. Staff members on duty and participating
- e. Number of occupants evacuated
- f. Special conditions simulated
- g. Problems encountered
- h. Weather conditions when occupants were evacuated
- i. Time required to accomplish complete evacuation

### **Notification**

Where required by the fire code official, prior notification of emergency evacuation drills shall be given to the fire code official.

### **Initiation**

Where a fire alarm system is provided, emergency evacuation drills shall be initiated by activating the fire alarm system.

### **Accountability**

As building occupants arrive at the assembly point, efforts shall be made to determine if all occupants have been successfully evacuated or have been accounted for.

### **Recall and Reentry**

An electrically or mechanically operated signal used to recall occupants after an evacuation shall be separate and distinct from the signal used to initiate the evacuation. The recall signal initiation means shall be manually operated and under the control of the person in charge of the premises or the official in charge of the incident. No one shall reenter the premises until authorized to do so by the official in charge.

## **Health and Medical Policies**

See also board approved *Family Handbook*

## **Non-Prescription (OTC) and Prescription Medication Procedure**

Parents must fill out an Emergency Information Card that will remain on file in the front office. This form will also allow parents to indicate permission for the student to take specific standard over the counter (OTC) drugs (acetaminophen or ibuprofen) as well as prescription medications.

If a student must take prescription or regular doses of non-prescription (OTC) drugs while at school, the parent must bring the prescription/OTC medication to the school office and complete an additional Consent to Dispense form with signed instructions for administration. Dosage requested by the parent or guardian shall be in keeping with the manufacturer's recommendations. Each instance of administration of a prescription or OTC drug shall be documented in the school's database by the administering office staff. The school will

maintain a limited supply of OTC medications in the office for dispensation to students in acute need (not chronic). This includes cough drops, ibuprofen, antacids and acetaminophen. Written permission to take specific OTC medications must be on file in the office before a student will be administered any by staff. If front office staff reasonably believe that a student is misusing school-stocked OTC medications, such as seeking them every day, staff may refuse to issue requested OTC meds to a student.

Students are not permitted to keep prescription or OTC medications on their person or in their lockers on campus (all drugs, including cough drops, are kept locked in the front office). School administration must be notified immediately of students suspected of breaching these regulations. Violation of these policies places the student and others at great risk of personal harm, and as such, will result in disciplinary action.

## **Asthma and Anaphylaxis (life-threatening allergies)**

It is the responsibility of an anaphylactic/potentially anaphylactic child's parents to inform the school health personnel of their child's allergy. Anaphylactic children who have been cleared by their physician to carry their own auto-injector (EpiPen) may do so. The physician will need to provide the school with an Action Plan to support the self-carry instructions.

In order to protect all students with asthma, each student at our GreatHearts Academies who have been identified as having asthma must have an Asthma Action Plan on file that is signed by a physician or healthcare provider. An Asthma Action Plan is a self- management tool that is used to help the school health personnel assist a child diagnosed with asthma to better control his or her condition. The plan is completed by a physician or healthcare provider and includes information on a student's medications and dosing requirements, asthma triggers, how to handle worsening symptoms and what to do during a breathing emergency. It is a critical element in our school's overall wellness plan and will support school health personnel identify in tracking those students who are most at risk for having an asthma emergency. A sample form is available on line or at the Front Office for use in communicating with your health care provider.

Any decision regarding the necessity of administration of medications shall be the responsibility of the school nurse or other properly trained person assigned by the Headmaster. This shall be based on professional assessment of the student and the presenting health problem.

Use of alternate methods of care or treatment before use of medications may be used at the nurse's or other properly trained person assigned by the Headmaster's discretion.

The stock supply of non-prescription (OTC) drugs shall be kept in their original containers in locked storage in the school health office.

Written permission from the parent or guardian for the administration of standard non-prescription (OTC) drugs, such as acetaminophen, cough drops, and ibuprofen, shall be on file and valid for the school year. If written permission is not available, then verbal permission shall be acceptable for one day only and noted in the health record. Specific Additional written permission will be required for administration of OTC or Prescription medication brought in by the parent/student. Such medication will be kept at the school health office or front office in locked storage. Dosage requested by the parent or guardian shall be in keeping with the manufacturer's recommendations.

Parent or guardian shall list the student's known medication allergies or indicate "No known medication allergies" on these permission slips. If this section of the form is not completed or if verbal permission is

being obtained, information regarding the student's known medication allergies shall be requested from the parent or guardian.

Each instance of administration of a prescription or non-prescription (OTC) drug shall be documented by the office staff, including:

- a. student's name, date, and time of administration
- b. presenting complaint/assessment
- c. name and dosage of drug administered
- d. name of administering party

Non-medical use or on-campus possession of OTC or prescription medication (all drugs are kept locked in the front office) is strictly forbidden by school policy. Headmaster must be notified immediately of students suspected to violate these regulations.

## Epinephrine Policy and Procedures

Pursuant to Arizona Revised Statutes §15-189.04 the governing body of the school prescribes and enforces the following policies and procedures for the emergency administration of auto-injectable epinephrine (hereinafter called unassigned or stock epinephrine) by a trained employee of the school pursuant to Arizona Revised Statutes §15-157.

### Applicability

These policies and procedures shall apply if:

1. The school **voluntarily chooses** to stock two (2) adult doses and two (2) juvenile doses of auto-injectable epinephrine pursuant to A.R.S. §15-157.
2. The **school is required** to stock two (2) adult doses and two (2) juvenile doses of auto-injectable epinephrine pursuant to A.R.S. §15-157.

### Definitions

The following definitions are applicable to these policies and procedures:

1. "Anaphylactic shock" is a severe systemic allergic reaction, resulting from exposure to an allergen, which may result in death. Common allergens include but are not limited to animal dander, fish, latex, milk, shellfish, tree nuts, eggs, insect venom, medications, peanuts, soy, and wheat. A severe allergic reaction usually occurs quickly; death has been reported to occur within minutes. An anaphylactic reaction can occur up to one to two hours after exposure to the allergen.
2. "Auto-injectable epinephrine" means a disposable drug delivery device that is easily transportable and contains a premeasured single dose of epinephrine used to treat anaphylactic shock.
3. "Standing order" means a prescription protocol or instructions issued by the chief medical officer of the department of health services, the chief medical officer of a county health department, a doctor of medicine licensed pursuant to title 32, chapter 13, or a doctor of osteopathy licensed pursuant to title 32, chapter 17, for non-individual specific epinephrine.

## Policy

Pursuant to a standing order issued by the chief medical officer of the department of health services, the chief medical officer of a county health department, a doctor of medicine licensed pursuant to title 32, chapter 13 or a doctor of osteopathy licensed pursuant to title 32, chapter 17, an employee of the school who is trained in the administration of auto-injectable epinephrine may administer or assist in the administration of auto-injectable epinephrine to a pupil or an adult whom the employee believes in good faith to be exhibiting symptoms of anaphylactic shock while at school or at school-sponsored activities. Pursuant to A.R.S. §15-157, the chief medical officer of the department of health services, the chief medical officer of a county health department, a doctor of medicine licensed pursuant to title 32, chapter 13 or a doctor of osteopathy licensed pursuant to title 32, chapter 17, GreatHearts Academies, the school, and employees of GreatHearts Academies and the school are immune from civil liability with respect to all decisions made and actions taken that are based on good faith implementation of the requirements of A.R.S. §15-157, except in cases of wanton or willful neglect.

## Policy Limitations

Parents of students with known life threatening allergies and/or anaphylaxis shall provide the school with written instructions from the students' health care provider for handling anaphylaxis and all necessary medications for implementing the student specific order on an annual basis. This anaphylaxis policy is not intended to replace student specific orders or parent provided individual medications. This policy does not extend to non-school-sponsored activities.

- Symptoms of Anaphylaxis
- Shortness of breath or tightness of chest; difficulty in or absence of breathing
- Sneezing, wheezing or coughing
- Difficulty swallowing
- Swelling of lips, eyes, face, tongue, throat or elsewhere
- Low blood pressure, dizziness and/or fainting
- Heart beat complaints: rapid or decreased
- Blueness around lips, inside lips, eyelids
- Sweating and anxiety
- Itching, with or without hives; raised red rash in any area of the body
- Skin flushing or color becomes pale
- Hoarseness
- Sense of impending disaster or approaching death
- Loss of bowel or bladder control
- Nausea, abdominal pain, vomiting and diarrhea
- Burning sensation, especially face or chest
- Loss of consciousness

Although anaphylactic reactions typically result in multiple symptoms, reactions may vary. A single symptom may indicate anaphylaxis. **Epinephrine should be administered promptly at the first sign of anaphylaxis. It is safer to administer epinephrine than to delay treatment for anaphylaxis.**

## Annual Training in the Administration of Auto-Injectable Epinephrine

1. The Headmaster of the school shall designate at least two school personnel, in addition to the school nurse (RN or LPN), who shall be required to receive annual training in the proper administration of auto-injectable epinephrine in cases of anaphylactic shock pursuant to a standing order.
2. Training in the administration of auto-injectable epinephrine shall be conducted in accordance with minimum standards and curriculum developed by the Arizona Department of Health Services in consultation with the Arizona Department of Education.
3. At a minimum, training shall include procedures to follow when responding to anaphylactic shock, including direction regarding summoning appropriate emergency care, and documenting, tracking and reporting of the event.
4. Training shall also include standards and procedures for acquiring a supply of at least two (2) juvenile doses and two (2) adult doses of auto-injectable epinephrine, restocking auto-injectable epinephrine upon use or expiration, and storing all auto-injectable epinephrine at room temperature and in secure, easily accessible locations on school sites.
5. Training shall be conducted by a regulated health care professional, whose competencies include the administration of auto-injectable epinephrine, including but not limited to a licensed school nurse, certified emergency medical technician or licensed athletic trainer.
6. The school shall maintain and make available upon request a list of those school personnel authorized and trained to administer auto-injectable epinephrine pursuant to a standing order, along with the date on which the annual training took place.

#### **Annual Training on the Recognition of Anaphylactic Shock Symptoms and Procedures to Follow When Anaphylactic Shock Occurs**

1. The school shall require all school site personnel to receive an annual training on the recognition of anaphylactic shock symptoms and procedures to follow when anaphylactic shock occurs.
2. Training shall be conducted in accordance with minimum training standards developed by the Arizona Department of Health Services in consultation with the Arizona Department of Education and shall follow the most current guidelines issue by the American Academy of Pediatrics.
3. Training shall be conducted by a regulated health care professional whose competencies include the recognition of anaphylactic shock symptoms and procedures to follow when anaphylactic shock occurs, including but not limited to a licensed school nurse, certified emergency medical technician or licensed athletic trainer.
4. The school shall maintain and make available upon request a log of the personnel who received the annual training, along with the date on which the training took place.

#### **Procedures for Annually Requesting a Standing Order for Auto-Injectable Epinephrine**

Standing orders are written to cover multiple people as opposed to individual-specific orders, which are written for one person.

1. The school shall obtain a standing order from its designated school physician licensed pursuant to title 32, chapter 13 (medical physician) or chapter 17 (osteopathic physician) , and if no such physician is available to provide a standing order, from the chief medical officer of the department of health services or the chief medical officer of a country health department.
2. Standing orders shall be renewed annually and upon the change of any designated school physician.

3. Standing orders shall identify the appropriate dosage of auto-injectable epinephrine to administer based upon weight and the frequency at which auto-injectable epinephrine may be administered if symptoms persist or occur.

### **Procedures for the Administration of Auto-injectable Epinephrine in Emergency Situations**

1. Determine if symptoms indicate possible anaphylactic shock.
2. Act quickly. It is safer to give epinephrine than to delay treatment.
3. Select the appropriate dosage of auto-injectable epinephrine to administer pursuant to a standing order.
4. Inject the epinephrine via the auto-injector pursuant to a standing order, noting the time, date, and dose given.
5. Direct someone to call 911 and request medical assistance. Advise the 911 operator that anaphylaxis is suspected and that epinephrine has been given.
6. Stay with the person and keep the person stable, until emergency responders arrive.
7. Monitor the person's airway and breathing.
8. Reassure and calm the person as needed.
9. Call Front Office and School Administration and advise them of the situation.
10. Direct someone to call parents/guardians and advise them to promptly alert student's primary care physician of the incident.
11. If symptoms continue and EMS is not on the scene, administer a second dose of epinephrine pursuant to a standing order. Note the time.
12. Administer CPR if needed.
13. Emergency responders shall transport the person to the emergency room. Give the emergency responders the used epinephrine auto-injector labeled with the person's name and the date and time the epinephrine was administered.
15. Even if symptoms subside, 911 must still respond and individual must be evaluated by a physician. A delayed or secondary reaction may occur.
16. Document the incident in writing detailing who administered the injection(s), the rationale for administering the injection(s), the approximate time of the injection(s), and notifications made to school administration, emergency responders, the student's parents/guardians, and the doctor or chief medical officer who issued the standing order, and complete required incident reports.
17. Order replacement dose(s) of stock auto-injectable epinephrine as appropriate.
18. Review the incident involving the emergency administration of epinephrine to determine the adequacy of the response.

### **Reporting of the Incident**

The school shall report to the Arizona Department of Health Services all incidents of use of auto-injectable epinephrine pursuant to this rule in the format prescribed by the Arizona Department of Health Services.

### **Post Event Actions**

1. Once epinephrine is administered, local Emergency Medical Services (911) shall be activated and the student transported to the emergency room for follow up care. In some reactions, the symptoms go away, only to return one to three hours later. This is called a "biphasic reaction." Often these second-phase symptoms occur in the respiratory tract and may be more severe than the first-phase symptoms. Therefore, follow up care with a health

care provider is necessary. The student will not be allowed to remain at school or return to school on the day epinephrine is administered.

2. Document the event
3. Complete incident report
4. Replace epinephrine stock medication immediately

### **Storage, Access and Maintenance**

Epinephrine should be stored in a safe, unlocked and accessible location, in a dark place at room temperature (between 59-86 degrees F). Epinephrine should **not** be maintained in a locked cabinet or behind locked doors. Staff should be made aware of the storage location in each school. It should be protected from exposure to heat, cold or freezing temperatures. Exposure to sunlight will hasten deterioration of epinephrine more rapidly than exposure to room temperatures. The expiration date of epinephrine solutions should be periodically checked; the drug should be replaced if it is approaching the expiration date. The contents should periodically be inspected through the clear window of the auto-injector. The solution should be clear; if it is discolored or contains solid particles, replace the unit. Each school should maintain documentation that stock epinephrine has been checked on a monthly basis to ensure proper storage, expiration date, and medication stability.

The school shall maintain a sufficient number of extra doses of epinephrine for replacement of used or expired school stock on the day it is used or discarded. Expired auto- injectors or those with discolored solution or solid particles should not be used. Discard them in a sharps container.

See also the board approved *Family Handbook*

### **Whistleblower Policy**

GreatHearts Academies (“GreatHearts”) requires its directors, officers, and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of GreatHearts, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

#### **Reporting Responsibility**

This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns internally so that GreatHearts can address and correct inappropriate conduct and actions. It is the responsibility of all board members, officers, employees and volunteers to report concerns about violations of GreatHearts’ code of ethics or suspected violations of law or regulations that govern GreatHearts’ operations.

#### **No Retaliation**

It is contrary to the values of GreatHearts for anyone to retaliate against any board member, officer, employee, or volunteer who in good faith reports an ethics violation, or a suspected violation of law, such as a complaint of discrimination, or suspected fraud, or suspected violation of any regulation governing the operations of GreatHearts. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment.

#### **Reporting Procedure**

GreatHearts has an open door policy and suggests that employees share their questions, concerns, suggestions or complaints with their supervisor. If you are not comfortable speaking with your supervisor or you are not satisfied with your supervisor's response, you are encouraged to speak with Robert Wagner. Supervisors and managers are required to report complaints or concerns about suspected ethical and legal violations in writing to Robert Wagner, who has the responsibility to investigate all reported complaints. Employees with concerns or complaints may also submit their concerns in writing directly to their supervisor or Robert Wagner.

Robert Wagner is responsible for ensuring that all complaints about unethical or illegal conduct are investigated and resolved. Robert Wagner will advise the CEO and/or the Board of Directors of all complaints and their resolution and will report at least annually to the Board of Directors on compliance activity relating to accounting or alleged financial improprieties.

### **Accounting and Auditing Matters**

Robert Wagner shall immediately notify the Finance Committee of any concerns or complaint regarding corporate accounting practices, internal controls, or auditing and work with the committee until the matter is resolved.

## **Volunteers**

At GreatHearts we believe that the education of the child must involve the student, the teacher, and the parent. Parents are enthusiastically encouraged to volunteer at the campus. At the request of the teacher, they are welcome to come into the classroom to read, tutor, or help with clerical duties. They may offer to help in the media center or the reception desk. We ask that parent volunteers attend a volunteer orientation at the beginning of the year and undergo a fingerprint clearance before working with students.

All volunteers must have a signed and current volunteer form on file with the school. The teacher's individual teaching style sets the tone for the classroom. Volunteers who wish to volunteer in the classroom need to learn the teaching style of the teacher they wish to assist. If the teaching style conflicts with a volunteering style, the volunteer will need either to adjust his style or find a more compatible setting within which to volunteer. The teacher has primary responsibility for student learning in the classroom. Any grievance or concern a volunteer has with a classroom or a teacher will be handled by the procedures defined in this handbook. Under **NO CIRCUMSTANCE** is it ever acceptable for a volunteer to confront a teacher about an issue when students are present. Volunteers who will tutor in a specific subject or skill may be required to receive prior training.

**GreatHearts encourages every adult—parents, stepparents, grandparents, aunts, uncles, and community members—to take a special interest in the lives of GreatHearts students, to act as mentors and tutors, and to instill in every student a love of learning. Volunteers work in conjunction with the faculty to ensure the most effective education possible for their children. To this end, volunteers are responsible for knowing and understanding the contents of the family handbook and are encouraged, but not required, to participate on school committees and provide other volunteer services.** As indicated on the volunteer form, volunteers may be removed for conflicts of interest or violation of confidentiality. Volunteering is a privilege. The privilege of volunteering may be removed by the administrator if it is believed to be in the best interest of the school.

## **Volunteer Confidentiality Policy**

Volunteers often inadvertently have access to sensitive information. Any information about students, grades, faculty, etc. is to remain confidential. Volunteers may observe situations of a sensitive nature. These are also to remain confidential. If a volunteer has a concern involving something that is witnessed, observed, or overheard it may only be discussed with the faculty member, Headmaster, or a member of the Board of Directors (BOD). If a volunteer disregards this policy, the privilege of volunteering may be revoked.

## **Fingerprinting**

All employees of charter schools, and school volunteers who work with students, shall be fingerprinted and have a criminal background check conducted by the Arizona Department of Public Safety and the FBI. Fingerprinting must be completed by GreatHearts Human Resources. We will announce at least one day at the beginning of each school year when a GreatHearts Lead Office staff member will come to campus to fingerprint all new volunteers or potential volunteers. If you are dedicated to working this year with students as a chaperone, lunch assistant, playground monitor, tutor, office volunteer, or for any other purpose, we encourage you to attend the group fingerprinting day. At other times during the year, new volunteers may contact GreatHearts Human Resources – 602-438-7045, option 7, to make arrangements to have the required fingerprinting completed.

## **Non-Discrimination Policy**

GreatHearts Academies does not discriminate on the basis of race, color, national origin, immigration status, sex, disability, or age in its programs and activities and provides equal access to the Scouts and other designated youth groups. The following person has been designated to handle complaints regarding the non-discrimination policies:

### **Disabilities:**

Thomas Doebler, Exceptional Student Service Director  
GreatHearts Academies  
4801 E Washington Street, Suite 250  
Phoenix, AZ 85034  
602.438.7045 EXT 345

### **All Other:**

Jennifer Whitmire, HR Director  
GreatHearts Academies  
4801 E Washington Street, Suite 250  
Phoenix, AZ 85034  
602.438.7045 EXT 363

## **McKinney-Vento Act and Students**

The McKinney-Vento Act is a federal law established to ensure that homeless children and youth have access to a free, appropriate public education, comparable to that provided to the children of any Arizona resident and consistent with Arizona's mandatory school attendance laws.

If an offer is given to a student who is deemed to be under the McKinney-Vento Act, GreatHearts Academies will work with families to provide the required and necessary transportation to and from the academy to where the student attending for their education.

## **Attendance, Illness and Tardiness**

### **Absences**

Regular attendance and prompt arrival at school are vital to an Academy student's attitude and subsequent success as a serious scholar.

The Arizona Department of Education defines "...an excused absence as being an absence due to illness, doctor appointment, bereavement, family emergencies, and out-of-school suspensions." All other cases of absence, whether reported by the parent or not, shall be considered unexcused.

It is the responsibility of the parent/guardian to call the school before school begins to report an absence by leaving a message on the attendance line. Students will be recorded as having an unexcused absence if no message is left. (The administration will not usually attempt to contact parents in the event of a message not being left.) Please be sure the office has your current work and home telephone numbers on file. Whenever possible, if a student absence is anticipated, we recommend that the student notify his or her teachers and request the assignments prior to the absence. It is the responsibility of the student to make up all missed assignments after an absence from school. Each teacher will have an established make-up policy, including appropriate deadlines, for missed work. At the discretion of the Headmaster, students may not be allowed to make-up missed work due to an unexcused absence. Parents may receive a detailed attendance report upon request.

Since regular attendance is essential to a student's success at the Academy, and numerous absences are also destructive to the student's and the school's morale, the Academy may choose to retain a student who has missed more than 10 school days in one semester.

### **Illness**

If your child has a fever or is otherwise ill, it is best to keep the child at home, rather than send him/her to school where others may be exposed to infection. Students who come to the reception desk with a fever will be sent home upon parent contact. Students must be fever-free for at least 24 hours before returning to school. Each family should have an emergency card on file. Please see the section on medication for additional information regarding prescription and OTC medications.

## **Tardiness and First Period Instruction**

Students who arrive after the beginning of first period must report directly to the front office for a late pass in order to be admitted to class. If your child will be late, please provide him/her with a signed acknowledgement or personally sign them in at the office on arrival.

Following the distinction between excused and unexcused absences described above, the Academy makes a distinction between cases of excused tardiness (e.g., due to a doctor's appointment, illness, or other family business) and unexcused *accidental lateness to school* (due to a student oversleeping, transportation problems, or some other late start).

The school disapproves of the accumulation of unexcused late arrivals to school, irrespective of the circumstances. Persistent first-period tardiness is highly disruptive of instruction and undermines student morale.

## **Family Vacations**

All family vacations should be scheduled during school breaks. Absences due to vacations will be considered unexcused absences. An unexcused absence longer than ten consecutive days will automatically result in the withdrawal of the student from the school. Unexcused absences in excess of eighteen days will be considered to be truancy. Teachers will not provide homework and/or class work in advance for unexcused absences. Special consideration will be made for absences due to bereavement.

## **Special Education**

See Board Approved *Special Education Policies and Procedures*, as well as *Special Education Handbooks for Faculty/Staff and for Families*

As a public charter school, the Academy will provide identification, evaluation and instructional services to any enrolled student as required by state and federal law. As required by law, all new students will also be screened by teachers within the first 45 days of their attendance at the Academy for possible special education eligibility; results of these screenings are confidentially referred to the GreatHearts Academies Director of Special Education Services. If requested by the parent or teacher, a student may be evaluated for possible Special Education placement. Parental approval is required prior to an evaluation. Please contact Tom Doebler for more information. The Academy is also required under the "Child Find" law to offer possible referrals and/or evaluations for children not enrolled in the school. Contact the front office for details or [click here](#).

## **Arizona Early Intervention Program's (AzEIP) – Child Find**

Arizona Early Intervention Program's (AzEIP) intent is to ensure that all children from birth through 21 with delays or disabilities are identified, located and evaluated with minimal cost to parents.

Anyone who has contact with the child may refer him or her to AzEIP. Contact AzEIP if you have concerns about how a child plays and interacts with others, learns, communicates, moves, sees or hears.

When children are “found”, they are referred to a specialist to screen their development. The screening helps “identify” any areas of concern that need to be evaluated further. In order to receive early intervention or special education services, a child must be evaluated to confirm they have a delay or disability that falls under state definitions.

If needed, the child is evaluated using state criteria for specific delays or disabilities. If eligible, the Arizona Early Intervention Program or a public-school system will offer early intervention or special education services according to the child’s needs:

Early intervention supports and services assist families of children who are eligible by helping children ages birth to three years develop to their full potential. In Arizona, early intervention services are provided through the Arizona Early Intervention Program (or AzEIP).

Preschool special education services for children ages 3 to 5 provide special strategies to help children reach their developmental milestones.

Special education services for school-aged children in kindergarten through the age of 21 provide specialized instruction and services to assist children in the educational environment.

Contact information:

Parent Information Network Exceptional Student Services; Arizona Department of Education  
Becky Raabe, Child Find Coordinator  
2384 N. Steves Blvd., Flagstaff, AZ 86004  
Tel: (928) 679-8106 or (800) 352-4558 Fax: (928) 679-8124

For older children, aged 2 years, 9 months to 5 years,  
you may also contact the local school district.

## **Individuals with Disabilities Education Act (IDEA)**

**IDEA** is a federal law that protects the rights of students with disabilities. In addition to standard school records, for children with disabilities education records could include evaluation and testing materials, medical and health information, Individualized Education Programs and related notices and consents, progress reports, materials related to disciplinary actions, and mediation agreements. Such information is gathered from a number of sources, including the student’s parents and staff of the school of attendance. Also, with parental permission, information may be gathered from additional pertinent sources, such as doctors and other health care providers. This information is collected to assure the child is identified, evaluated, and provided a Free Appropriate Public Education in accordance with state and federal special education laws.

Each agency participating under Part B of IDEA must assure that at all stages of gathering, storing, retaining and disclosing education records to third parties that it complies with the federal confidentiality laws. In addition, the destruction of any education records of a child with a disability must be in accordance with IDEA regulatory requirements.

For additional information or to file a complaint, you may call the federal government at (202) 260-3887 (voice) or 1-800-877-8339 (TDD), or the Arizona Department of Education (ADE/ESS) at (602) 542-4013.

Or you may contact:

Family Policy Compliance Office  
U.S. Department of Education  
400 Maryland Avenue, SW  
Washington, D.C. 20202-5901

Arizona Department of Education  
Exceptional Student Services  
1535 W. Jefferson, BIN 24  
Phoenix, AZ 85007

This notice is available in English and Spanish on the ADE website at <http://www.ade.az.gov/ess/resources> under **forms**.

For assistance in obtaining this notice in other languages, contact the ADE/ESS at the above phone/address.

## **Section 504**

For details related to Section 504 [click here](#).

## **Policy on Harassment, Intimidation or Bullying of Students**

The Academy prohibits acts of harassment, intimidation or bullying of students. “Harassment, intimidation or bullying” means any gesture or written, verbal or physical act toward a student that takes place on school property, on social media, or at a school-sponsored activity and that: Is motivated by any actual or perceived characteristic of the student, such as race, ethnicity, religion, ancestry, sex or sexual orientation, socio-economic status, or disability; and

- a. Harms the student or damages the student’s property or threatens personal harm or damage to his property; or
- b. Insults, demeans or intimidates the student or a group of students in such a way as to substantially interfere with the student or students’ educational or social activities at school or cause a substantial disruption of the orderly operation of the school.

The school expects students to conduct themselves in keeping with their levels of development, maturity and demonstrated capabilities with a proper regard for the rights and welfare of other students and school staff, the educational purpose underlying all school activities, and the care of school facilities, and equipment.

The Dean of Students is the first person responsible for receiving complaints alleging violations of this policy. All school employees are required to report alleged violations of this policy to the Dean of Students. All other members of the school community, including students, parents, volunteers and visitors, are encouraged to report any act that may be a violation of this policy. Oral reports also shall be considered official reports. Reports may be made anonymously, but formal disciplinary action may not be based solely on the basis of an anonymous report.

The Dean of Students, in consultation with the Headmaster, will determine whether an alleged act constitutes a violation of this policy. In so doing, the Dean of Students shall conduct a prompt and thorough investigation of the alleged incident. The Dean of Students may conclude that the alleged violation occurred or did not occur, or that the evidence is inconclusive. If the Dean of Students concludes that the alleged violation did not occur or that the evidence is inconclusive, no written report of the matter will be maintained in a student's file.

In advising the Headmaster on the appropriate response to students who commit one or more acts of harassment, intimidation or bullying, the Dean of Students will consider the following factors: the developmental and maturity levels of the parties involved, the levels of harm, the surrounding circumstances, the nature of the behaviors, past incidences or past or continuing patterns of behavior, the relationships between the parties involved and the context in which the alleged incidents occurred. Concluding whether a particular action or incident constitutes a violation of this policy requires a determination based on all of the facts and surrounding circumstances. It is only after meaningful consideration of these factors that an appropriate consequence should be determined, consistent with the school's policies and applicable law.

Consequences and appropriate remedial action for students who commit acts of harassment, intimidation or bullying may range from positive behavioral interventions up to and including suspension or expulsion. Some acts of harassment, intimidation or bullying may be isolated incidents requiring that the school respond appropriately to the individuals committing the acts. Other acts may be so serious that they require a response by law enforcement officials. **Any act of harassment, intimidation or bullying that may constitute sexual abuse or any other form of child abuse, and threats of violence against students, teachers, or staff, shall be reported to law enforcement officials as required by state law.**

The school prohibits retaliation against any person who reports an act of harassment, intimidation or bullying. The consequence and appropriate remedial action for a person who engages in reprisal or retaliation shall be determined by the headmaster after consideration of the nature and circumstances of the act, in accordance with applicable school policies and law.

## Policy on Hazing

Hazing, solicitation to engage in hazing, and aiding and abetting another person who is engaged in hazing is strictly prohibited. A person is considered a "student" who has enrolled, who has been accepted for enrollment, or intends to enroll within the next 12 calendar months. This policy applies to all students until graduation, transfer, promotion, or withdrawal from the school.

"Hazing" is defined as any intentional, knowing or reckless act committed by a student, whether individually or in concert with other persons, against another student, and in which both of the following apply:

- a. The act is committed in connection with an initiation into, an affiliation with or the maintenance of membership in any organization that is affiliated with an educational institution; and
- b. The act contributes to a substantial risk of potential physical injury, mental harm or degradation or causes physical injury, mental harm or personal degradation.

“Organization” means an athletic team, association, order, society, corps, cooperative, club or other similar group that is affiliated with an educational institution and whose membership consists primarily of students enrolled at that educational institution. Violations of this policy do not include customary athletic events, contests or competitions that are sponsored by an educational institution or any activity or conduct that furthers the goals of a legitimate educational curriculum or legitimate extracurricular program.

It is no defense to a violation of this policy if the victim consented or acquiesced to hazing. All students, teachers, and staff shall take reasonable measures within the scope of their individual authority to prevent violations of this policy.

Students and others should report hazing to the Headmaster but may also report hazing to another professional staff member. If an individual besides the Headmaster receives the report, the individual receiving the report will submit a report of the incident to the Headmaster. The individual shall respect the confidentiality of those involved, disclosing the incident only to those with a need to know or as required by law. Any incident of hazing that includes possible violation of state or federal statutes shall be treated as required by statutory requirements and reported to law enforcement.

A professional staff member who fails to inform the Headmaster of an incident of hazing no less than the next school day after the member becomes aware of the incident may be subject to discipline.

All violations of this policy shall be treated in accordance with the discipline procedures and penalties in effect for violation of the Academy’s Behavior Code and Discipline.

If an organization knowingly permitted, authorized, or condoned hazing activity, its permission to conduct operations at the Academy may be revoked or suspended.

## **Anonymous Reports of Suspicious Activity**

Parents or students who would like to provide an anonymous report to the school regarding bullying, illegal activity, or suspected abuse can do so by mailing a note to the school, addressing it to the attention of the headmaster. We encourage anyone who has such concerns to report them, either anonymously or in person.

## **Privacy Practice and Accommodations Guidance**

1. GreatHearts will comply with all settled law (statute, controlling case law and administrative regulations) for the jurisdictions in which it operates schools;
2. GreatHearts will take into account each student’s privacy and safety;
3. EVERY STUDENT entrusted to our schools is to be educated with exactly the same level of care and respect for his/her dignity.
4. At the request of the parents or legal guardians, accommodations and/or modifications to standard policies and procedures will be considered through a formal process.

A. Student enrollment and instruction

1. Schools will record and identify each enrolled student as required by state law.
2. Schools will record and report the legal name of the student as recorded in enrollment documents submitted by the family. School staff will upon request refer to the student by a variant name or nickname sanctioned by the student and both his/her custodial parents or guardians.

B. Use of School Facilities

1. Schools shall maintain single sex restroom and locker room facilities and shall also provide single-occupant restroom and changing facilities. Students may use the single-sex facilities that correspond to their current school records described above, and single-occupant restrooms and locker/changing rooms that are open to use by all students.
2. This section shall not apply to a person or persons who enter a single-sex facility for purposes of:
  - a. Maintenance
  - b. Providing medical assistance
  - c. Protecting a student/students from a threat to good order or safety
  - d. Shelter in an emergency
3. No student shall be compelled to use a single-sex restroom or locker/changing room facility against their wishes; access to private, single occupant facilities will be provided.

C. Participation in school activities

1. Students are eligible to participate in athletic activities based on requirements of the specific league or ruling body for the athletic activity.

**Social Media Policy – See Appendix 1**

**Document Retention Policy – See Appendix 2**

**Title IX Policy – See Appendix 3**

# **APPENDIX 1**

## Policy for Official Social Media Accounts

GreatHearts recognizes the importance and benefits of communicating through social media. Social media is a powerful vehicle through which GreatHearts may disseminate relevant news to its community, listen to voices and perceptions of the GreatHearts community, connect, and build goodwill. Social networks and other online media are great tools for engagement and two-way communication, but there is the potential for significant risks associated with inappropriate use. Existing legal responsibilities and policies remain in place when GreatHearts employees use social media.

### Audience for this Policy

- This policy is intended for all students, staff, and parent volunteers who manage or contribute to official GreatHearts social media channels, which are defined as channels that speak on behalf of GreatHearts and have some oversight by GreatHearts staff. These include, but are not limited to, channels for Academies, athletic and extracurricular departments and offices at GreatHearts. Social media channels can include blogs, wikis and social networks such as Facebook, Twitter, YouTube, Instagram, Tumblr and LinkedIn, but are not limited to these.
- This policy DOES NOT pertain to student groups or to the personal and private use of social media by students, parents and staff.

## Policy for Official Social Media Accounts at GreatHearts

This policy ONLY applies to GreatHearts students, faculty, staff, and parent volunteers who are authorized to speak on behalf of GreatHearts through social media. This includes anyone managing or contributing to a social media channel on behalf of a school, academic department, office or other official entity at GreatHearts. Social media channels can include blogs, wikis, social networks (e.g., Facebook, Twitter, YouTube, LinkedIn, etc.), and other media yet to be developed in a dynamic communications field. This policy only applies to those individuals when they are posting on such official sites and/or when they otherwise speak as an authorized representative of the GreatHearts. It does not apply to other social media communications and postings that such individuals may make on personal social media sites so long as such communications do not indicate that the individual is speaking on behalf of GreatHearts. See guidelines for GreatHearts employees' personal use of social media.

This is intended to be a living document, which will reflect GreatHearts' current needs and may adjust to future changes in social media.

### Authorized Communications

Before creating any official social media account at GreatHearts, you must fill out and submit the Social Media Account Request Form. If applicable, the communications lead at your Academy will meet with you to discuss communications strategies specific to your school or department. If any social media channels are approved by your communications lead, you will then meet with the Digital Communications team to discuss social media policies at GreatHearts as well as strategy, goals, messaging, and best practices. All official social media accounts at GreatHearts, with the name and contact information for the account manager, must be registered with \_\_\_\_\_. You should only post on behalf of GreatHearts or its affiliates in an official capacity where you have been explicitly authorized to do so. You should only create an account in the name of a recognized GreatHearts entity if you are authorized to represent that entity. Discuss with your supervisor whether you are empowered to respond directly to users and when you may need approval to respond, or when you have questions about the appropriateness of content for posting. Take a moment to think about what you are posting before you hit the publish/post button.

### Confidentiality

Do not post confidential or proprietary information about GreatHearts, or GreatHearts employees, students, parents, affiliates, or alumni that would violate such persons' rights to privacy under applicable federal and state laws and regulations such as the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Family

Educational Rights Privacy Act (FERPA) and GreatHearts policies. Non-disclosure agreements that prohibit the GreatHearts from disclosing information also bind its employees from disclosing such information.

## **Privacy**

Do not post anything to an official social media channel that should not be shared publicly. In particular, do not discuss a situation involving named or pictured individuals on a social media site without their knowledge or permission. This does not include photos from the GreatHearts Digital Collections and Archives or photos in which individuals are not clearly recognizable. Keep in mind that for reasons of privacy or security some students may not want it publicly known that they attend GreatHearts. Never share Social Security numbers, addresses or other private information. Remember that whatever you share may be public for an indefinite period of time, even if you attempt to modify or delete it.

## **Responsibility**

Use of social media on an official GreatHearts channel must be managed responsibly because it reflects on GreatHearts, its faculty, students, parents, alumni, and its employees.

- **Emergencies and Crisis Situations:** In the event of an emergency or crisis situation, managers of official GreatHearts accounts are asked to share only official information provided by the main GreatHearts social media accounts and shared in official GreatHearts messages. Sharing information found online or not approved by GreatHearts may lead to false or confusing information reaching the community and spreading online. Official accounts are also asked to delete or postpone any previously scheduled tweets or posts during an emergency or crisis situation.
- **HIPAA/FERPA Violation:** Social media account managers should take steps in advance to prevent the exposure of confidential medical or student information. Confidential information should never be posted online. Photos should also be inspected closely before publication to make sure no confidential, personal information, such as Social Security numbers, addresses, or academic records, can be seen. Never publish a name or photo without that individual's permission.
- **Other Users:** Other users, including student groups at GreatHearts, may have different interests, attitudes and opinions than official GreatHearts social media accounts. Before retweeting or sharing content posted by others on official GreatHearts channels, be careful that such content is accurate and reflects GreatHearts' position.
- **Fake Accounts:** Employees should never create fake social media accounts (i.e., an account that seems to be the work of a third party) or share false or misleading information through a GreatHearts account.
- **Correcting Information:** If you unintentionally post something online that is incorrect, correct it visibly and publicly as quickly as possible. Doing so will earn you respect in the online community.

## **Transparency**

To both protect the GreatHearts name and build trust with users, social media such as blogs, Facebook pages, Twitter feeds, etc. that are established on behalf of GreatHearts entities should be explicit regarding the nature of the relationship of such media to GreatHearts. Similarly, in keeping with GreatHearts' non-profit status, social media should not be used for any private business or financial transactions including revenue from advertising, nor should any staff with administrative responsibilities realize any personal monetary profit from GreatHearts-related social media. Social media may be used for fundraising as long as a transaction does not occur on the social media platform itself.

Content shared via official GreatHearts social media channels, as well as pages or accounts that these channels like or follow, should reflect the mission and values of GreatHearts. Official GreatHearts accounts should refrain from posting content and liking or following users or pages that reflect personal interests or that may be in conflict with GreatHearts' mission or values.

Official GreatHearts accounts should encourage engagement and interaction with and among followers; however, they should reserve the right to remove content that is spam, commercial, obscene, harassing or derogatory. If the social network allows for it in the “Bio” or “About” section, official accounts should post a disclaimer similar to this: “Third-party posts on this wall do not imply endorsement of that content by GreatHearts. We reserve the right to remove content that is spam, commercial, obscene, harassing, and/or derogatory.”

### **Use of the GreatHearts Name**

In addition to meeting the requirements set forth in [the Guidelines on use of GreatHearts names and insignias/crests](#), there are unique challenges associated with using the GreatHearts name in social media, such as the potential need to abbreviate a program or entity name for a Twitter account.

- Use of the GreatHearts seal or wordmark as a profile photo on Facebook, Twitter, or other social media account is not allowed.
- Be as clear as possible when naming your social media accounts, while keeping in mind character limits. Avoid using acronyms that may not be universally recognized.

### **Copyright**

GreatHearts official accounts must follow the [GreatHearts Policy on Fair Use of Copyrighted Materials](#) when posting intellectual property, including photos and videos, online.

- Materials posted online should be your property, in the public domain, have a Creative Commons license, or fall under fair use. For all other instances, you should seek permission from the copyright holder.
- Photos from GreatHearts. Photo should only be posted with permission.
- Where possible, best practice is to include credit/attribution.
  - Due to character limitations and platform norms, credit is not necessary on Twitter or Instagram.
  - On Facebook and YouTube/Vimeo, GreatHearts Photo and the GreatHearts Digital Collections and Archives (DCA) ask that you include a credit.
- Please see the [Multi Media Production Guide](#) details on fair use and tips for locating royalty free music, and images and photographs that permit re-use with Creative Commons licenses.

### **Terms of Service**

Official social media accounts at GreatHearts must follow the Terms of Service set forth by the social media channels they are using.

(Facebook, Twitter, YouTube, Tumblr, Instagram, Vimeo)

### **Best Practices**

GreatHearts has created [best practices and guidelines](#) for the most popular social media platforms. Official channels should follow the best practices for each platform. In some cases, deviation from best practices is warranted, but failure to follow best practices to the detriment of the GreatHearts may result in, but not be limited to, exclusion from official GreatHearts social media lists or platforms, lack of promotion from the main GreatHearts channels, and possible deactivation or deletion of the offending account. Deactivation and deletion will be carried out by contacting and working with the school’s communications director or the Headmaster.

## **Inactive Accounts**

Social media channels at GreatHearts must be continually updated and monitored. Accounts that have been inactive for more than one month may be subject to deactivation or deletion. Deactivation and deletion will be carried out by contacting and working with the school's communications director or the Headmaster.

## **Accessibility**

GreatHearts is committed to ensuring effective access to communications materials for all members of the GreatHearts community, including individuals with disabilities.

- Visually impaired individuals and those with other disabilities may confront significant barriers when accessing certain information through social media. Accordingly, individuals who maintain social media on behalf of the GreatHearts should take steps to reduce barriers to access for individuals with disabilities. For example, enabling screen reader compatibility, captioning and descriptive tags on images can help reduce barriers to accessing information for individuals with disabilities. Most major social media platforms (including Facebook, YouTube and Twitter) provide access solutions for individuals with disabilities, including application programming interfaces (API) that enable the creation of applications that enhance accessibility of content.
- It is important to keep in mind that APIs do not eliminate or resolve all accessibility challenges. For additional and more current resources on improving access to GreatHearts-related social media and GreatHearts websites for individuals with disabilities, please contact GreatHearts directly at [Feedback@GreatHeartsAmerica.org](mailto:Feedback@GreatHeartsAmerica.org).

## **Personnel Recruitment**

While social media continues to evolve and develop as an effective tool for advertising jobs at the GreatHearts and for recruiting candidates, it does not replace or otherwise eliminate the need to use the GreatHearts' existing recruitment systems and processes for posting positions, collecting applications, conducting background checks, making offers of employment and other related activities. Offers of employment should only be extended through existing and accepted processes, and should not be communicated through social media.

# **APPENDIX 2**



**Arizona State Library, Archives and Public Records**

**General Records Retention Schedule for  
All Public Bodies  
Administrative Records**

**Schedule Number:  
000-12-15**

**Authorization and Approval**

Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal. Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule. If it is believed that special circumstances warrant that records should be kept for a shorter time than the time period listed in this schedule or that any of these records may be appropriate for transfer to the State Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Arizona State Library, Archives and Public Records has the authority to set records retention periods. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

\_\_\_\_\_  
Lisa Maxwell, Director  
Records Management Division  
Arizona State Library, Archives and Public Records

Date Approved: *March 6, 2012*

**General Retention Schedule for  
All Public Bodies  
Administrative Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
1.	Accident and Fire Prevention Program Records (including lists of first aid trained personnel)	1	After superseded or obsolete
2.	Administrative Directives (Fire Districts only)	6	After calendar year created or received
3.	Advertisements	3	After calendar year published
4.	Appointment Calendars	1	After calendar year of last entry
5.	Assurance Statements (statement from Public Body concerning retention and maintenance of permanent electronic records; office copy, official copy at Arizona State Library, Archives and Public Records (ASLAPR)/History and Archives Division)		Send original records to ASPAPR. Destroy agency copy after superseded or obsolete
6.	Certificates of Compliance (certificate from microfilm vendors verifying microfilm meets Arizona State Library, Archives and Public Records (ASLAPR) standards; office copy, official copy at ASLAPR/History and Archives Division)		Send original records to ASPAPR. Destroy agency copy after superseded or obsolete
7.	Citizenship Verification Records (When applying for public benefit in response to ARS §1-501, §1-502 and similar)		
	a. Filed with application paperwork	-	Retain per retention requirements for corresponding application records
	b. Filed separately from application paperwork		
	i. application approved	-	Retain as long as applicant receives benefits

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**General Retention Schedule for  
All Public Bodies  
Administrative Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	ii. application denied	3	After denied
8.	Customer Service Records (including comment cards, customer surveys and complaints)	-	After administrative or reference value has been served
9.	File Plans		After superseded or obsolete
10.	General Correspondence (including public records requests, forms and other letters; memos; and other related records not related to a specific project or case, not on a Records Retention Schedule and not executive correspondence)	-	After administrative or reference value has been served
11.	Highly Qualified Teacher Forms (School Districts and Charter Schools only)	5	After fiscal year created or received
12.	Logs (including telephone message logs, sign-in sheets and other related records)	-	After administrative or reference value has been served
13.	Office Internal Administrative Records (including non-policy work procedures/manuals, office assignments, work schedules, duty rosters and other related records)	-	After superseded or obsolete or after administrative or reference value has been served, whichever is later
14.	Permit Records (records obtained by Public Body and not permits issued by Public Body, for example alarm permits)	3	After permit expired, cancelled or revoked

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**General Retention Schedule for  
All Public Bodies  
Administrative Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
15.	Progress/Activity/Statistical Reports and Performance Measurement Records (including weekly or monthly reports to supervisors and managers, status reports, metrics, benchmarks and other oversight and compliance records but not including official agency annual report)	-	After administrative or reference value has been served
16.	Records Retention Schedules (office copy, official copy at Arizona State Library, Archives and Public Records ASLAPR)/Records Management Division)	-	After superseded or obsolete or after administrative or reference value has been served, whichever is later
17.	Reports of Records Destruction/Single Requests for Records Destruction/ Transfer (office copy, official copy at Arizona State Library, Archives and Public Records (ASLAPR)/Records Management and History and Archives Divisions)	-	Send original records to ASLAPR. Destroy agency copy after administrative or reference value has been served
18.	Requests for Imaging Implementation (office copy, official copy at Arizona State Library, Archives and Public Records (ASLAPR)/Records Management Division)	-	Send original records to ASPAPR. Destroy agency copy after superseded or obsolete
19.	School District Employee Reports (SDER) (School Districts and Charter Schools only)	3	After fiscal year submitted
20.	Source Records a. Data entry forms (including records used to update databases or other data collecting systems)	-	After entered data is verified

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**General Retention Schedule for  
All Public Bodies  
Administrative Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	b. Electronic and Microfilm	-	After film or image is verified unless specified differently on approved Request for Imaging form
21.	Staff Meeting Minutes (routine staff meetings where policy is not set)	-	After administrative or reference value has been served
22.	Surveillance Tapes	-	After administrative or reference value has been served (Tape may be recorded over)
23.	Survey Records	-	After administrative or reference value has been served
24.	Title I and Title VII Records (Public Bodies operating schools only)	4	After fiscal year created or received
25.	Training Records (where training class is given by Public Body and does not include records of individual employees' attendance at training classes or their training history (those records are found on the Human Resources/Personnel Retention Schedule))		
	a. Syllabi, handouts and presentation materials	6	After superseded or obsolete
	b. Attendance lists, evaluations and other related records	5	After fiscal year training given
26.	Transitory Materials (including records of limited reference value, letters of transmittal and informational bulletins)	-	After administrative or reference value has been served

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**General Retention Schedule for  
All Public Bodies  
Administrative Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
27.	Voice Mail a. Records providing substantive information or direction and may be required for ongoing legal, fiscal, administrative or operational purposes b. All other records	-	Retain for the same period as required for other forms of the same records series
		-	After administrative or reference value has been served
28.	Working Records (including notes, drafts, feeder reports and other related records used in the development of final or summary records)	-	After final records created

**Supersedes schedules dated October 18, 2011**

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

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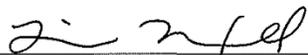
**Arizona State Library, Archives and Public Records**

**General Records Retention Schedule for  
All Public Bodies  
Financial Records**

**Schedule Number:  
000-12-25**

**Authorization and Approval**

Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal. Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule. If it is believed that special circumstances warrant that records should be kept for a shorter time than the time period listed in this schedule or that any of these records may be appropriate for transfer to the State Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Arizona State Library, Archives and Public Records has the authority to set records retention periods. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

  
\_\_\_\_\_  
Lisa Maxwell, Director  
Records Management Division  
Arizona State Library, Archives and Public Records

Date Approved: *March 15, 2012*

**Records Retention Schedule for  
All Public Bodies  
Financial Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
1.	Accounts Payable and Receivable Records (including <ul style="list-style-type: none"> <li>• claims, demands, advance records and vouchers</li> <li>• travel requests (approved)</li> <li>• fund transfer records</li> <li>• purchase orders</li> <li>• receiving documents, invoices and receipts</li> <li>• insufficient funds (NSF) and returned check records</li> <li>• credit card authorization records</li> <li>• cash transactions records (including petty cash records, receipts, summaries (daily receipts and sales), cash register tapes, voided transaction records, mail receipt lists, cash register reconciliation reports, cash refund records, and other related records)</li> <li>• purchase card (Pro card, P-card) records</li> <li>• billing and collection records</li> <li>• and other related records</li> </ul>		
	a. Official record		
	i. State Agencies, Boards and Commissions	5	After fiscal year created or received
	ii. School Districts and Charter Schools	4	After fiscal year created or received
	iii. All other public bodies	3	After fiscal year created or received
	b. All other copies	1	After fiscal year created or received
2.	Banking Records (including bank statements, warrant registers, reconciliation records, transfers, deposits, and other related records)		
	a. Checks/Warrants (cancelled or voided)		
	i. State Agencies, Boards and Commissions	5	After fiscal year returned or voided

Lisa Maxwell, Director   
 Records Management Division  
 Arizona State Library, Archives and Public Records

**Records Retention Schedule for  
All Public Bodies  
Financial Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
	ii. All other public bodies	3	After fiscal year returned or voided
	b. All other records	7	After fiscal year created or received (per Arizona Department of Revenue requirement)
3.	Budget Records (including approved and appropriated budget, fund requests, internal reports, worksheets, calculations, revenue projections, notices of budget hearings, affidavits of publication and supporting documentation)		
	a. Official record of approved and appropriated budget	Permanent	Preserve pursuant to ARS §39-101
	b. All other records (including copies of approved and appropriated budget)		
	i. School Districts and Charter Schools	4	After fiscal year covered by
	ii. All other public bodies	3	After fiscal year covered by budget
4.	Capital Asset Records		
	a. Capital equipment and property inventories	3	After fiscal year superseded or obsolete
	b. Capitalization Policies	1	After fiscal year superseded or obsolete
	c. Depreciation schedules	1	After fiscal year superseded or obsolete
	d. All other records including invoices, receipts, property control records (including lost/stolen reports; obsolete/damaged items listings; amortization records; transfer records; and disposition records including auction/sales, trade-ins, and catastrophic loss), contracts, leases and other related records for capital expenses, including land, building and equipment	3	After fiscal year of disposal of property but not less than 6 years after property acquired
5.	Census Bureau Reports	-	After superseded or obsolete

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**Records Retention Schedule for  
All Public Bodies  
Financial Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
6.	Comprehensive Database as defined by ARS §41-725	3	After fiscal year created or received
7.	Deposits with Treasurer	3	After fiscal year deposit made
8.	Financial Management Records (including lists of authorized check signers; accounting records including general/special journals, general/special/subsidiary ledgers and journal entry records; trial balances; credit and refund policies/procedures; statements of fees charged and expenditures incurred; lists of adjusting journal entries; summary of related party transactions; advice of encumbrance and lists of liabilities; gift and donation records (including tax credit receipt forms); and schedules of <ul style="list-style-type: none"> <li>• all bank accounts (chart of accounts)</li> <li>• all investments (including trustee held investments)</li> <li>• fees and price lists</li> <li>• student records (including student loan receivables, allowances for uncollectible student loans, and full time student equivalents)</li> <li>• accounts receivable and similar assets</li> <li>• accounts payable and similar liabilities</li> <li>• contributions to retirement systems</li> <li>• sponsored programs</li> <li>• receivable taxes</li> <li>• prepaid expenses</li> <li>• inter-fund payables, receivables and transfers</li> <li>• contingent liabilities</li> <li>• insurance coverage</li> <li>• irrevocable trust activity</li> </ul>	3	After fiscal year created or received

Lisa Maxwell, Director   
 Records Management Division  
 Arizona State Library, Archives and Public Records



**Records Retention Schedule for  
All Public Bodies  
Financial Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
13.	Medicaid in Public Schools (MIPS) Records (School Districts and Charter Schools only)	5	After fiscal year of receipt of final payment
14.	Payroll Records		
	a. Retirement System Contribution records	40	After fiscal year contribution made
	b. Deferred Compensation Records		
	i. Deposit records	20	After fiscal year deposit made
	ii. Quarterly reports	3	After fiscal year created or received
	c. Direct Deposit Records		
	i. Confirmation reports	6 months	After received
	ii. All other records	3	After fiscal year created or received
	d. Employee Personnel/Payroll Data Add – Change – Delete Records (finance copy of Personnel Action Forms and including pay or position change notices; additions to payroll; terminations; promotions; demotions; transfers; retirement system applications; records documenting voluntary deductions such as contributions to savings account, saving bond purchases; direct deposit requests; garnishment orders; and other related records)	3	After fiscal year superseded or obsolete
	e. Employee Time and Leave Records (including overtime and comp time records)		
	i. Official record		
	1. School Districts and Charter Schools	4	After fiscal year created or received
	2. All other public bodies	3	After fiscal year created or received
	ii. All other copies	1	After fiscal year created or received

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**Records Retention Schedule for  
All Public Bodies  
Financial Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
	f. All other records (including payroll registers (gross and net), annual earning summaries, payroll adjustments and reimbursements, payroll voided checks, and other records documenting all remuneration made to employees, employers contributions and all Social Security contributions and adjustments)	4	After fiscal year contributions were due or paid
15.	Third Party Collection Agency Records		
	a. Accounts assigned to outside collection agency	7	After date of last charge to account
	b. Statement and reconciliations	7	After fiscal year created or received
16.	Unclaimed Property Records		
	a. Report submitted to Arizona Department of Revenue (ADOR) per ARS §44-323	5	After fiscal year created or received
	b. Un-cashed checks	5 years 6 months	After fiscal year created
	c. All other records	7	After fiscal year created or received

Supersedes schedule dated October 17, 2011

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records



**Arizona State Library, Archives and Public Records**

**General Records Retention Schedule for  
All Public Bodies  
Human Resources/Personnel Records**

**Schedule Number:  
000-12-21**

**Authorization and Approval**

Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal. Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule. If it is believed that special circumstances warrant that records should be kept for a shorter time than the time period listed in this schedule or that any of these records may be appropriate for transfer to the State Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Arizona State Library, Archives and Public Records has the authority to set records retention periods. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

  
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Lisa Maxwell, Director  
Records Management Division  
Arizona State Library, Archives and Public Records

Date Approved: *March 8, 2012*

**General Records Retention Schedule for  
All Public Bodies  
Human Resources/Personnel Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
1.	Affirmative Action/Equal Employment Opportunity Records (including reports and supporting documentation but does not include specific charges, responses and case files (see Grievance and Complaint records (item #22) )	3	After created or received
2.	Alcohol/Drug Testing Program Records (including Commercial Drivers' License (CDL) Random Drug Records)		
	a. Cancelled or Negative Results	1	After results received
	b. Positive Results	5	After action taken in response to results is resolved
	c. Records related to collection	2	After test given
	d. Forms from previous employers	3	After received
3.	Americans with Disabilities Act (ADA) Records (including requests for accommodation)	3	After completion of accommodation or case settled
4.	Benefit Enrollment Records (including employee enrollment in medical, dental, life insurance, prepaid legal, beneficiary designation and other benefit options)	5	After employee terminated
5.	Civil Service/Merit Board/ Personnel Board Records (including appeal / hearing case records, exhibits, transcripts and other related records and excluding minutes (See Retention Schedule for Management Records for retention of minutes and other Board related records))		
	a. Appeal Records	2	After resolved
	b. Litigation Records	2	After case closed
	c. Merit System Rules Files	Permanent	Preserve pursuant to ARS §39-101
6.	Classification/Market Study Records (including studies and reports)	1	After superseded or obsolete

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**General Records Retention Schedule for  
All Public Bodies  
Human Resources/Personnel Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
7.	Declaration of Gifts Records a. Elected and Appointed Officials b. All others	3 5	After term of office ended After filed
8.	Department of Economic Security (DES) New Hire Reports (per ARS §23-722.01)	1	After submitted
9.	Disability Records (including short-term and long-term disability)	6	After claim closed
10.	Employee Consolidated Omnibus Budget Reconciliation Act (COBRA) Records a. Decline Notice Records (including returned undeliverable notices) b. All others	2 3	After employee terminated After either benefits terminated or coverage rejected
11.	Employee Medical and Exposure Records (including lists of hazardous materials exposed to, blood-borne exposure records, hepatitis B (HBV) and Human Immunodeficiency Virus (HIV) exposure reports and waivers, pre-employment physicals, results of exams, medical opinions, diagnoses, employee medical complaints and other related records) <b><i>*These records must be filed separately from the employee personnel file</i></b>	30	After employee terminated

Lisa Maxwell, Director   
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**General Records Retention Schedule for  
All Public Bodies  
Human Resources/Personnel Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
12.	Employee Personnel Records (for full-time, part-time, contract, seasonal, interns, volunteer, appointed, or elected positions. Including applications, resumes, performance reviews, disciplinary records, records documenting employee pay decisions, loyalty oaths and oaths of office, conflict of interest and personal interest disclosure records, confidentiality agreements, policy acknowledgements, exit interviews, drivers' qualifications, training, and pre-employment background check records.) a. Official copy b. Supervisors' and other non official copies c. Contract Employees	5 6 months 6	After employee terminated or term of office ended After employee terminated or transferred After contract expired, cancelled or revoked
13.	Employee Recognition Records	-	After administrative value has been served
14.	Employee Suggestion Program Records (including award program records)	-	After administrative value has been served
15.	Employee Summary Records (listing of current and former employees including name, dates of employment and job titles used to answer job reference questions)	15	After employee terminated
16.	Employee Survey / Questionnaire Records (including attitude surveys, selective certification surveys, salary surveys and other surveys not filed with specific program records)	-	After administrative value has been served
17.	Employee Tuition Refund Program Records	3	After fiscal year refund issued

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**General Records Retention Schedule for  
All Public Bodies  
Human Resources/Personnel Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
18.	Examination Records a. Booklets (Master booklet including development documentation) and Oral Board Questions b. Answer Sheets c. Testing Administration Records (including lists of individuals scheduled for exam) d. Oral Board Questions	2 1 1 2	After superseded or obsolete After test administered After scheduled test date After created or received
19.	Family Medical Leave Act (FMLA) Records (including employee leave request forms, supporting documentation and other non-medical related records) <b>Employee certification and health records must be retained separately from the personnel file with the employee health and exposure records.</b> a. Certification of Health-Care Provider forms b. All other records	6 months 3	After employee terminated After created, received or leave expired, whichever is later
20.	Fingerprint cards (card with fingerprints on it and not the report received)	6 months	After created or received
21.	Flexible Spending Account Records	7	After created or received
22.	Grievance and Complaint Records (including Affirmative Action/ Equal Employment Opportunity (EEO) complaint and response records, Arizona Civil Rights Division (ACRD) charge and response records, employee relations issues and performance issues)	3	After resolved
23.	Group Insurance Records (office copy explaining benefits and costs to employees based on contract with insurance carrier)	1	After superseded or obsolete

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**General Records Retention Schedule for  
All Public Bodies  
Human Resources/Personnel Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
24.	Hiring/Selection Records (including job announcements, applications, selection, test scores, interview records, pre-employment background check records, affirmative action questionnaires and other related records for individuals not hired) a. Peace Officers (as defined by ARS §1-215) b. All others	3 2 years 6 months	After position filled or abandoned After position filled or abandoned
25.	Individual Employee Training Records (including certificates of attendance and other related records) a. Law Enforcement Officers b. All others	5 3	After employee terminated After training received
26.	Insurance Policies (Contract with Insurance company)	6	After expired, canceled or revoked
27.	Investigations of Personnel Matters (including internal investigation records) a. Sustained  b. Unsustained	5  5	After employee terminated or investigation resolved or closed, whichever comes later After investigation resolved or closed
28.	Investigation Records (From DMV) a. Routine Department of Motor Vehicles (DMV) reports – no major infractions b. DMV reports – serious infractions	4 -	After received or superseded, whichever is first Transfer to personnel record
29.	I-9 Forms (May also include Social Security Verification (SSA) records for individual employees)	1	After employee terminated, but not less than 3 years after date of hire
30.	Job Announcements (if filed separately from hiring / selection records)	2 years 6 months	After position filled or abandoned

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**General Records Retention Schedule for  
All Public Bodies  
Human Resources/Personnel Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
31.	Leave Records (including compassionate leave, donated leave, military leave and other related records)	3	After fiscal year created or received
32.	Life Insurance Paid Claims	7	After fiscal year claim paid
33.	Merit Based Pay Funding Records	2	After created or received
34.	Multi-Lingual Testing Records	2	After test administered
35.	Occupational Safety and Health Records		
	a. Material Safety Data Sheets (MSDS)	30	After substance last received in workplace
	b. All other records (including accident reports, logs, annual summaries, worksite safety inspections, safety health audits and citation records)	5	After created or received or citation resolved, whichever is later
36.	Out-of-Class Assignment Reports	3	After created or received
37.	Pay Plan/Salary Schedule/Annual Salary Schedules Records	Permanent	Preserve pursuant to ARS §39-101
38.	Polygraph Records of Law Enforcement or Probation Officers (including data and reports, but not including pre-employment polygraphs in which applicant was not hired or data and reports of active investigation or appeals per ARS §38-1101(N))		
	a. Records created or received before July 29, 2010	5	After either employee terminated
	b. Records created or received on or after July 29, 2010	3	After date appointed or hired and no more than 3 years and 90 days after date appointed or hired
39.	Position Descriptions (Records describing established positions including information on title, series, grade, duties, and responsibilities. Also contains Position Description Questionnaire (PDQs))	3	After either superseded or position abolished, whichever comes first

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**General Records Retention Schedule for  
All Public Bodies  
Human Resources/Personnel Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
40.	Reduction in Force (RIF) Records (including computation documentation and recap summaries)	5	After RIF completed or abandoned
41.	Requests for Classification of New Positions or Reclassification of Existing Positions (including salary advancement records)	1	After request acted upon
42.	Requests for Verification of Employment	-	After administrative value has been served
43.	Retirement Benefits Records (including self-insured public bodies)		
	a. Any State-wide Retirement Fund including Arizona State Retirement System (ASRS) and Public Safety Retirement System (PSRS) Records (including temporary hours reports)	5	After created or received
	b. Self-funded Retirement Records	10	After death of beneficiary
44.	Retirement Systems Actuarial and Annual Reports	1	After published
45.	Social Security Verification Records (lists of social security numbers which have been verified with the Social Security Administration (SSA) with "match" or "mismatch" responses from SSA. Does not include individual responses. All mismatch responses require written documentation from office addressed to the employee.)	1	After verification completed
46.	Special Work Assignment Records	2	After approved or denied
47.	Statistical Listings of Employees	-	After superseded or obsolete
48.	Test Security Affidavits (School Districts and Charter Schools only)	6	After test administered

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**General Records Retention Schedule for  
All Public Bodies  
Human Resources/Personnel Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
49.	Unemployment Claims and Appeals Records	2	After action taken
50.	Union/Collective Bargaining Records		
	a. Arbitration/Grievance Case Records	8	After case resolved
	b. Collective Bargaining Agreements	Permanent	Preserve pursuant to ARS §39-101
	c. Negotiation Records (including workbooks and signed articles but excluding minutes)	8	After created or received
	d. Election records	6	After election held
	e. All other records (except minutes)	1	After created or received
51.	Unsolicited Applications	-	After administrative value has been served
52.	Wellness Fair Records (records concerning events hosted by the Public Body for their employees including correspondence, sign-in sheets, receipts of incentives and/or logs and other related records)		
	a. Health related records for employees	30	After employee terminated
	b. All other records	6	After event held
53.	Workers' Compensation Records		
	a. State Agency, Board and Commission records (agency copy, official copy at Department of Administration (ADOA))	3	After employee terminated
	b. Billing Records (State Compensation Fund)	5	After created or received
	c. Denied Claims	3	After denied
	d. Reports of Industrial Injury (employer and supervisors' reports)	5	After created or received
	e. Case Records	75	After case closed

**Supersedes schedule dated October 20, 2011**

**Notes:**

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Records Management Division  
Arizona State Library, Archives and Public Records

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**General Records Retention Schedule for  
All Public Bodies  
Human Resources/Personnel Records**

**Item #   Records Series                      Retention (Yrs.)   Start of Retention**

**If any of the above records are kept in the Employee Personnel File, then retain those records in accordance with the retention period for item #12, unless the record has a longer retention period than the retention period for personnel files. In that case, remove the record with the longer retention period and retain it according to the retention period for that record series and destroy the rest of the personnel file as directed above. *Employee Medical and Exposure Records may not be filed in the Personnel File***

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records



## Arizona State Library, Archives and Public Records

### General Records Retention Schedule for All Public Bodies Information Technology (IT) Records

Schedule Number:  
000-12-41

#### Authorization and Approval

Pursuant to ARS §41-151.12, the retention periods listed herein are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal. Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule. If it is believed that special circumstances warrant that records should be kept for a shorter time than the time period listed in this schedule or that any of these records may be appropriate for transfer to the State Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Arizona State Library, Archives and Public Records has the authority to set records retention periods. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

  
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Lisa Maxwell, Director  
Records Management Division  
Arizona State Library, Archives and Public Records

Date Approved: *May 1, 2012*

**General Records Retention Schedule for  
All Public Bodies  
Information Technology (IT) Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
1.	Application Records (including Development Records; Problem Records (problem definition, testing, user approval final resolution and other related records); Program Records (including specific descriptions or individual programs, program steps and modifications); Server Records (including Advantage, Budget System, PeopleSoft, and other related records); Systems Records (including overall description, diagrams, program inter-relationships); User Manuals (including procedures manuals and handbooks))	3	After system terminated or 3 years after superseded or obsolete, whichever is first
2.	Backup Tape Library Records (including records about backup tapes but not the actual backup tapes)	1	After superseded or obsolete
3.	Computer System Maintenance Records (records which document the maintenance of computer systems and components including computer equipment inventories, hardware performance reports, component maintenance, system backup reports, and backup tape inventories)		
	a. Records related to system/ component repair or service	-	After system removed
	b. Records related to backups or inventories	-	After superseded or obsolete
4.	Conversion, Integration, and Migration Plan Records	3	After successful conversion completed
5.	Data Model, Use Cases and Process Model Records	3	After superseded or obsolete

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**General Records Retention Schedule for  
All Public Bodies  
Information Technology (IT) Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
6.	Department Service Request Records (including plans, requests, performance reports, usage, bills, payments, installation, change, removal and servicing of equipment, Help Desk records and Work Orders)	3	After completed, cancelled or abandoned
7.	Distribution Lists (if not needed to document recipients of emails sent by Public Body)	1	After superseded or obsolete
8.	Enterprise Architecture Records (including system set-up and how hardware is linked)	5	After created or superseded, whichever comes first
9.	Geographic Information Systems (GIS) Records		
	a. Data Layer Records		
	i. Official copy (This series represents any content in a department's GIS database that meets the statutory definition of a record and is not a duplicate, transitory or retained elsewhere)	-	Retain for the same period as required for other forms of the same record series
	ii. Unaltered data layers (unaltered or minimally altered data layers received from other agencies and commercial sources are reference records)	3	After received or when informational value has been served, whichever is later
	iii. All other copies (This series represents any content in a department's GIS database that is strictly a duplicate or transitory in nature with a records copy of the information existing elsewhere)	-	After reference value has been served
	b. Format and Control Records (including record layouts, file structures, code books, configuration and setup files, installation and implementation procedures or instruction and any other documentation that define or describe the data or the application)	3	After superseded or obsolete

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**General Records Retention Schedule for  
All Public Bodies  
Information Technology (IT) Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
	c. Significantly Altered Data Layers (data layers received from other agencies and commercial sources which are significantly altered are considered a record)	-	Retain for the same period as required for other forms of the same records series
10.	Information Technology (IT) Configuration Management Records (including hardware configuration records)	1	After disposal of system
11.	IT Capital Investment Records (including IT asset records and inventory records of IT equipment)	3	After superseded or obsolete
12.	IT Operations / Productions Records (including operating manuals, program run books, setup/error/halt procedures, operating schedules, program run and batch control logs, error message reports, operations schedule records, and terminal activity reports)		
	a. Transitory (short-term value) records	2	After created or received
	b. All other records	2	After production operations ceased or superseded, whichever comes first
13.	Logs (including technology and usage monitoring records, intrusion detection, assessments, email monitoring, internet monitoring, security, application or database transactions, usage, tracking, audit)	-	After administrative value has been served

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**General Records Retention Schedule for  
All Public Bodies  
Information Technology (IT) Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Start of Retention</u>
14.	Master File Content Records a. Official records (These records are components of databases, database management systems, electronic document management systems (EDMS), etc and represents any content within that meets the statutory definition of a record and is not a duplicate record, transitory or retained elsewhere) b. Reference records (non-record copy – This series represents any content in a department’s Master File (database, database management system, electronic document management system (EDMS), etc) that is strictly a duplicate or transitory in nature, with a record copy of the information existing elsewhere] c. Format and Control Records (configuration and setup files, installation and implementation procedures or instructions)	-  -  3	Retain for the same period as required for other forms of the same records series as found on other approved retention schedules. Records must be deleted at the end of the approved retention period (ARS §41-151.12)  After reference value has been served  After superseded or obsolete
15.	Problem Records for Software Infrastructure	3	After problem resolved
16.	Security Records a. Records related to maintaining the security of systems and data b. Audit trail reports and records c. Computer security incident handling, reporting and follow-up records d. Password/Security Authorization Records  e. Legal and Regulatory Compliance Records f. Breach Notification Records	1 5 3 2  5 -	After system superseded or obsolete After created or reported After all follow-up actions completed After created or superseded, whichever is later After created or received See Management Records General Retention Schedule for All Public Bodies

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

**General Records Retention Schedule for  
All Public Bodies  
Information Technology (IT) Records**

**Item #   Records Series                      Retention (Yrs.)   Start of Retention**

17.	Test and Certification Records (including files, scripts, or instructions)	5	After created or superseded, whichever comes first
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**Supersedes schedule dated July 25, 2011**

Lisa Maxwell, Director   
Records Management Division  
Arizona State Library, Archives and Public Records

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**Arizona State Library, Archives and Public Records**

**General Records Retention Schedule for  
School Districts and Charter Schools  
Student Records**

**Schedule Number:**

**000-11-53**

**Authorization and Approval**

Pursuant to ARS §41-151.12, the retention periods listed herein are both the minimum and maximum time records may be kept. Keeping records for a time period other than their approved retention period is illegal. However, records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of this schedule. If it is believed that special circumstances warrant that records should be kept longer or shorter times than the time period listed in this schedule or that any of these records may be appropriate for transfer to the State Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Arizona State Library, Archives and Public Records has the authority to extend records retention periods. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

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GladysAnn Wells, Director  
Arizona State Library, Archives and Public Records

Date Approved: 8/30/11

**General Retention Schedule for  
All School Districts and Charter Schools  
Student Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
1.	Daily Attendance Records (attendance records for the school and not individual student attendance records This series includes student sign in/out logs)	4	After fiscal year created or received
2.	School Registers	4	After fiscal year created or received
3.	Certificates of Educational Convenience (CEC)	4	After fiscal year of last attendance
4.	Disciplinary Records	4	After fiscal year of last attendance
5.	Excused Absence Records	4	After fiscal year created or received
6.	Child Abuse Reports	2	After student's 18 <sup>th</sup> birthday
7.	Counseling Session Records	4	After fiscal year of last attendance
8.	Professional and Working Records	4	After fiscal year of last attendance
9.	Federal Survey Records	3	After fiscal year created or received
10.	Access and Release Records	4	After fiscal year of last attendance
11.	Grade Records (class grade books and not individual student's grades)	2	After grades transferred to permanent student records
12.	Standardized Test Score Sheets (including AIIMS)	3	After scores transferred to permanent student records
13.	Student Activities Records (including extracurricular activities, awards, recommendations, and other related records)	4	After fiscal year of last attendance

GladysAnn Wells, Director   
Arizona State Library, Archives and Public Records

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**General Retention Schedule for  
All School Districts and Charter Schools  
Student Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
14.	Pesticide Notification Records	2	After posted
15.	Health Records (including basic identifying data, general medical history, medical reports, vision and hearing tests, student accident reports, and other related records but does not include immunization records)	3	After fiscal year of last attendance
16.	Immunization Records (card specified by Department of Health Services)	Permanent	Preserve pursuant to ARS §39-101
17.	Anecdotal Records	4	After fiscal year of last attendance
18.	Non-medical Professional Reports (including reports from psychologists, social workers and other related records)	4	After fiscal year of last attendance
19.	Student Withdrawal Notices	4	After fiscal year of withdrawal
20.	Permanent Student Records (including personal identifying information (name, student identification number, etc.), transcript of final grades, summary of attendance and standardized test scores)	Permanent	Preserve pursuant to ARS §39-101
21.	Special Education Records (including placement records, referrals, evaluations, testing data and other related records)	4	After fiscal year of final enrollment in program ( <b>Parents must be notified prior to destruction of special education records</b> )
22.	Special Education Census Records	5	After fiscal year created or received
23.	Student Insurance Records	4	After fiscal year of last attendance

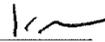
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**General Retention Schedule for  
All School Districts and Charter Schools  
Student Records**

<u>Item #</u>	<u>Records Series</u>	<u>Retention (Yrs.)</u>	<u>Remarks</u>
24.	Student Population Studies	3	After fiscal year created or received
25.	Tuition Program Records	4	After fiscal year created or received
26.	Affidavits of Intent to Home School (office copy – official copy with County Superintendent of Schools	4	After fiscal year of last attendance
27.	Juvenile Probation Records	3	After student's 18 <sup>th</sup> birthday
28.	Registration Records for Students Who Never Attend School	4	After fiscal year created or received
29.	Pre-school Records (students not continuing in school district)	1	After fiscal year of last attendance
30.	Composite Test Scores and Growth Models (not scores of individual students but general school and district scores)	-	After administrative value has ended
31.	Annually Updated Records (including computer use agreements and annual questionnaires including residency questionnaire)	-	After superseded or obsolete
32.	All Other Non-permanent Student Records	4	After fiscal year of last attendance

**Supersedes schedule dated November 15, 2007**

GladysAnn Wells, Director   
Arizona State Library, Archives and Public Records

# **APPENDIX 3**



## **Title IX Grievance Procedure**

### **Background**

Title IX is a federal law that prohibits discrimination on the basis of sex in any education program or activity receiving Federal financial assistance, whether or not such program or activity is offered or sponsored by an educational institution. The purpose of this Grievance Procedure is to provide for prompt and equitable resolution of student and employee complaints alleging any action which would be prohibited by Title IX. Title IX prohibits retaliation against individuals who submit grievances or participate in the resolution process.

### **Statement of Nondiscrimination**

Archway Classical Academy – Trivium East (the “School”), a GreatHearts school, does not discriminate on the basis of race, color, national origin, sex, disability, or age in its programs and activities and provides equal access to the Boy Scouts and other designated youth groups.

### **Title IX Coordinator**

The School has designated Jennifer Whitmire, GreatHearts HR Director, to serve as its Title IX Coordinator and to coordinate its efforts to comply with and carry out its responsibilities under federal law, including any investigation of any complaint communicated to the School alleging noncompliance with Title IX or alleging any actions which would be prohibited by Title IX. The Coordinator’s name and contact information are as follows:

<b>Title IX Coordinator:</b>	Jennifer Whitmire, HR Director GreatHearts 3102 N. 56th Street Phoenix, AZ 85018 602.438.7045 EXT 363
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The Title IX Coordinator may be assisted by other personnel as needed including, but not limited to, personnel in the GreatHearts Human Resources department.

Grievances alleging discrimination on the basis of sex in any School program or activity shall be handled in accordance with the following procedures:

## I. Definitions

- A. **Complainant:** A complainant is a student or employee of the School or GreatHearts who submits a request for resolution of a complaint alleging discriminatory action or treatment prohibited by Title IX, including acts of sexual harassment or sexual violence.
- B. **Complaint Submission Date:** The date on which a complaint was received by the Responsible Administrator.
- C. **Day:** The calculation of days in complaint processing, except as otherwise expressly provided, shall exclude Saturdays, Sundays, and federal, state, and School holidays or closures.
- D. **Neutral and objective investigator/administrator:** An administrator or designated investigator who is not the subject of a complaint or is not a Complainant.
- E. **Respondent:** The person alleged to be responsible for the prohibited conduct alleged in a complaint.
- F. **Responsible Administrator:** The Title IX Coordinator and/or the authorized designee of the Coordinator, or an administrator designated by the Headmaster or GreatHearts CEO, as appropriate.
- G. **Sexual Harassment:** Conduct occurring between any persons, including members of the same sex, that:
- (1) is sexual in nature;
  - (2) is unwelcome; and
  - (3) denies or limits a student's ability to participate in or benefit from a school's education program or creates a hostile work environment for an employee.
  - (4) Sexual Harassment may include acts of sexual violence. Sexual Harassment is a form of sex discrimination prohibited by Title IX.
- H. **Sexual Violence:** Physical sexual acts occurring between any persons, including members of the same sex, perpetrated against a person's will or where a person is incapable of giving consent (e.g., due to the student's age, a person's use of drugs or alcohol, or because an intellectual or other disability prevents the person from having the capacity to give consent). A number of different acts fall into the category of sexual violence, including rape, sexual assault, sexual battery, sexual abuse, and sexual coercion. Sexual violence can be carried out by school employees, other students, or third parties. All such acts of sexual violence are forms of sex discrimination prohibited by Title IX.
- I. **Title IX of the Educational Amendments of 1972:** Federal law declaring that no person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal

financial assistance. Sex discrimination under Title IX includes sexual harassment and sexual violence.

## II. Procedural Requirements

- A. **Time Limits:** A complaint alleging a violation of Title IX should be filed as soon as possible after the alleged violation(s). Failure to follow the timeframes outlined in the grievance procedure may result in dismissal of the complaint. A dismissal of a complaint here does not preclude a Complainant from pursuing the complaint with the appropriate external government agency. If a School representative fails to meet a deadline outlined in this procedure, the Complainant may proceed immediately to the next level of the process.
- B. **Serving Papers:** Service of any complaint, notice, or decision contemplated by this procedure is effective on the date of delivery if hand delivered, faxed, or emailed. Delivery is effective three (3) calendar days after notice is sent by first class or certified mail.
- C. **Confidentiality:** To the greatest extent possible, any complaint or proceeding under these procedures will remain confidential. There are no guarantees that information will be kept confidential, but the materials presented and any information gathered pursuant to an investigation related to a complaint will be treated as highly sensitive information that will only be disclosed in limited circumstances. Some such circumstances include, but are not limited to, the following:
1. information the School or an individual is required to report by law
  2. information shared with other administrators or those involved in an investigation to further the purposes of the investigation or stop a discriminatory practice
  3. information that is given to the respondent to ensure that the respondent may provide a substantive response

The School will take all reasonable steps to investigate and respond to a complaint in a manner consistent with the Complainant's request not to disclose his or her name, if such a request is received in writing. Such requests for confidentiality may limit the School's ability to investigate and respond to the allegations in the complaint.

Any request for confidentiality will be evaluated in connection with the School's responsibility to provide a safe, nondiscriminatory environment for all students and faculty, as well as other factors the School determines are relevant, including the Complainant's age, any circumstances suggesting there is an increased risk of future acts of harassment and/or sexual violence, and whether the School has other means to obtain the information and evidence needed for its investigation.

All parties to a grievance, including the Complainant, Respondent, and witnesses, have privacy interests and, therefore, all parties should be cautioned not to divulge or publicize the nature of the proceedings or the identity of those involved outside the scope of the investigation.

### **III. Grievance Procedure**

#### **A. Informal Resolution Procedure**

In some cases involving conduct that is not serious or repetitive, and where disciplinary action is not required to remedy the situation, informal resolution may be appropriate. Informal resolution is **not** a precondition for filing a formal complaint, as described below.

In an informal resolution process, the School does not conduct a formal investigation, and the methods for resolving the complaint vary widely based on the nature of the allegation(s) and any agreement reached by the parties. The procedure for informal resolution is as follows:

1. A Complainant must request informal resolution within ten (10) days of the alleged incident. The School headmaster or his or her designee, in conjunction with the Title IX Coordinator, will determine whether the nature of the allegation is such that it may be resolved on an informal basis through mutual agreement.
2. The methods for informal resolution vary widely and include, but are not limited to, the following:
  - coaching the person on how to directly address a situation which is causing a problem;
  - mediating the dispute with the parties;
  - developing written behavior expectations of the alleged offender to redirect conduct;
  - assisting with the resolution of a real or perceived problem;
  - arranging a documented meeting with the alleged offender that involves a discussion of the sex discrimination and sexual harassment policies and requirements for compliance.
3. The headmaster or his or her designee shall document any informal resolution and shall provide a copy of that document to the Complainant and the Title IX Coordinator within three (3) days of the resolution.

#### **B. Formal complaint Procedure**

Formal complaint procedures begin with the filing of a complaint either in writing, in person, or via another method. All written complaints regarding harassment or discrimination under Title IX, for students or employees, shall be submitted to:

Jennifer Whitmire, HR Director  
 GreatHearts  
 3102 N. 56th Street  
 Phoenix, AZ 85018  
 602-438-7045  
 jwhitmire@greatheartsaz.org

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## Step 1: Reporting a complaint

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1. **Complaint:** A Complainant may submit a complaint by using a Complaint Form, verbally, or through other equivalent means (see Section 3, “Alternative Reporting Option,” below). The Complaint Form is the preferred method for submitting a complaint. Complaint Forms are available from the Title IX Coordinator, the HR Department, the School headmaster, or in the family handbook. A completed complaint will contain all the information requested on the Complaint Form, and may include an additional, written narrative that contains information relevant to the allegation of sex discrimination, including sexual harassment and sexual violence. In order for the School to investigate the allegations, the complaint and any written narrative must identify with reasonable particularity the Respondent(s) and any witnesses to the alleged conduct.

The complaint may be submitted to the Title IX Coordinator in person, by FAX, or as an email or email attachment. The Complaint Form or equivalent submission is the primary document used to evaluate the sufficiency of a complaint and to direct the School’s investigation. It is important that complaints in any format provide as much detail as possible regarding the alleged incident.

2. **Timeline for Filing a Complaint:** Formal complaints related to alleged sex discrimination, sexual harassment, or sexual violence by a student, employee, or third party under Title IX must be filed within **forty-five (45) days** of the alleged incident. The School may waive the 45-day filing requirement if the Complainant provides a sufficient explanation of circumstances beyond his or her control that caused him or her to delay filing the complaint. The School may also consider requests to extend the 45-day deadline if an extension request is received in writing by the Title IX Coordinator. Extensions may be granted for reasonable periods at the discretion of the Title IX Coordinator based on the specific facts of each case. The Title IX Coordinator will notify the Complainant whether the extension is granted, and if it is, the Coordinator will inform the Complainant of the new filing deadline.

3. **Alternative Reporting Option:** If the Complainant is unwilling or unable to provide a written statement including the information set forth above, the Responsible Administrator and a witness shall conduct an oral interview where he or she will ask for such details and complete a Complaint Form that the Complainant will approve. The Complaint Form developed in the course of the oral interview will be the basis for any investigation moving forward. In the event the Complainant is a student with disabilities, the Responsible Administrator will carefully review the reporting student’s IEP or 504 plan to determine what specific accommodations that child should have to aid in their reporting.

4. **Employee Reports:** Any School employee who either reasonably believes a student has been discriminated against based on sex or who receives a complaint of sex discrimination, harassment, or violence from a student must immediately submit a Complaint Form to the Responsible Administrator. This reporting obligation is in addition to the School employee’s mandatory reporting obligations under Arizona law.

5. **No Retaliation:** Students, employees, or parents who make complaints in good faith shall be free from retaliation, coercion, and reprisal in seeking resolution of their complaint. Anyone acting as a witness to a complaint, in good faith, shall be free from reprisal. Retaliation is a separate violation distinct from the initial allegation about harassment or discrimination. Claims of retaliation, submitted in good faith and in writing to the Responsible Administrator, shall be investigated under these procedures. Individuals who engage in retaliation will be subject to discipline, regardless of whether there has been a finding of cause for the underlying complaint.

6. **False complaints:** Anyone who knowingly files a false or misleading complaint alleging harassment, discrimination, or retaliation is subject to appropriate disciplinary action, including, but not limited to, dismissal of the complaint. If the preponderance of the evidence supports a finding that the Complainant submitted a false or misleading complaint alleging harassment, discrimination, or retaliation, the complaint will be dismissed, and the student or employee who submitted the complaint will be recommended for discipline in a manner consistent with the School or employee handbook.

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### Step 2: Evaluating a complaint

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1. Once a complaint is received, the Responsible Administrator will ensure that the complaint is complete and that the allegations in the complaint involve potential violations or actions that are governed by Title IX and this procedure. The Responsible Administrator will also determine whether there is sufficient information to begin an investigation and, if not, will request additional or clarifying information from the Complainant.

2. Within five (5) days after the complaint Submission Date, the Responsible Administrator shall inform the Complainant in writing that the School will begin an investigation or that the matters alleged in the complaint are not within the jurisdiction or authority of the School to investigate and that the School will not carry out any further investigation.

3. If the complaint does not allege discrimination or violations under Title IX, the Responsible Administrator may forward the complaint to another School administrator for review, if appropriate.

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### Step 3: The Investigation

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1. The Responsible Administrator will conduct, or oversee, an adequate, reliable, and impartial investigation of the allegations in the complaint. The investigation may be performed by any neutral party designated by the Coordinator, including an employee of the School, another GreatHearts employee, or an outside investigator. The selection of an investigator will depend on factors such as where the student is enrolled, where an employee is assigned, where the alleged incident(s) occurred, and the nature and severity of the allegations. **No one who is a party to a complaint may be involved in the investigation of that complaint.**

2. In the event that the Coordinator and Responsible Administrators are not neutral parties, the GreatHearts CEO shall designate a neutral and objective investigator to investigate the complaint and perform all the functions of the Coordinator for that particular complaint.

3. The investigator shall interview all parties identified in the complaint and other witnesses that the investigator determines may provide information relevant to resolving the complaint allegation(s). Both the Complainant and Respondent shall have the opportunity to identify witnesses to be interviewed and provide documentation or other evidence for the designated investigator to review. Failure to present information during the investigation stage may not only affect the decision, but also your right to appeal. It is important to disclose all the information you know during the course of the investigation.

4. The Responsible Administrator shall consider the evidence compiled by the designated investigator and take whatever additional actions the Responsible Administrator deems necessary to complete the investigation.

5. The Responsible Administrator will maintain documentation of all proceedings, which may include written findings of facts, transcripts, notes, or audio recordings.

6. **Interim Measures Available:** During the course of an investigation, particularly in cases of harassment, the School may implement interim measures to protect the Complainant from ongoing harassment or discrimination. These measures may include, but are not limited to, separation pending the outcome of the investigation, counseling, educational resources and support, victim advocacy, housing assistance, disability services, and health and mental health services. The Responsible Administrator should consider a number of factors in determining what interim measures to take, including, for example, the specific need expressed by the Complainant; the age of the students involved; the severity or pervasiveness of the allegations; any continuing effects on the Complainant; whether the Complainant and alleged perpetrator share classes, transportation, or extra-curricular activities; and whether other judicial measures have been taken to protect the Complainant (e.g., civil protection orders).

7. The investigator shall complete his or her investigation within thirty (30) days after the complaint Submission Date.

8. The Responsible Administrator will notify both the Complainant and Respondent in writing when the investigation is complete.

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#### **Step 4: Notice of Resolution**

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1. Within ten (10) days of the notice that the investigation is complete, the Responsible Administrator shall notify both the Complainant and Respondent in writing of the results of the investigation.

2. The Responsible Administrator will consider the totality of the evidence and determine whether a preponderance of the evidence establishes that the alleged actions occurred. A preponderance of the evidence means that it is more likely than not that discrimination/sexual harassment/sexual violence occurred.

a. If the Responsible Administrator determines that the preponderance of the evidence does not support the allegations of discrimination, the Complainant may appeal the determination pursuant to Step 5, below.

b. If the Responsible Administrator determines that the preponderance of the evidence supports the allegations of discrimination by the Respondent, the Responsible Administrator shall provide written findings and conclusions supporting the determination. In addition, the written determination shall make recommendations for (i) immediately ending the discriminatory conduct; (ii) ways to remedy the discriminatory effects of any discriminatory behavior on the Complainant and, if applicable, the School's educational environment, and (iii) the steps to be taken to prevent the recurrence of any discriminatory or harassing conduct found to have occurred. The recommendations

of the Responsible Administrator shall become final and shall be implemented unless either party appeals as provided in Step 5—Appeal Rights.

3. **Discipline:** As part of a Resolution, employees or students may be disciplined if it is determined through this procedure that discriminatory action, treatment, harassment, or retaliation for complaining, has occurred in violation of federal or state laws or School policies. The Responsible Administrator shall refer the matter to the appropriate School administrator to initiate disciplinary proceedings against the Respondent.

a. Students. If the recommended disciplinary consequences involve either a long-term suspension or expulsion, the student is entitled to a hearing before the School board as outlined in the School handbook.

b. Employees. If the disciplinary consequence involves termination, the employee’s rights will be governed by Arizona law and School policies.

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### Step 5: Appeal Rights

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1. Any party not satisfied with the resolution provided by the Responsible Administrator at the conclusion of Step 4 may submit an appeal to the GreatHearts CEO within five (5) days of receiving the decision. The appeal shall state with particularity the party’s disagreement with the decision, the reasons for the disagreement, and how the resolution would change if the decision is reconsidered. Complainants who wish to submit an appeal not in writing should follow the process outlined in Step 1, Section 3 above for submitting an alternative form of appeal.

2. The appeal process is not meant to be an opportunity to present additional or different evidence that was available at the time of the investigation. Your decision not to present information during the investigation stage is not a ground for appeal. New information that you recently discovered or could not have known about during the course of the investigation may be a basis to reconsider the decision.

3. The GreatHearts CEO or his or her designee shall review the record of the investigation in light of the written appeal and determine whether a preponderance of the evidence supports the decision. The CEO or his or her designee shall issue a written decision and send it to the parties within ten (10) days of receiving the written appeal. The CEO’s decision is final.

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### Step 6: Complaint with Government Agency

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1. If a party is not satisfied with the final decision of the School, the party may file a complaint with the government agency tasked with enforcing Title IX, the U.S. Department of Education Office for Civil Rights (“OCR”). There are specific timelines associated with filing a complaint with a government agency. More information about filing a complaint can be found here: <https://www2.ed.gov/about/offices/list/ocr/docs/howto.pdf>.

2. The contact information for the OCR office that oversees Arizona is as follows:

Office for Civil Rights, *Denver Office*  
U.S. Department of Education  
Cesar E. Chavez Memorial Building  
1244 Speer Blvd., Suite 310  
Denver, CO 80204-3582  
Telephone: 303-844-5695\*  
Fax: 303-844-4303  
OCR.Denver@ed.gov

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