

## STANDARD OPERATING PROCEDURE 5.01: GOVERNING AUTHORITY MEMBERSHIP MONITORING PROCESS

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July 1, 2025

### A. PURPOSE

This GOVERNING AUTHORITY MEMBERSHIP MONITORING PROCESS provides guidelines for monitoring governing authority membership, including required documentation and how to track membership, where to store documentation, and how to communicate to governing authorities, schools and staff regarding compliance with governing authority membership requirements.

### B. APPLICABILITY

The GOVERNING AUTHORITY MEMBERSHIP MONITORING PROCESS is managed by the Legal Department and the Compliance Department and relates to all CSS partner schools sponsored by St. Aloysius.

### C. DEPARTMENT RESPONSIBILITIES

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|--------------------------------|---------------------------------|
| <b>Responsible Department:</b> | <b>Compliance Department</b>    |
| <i>Other Departments:</i>      | <i>Legal Department</i>         |
|                                | <i>C Suite Level Executives</i> |

### D. PROCEDURE

The GOVERNING AUTHORITY MEMBERSHIP MONITORING PROCESS is as follows:

1. When St. Aloysius begins sponsorship of a school, the Compliance Department uploads initial governing authority data into the database.
  - a. Initial data includes governing authority member names, contact information for each member including phone, email and address, verification of background checks, a resume or bio, disclosure/conflict of interest form and finding for recovery.
    - i. For all new governing authority members whose BCI and/or FBI results show any arrest, charge or conviction, the Compliance Department shall contact the Legal Department to review the BCI/FBI report for any disqualifying offenses. The Legal Department shall communicate directly with the governing authority legal counsel regarding the offense and determine an appropriate course of action.

- b. The Compliance Department performs an annual finding for recovery search for current school personnel and current governing authority members as required by statute, for all schools that are currently open on the Auditor of State findings for recovery database and saves a copy on the shared drive. These findings for recovery search shall be performed before April 30th of each year and the search shall be documented in the appropriate folder.
    - i. If there is a finding for recovery against a potential/current governing authority member, the Legal Department shall notify the governing authority member and governing authority counsel (if applicable).
    - ii. The Compliance Department also tracks training obtained by all governing authority members.
      - 1. Training shall include that each governing authority member has completed training on public records and open meetings law on a yearly basis.
    - iii. The Compliance Department tracks and confirms that all governing authority members sign and submit an annual disclosure form. The form is reviewed and sent to the Legal Department if there appears to be a conflict of interest.
  - 2. After collection of the resume, signed conflict of interest form, BCI and/or FBI background check results, and the finding for recovery search, CSS, on behalf of St. Aloysius will approve a potential new governing authority member, provided the governing authority member has no disqualifying criminal offenses or conflicts of interest. The Compliance Department upon approval will notify the Legal Department and will update this information in the database. The Compliance Department will also send the Governing Authority Member a new member packet in accordance with NEW GOVERNING AUTHORITY MEMBER PACKET PROCESS.
  - 3. The Compliance Department verifies that all current governing authority member names are posted on the school's website as required by law, within 30 days of the approval of the new governing authority member.
  - 4. During opening assurances, the Compliance Department confirms that the school governing authorities have at least five (5) board members and they have all required background checks, resumes and COI/Disclosures.
  - 5. At any point during the year, in the event the governing authority membership drops below five (5) members, the following steps are to be completed in order to demonstrate commitment to meet the requirements of the law.
    - a. Any CSS staff member that becomes aware that the governing authority membership has fallen below five (5) board members, either through attendance at a governing authority meeting, through an onsite review, or
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during the regular course of operations, shall immediately (not later than 48 hours) notify the Compliance Department.

- b. Within fourteen (14) days after receiving notification that membership falls below five (5), the Compliance Department will send the template email notice to the governing authority with copies (cc) to the C Suite and Legal Department advising of non-compliance and notifying them of statutory requirements to maintain five (5) members and request a plan be submitted within forty-five (45) days of the effective date of the resignation. The date of the school's non-compliance will begin on the effective date of the resignation and may be retroactive. The date of the Compliance Department's timeframe to give notice begins when the Compliance Department has been notified of the resignation.
    - i. The Compliance Department shall notify the next board meeting attendee the day of the next board meeting that the governing authority is below five (5) members.
  - c. If the governing authority has not submitted its plan or has not increased its membership to five (5) members forty-five (45) days after the effective date of the resignation, the Compliance Department shall send an email reminder including all recipients listed in the original email distribution.
  - d. If the governing authority has not increased its membership to five (5) members ninety (90) days after the effective date of the resignation, the following steps will be taken:
    - i. The Compliance Department will contact the C Suite Level Executives and provide notification that the school remains below five (5) members.
    - ii. Unless the C-suite or Legal Department has determined otherwise and notified the Compliance Department, the Compliance Department shall send an intervention letter with the following details:
      - 1. Request the governing authority to provide all steps taken to fill the vacancy.
    - iii. C Suite Level Executives will schedule a time to meet with the Governing Authority President/Board Chair to discuss the challenges the Governing Authority is facing in identifying a qualified candidate.
    - iv. CSS may recommend a temporary appointment to fill the vacancy.
  - e. If the governing authority has not increased its membership to five (5) members one-hundred twenty (120) days after the effective date of the resignation, the Governing Authority may be placed on a corrective action plan for not maintaining five (5) board members.
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- i. The Compliance Department shall complete the steps in SOP 3.01 related to corrective action plans.
  - ii. Recruitment efforts must be detailed in the corrective action plan.
  - iii. Corrective action plan must be submitted within fourteen (14) days.
  - iv. If the Governing Authority does not have a regularly scheduled meeting with fourteen (14) days, it must call a special meeting.
- f. If the Governing Authority fails to add a member after all steps listed above, the Compliance Department shall consult the C Suite Level Executives regarding potential probationary status of the school.
- g. If probation is required, the PROBATION PROCESS will be implemented.
- h. If the Governing Authority remains below five (5) members on June 1 of any school year or drops below five (5) members after June 1 of any school year, the Compliance Department shall notify the Legal Department.
  - i. The Legal Department may send a notification to the Governing Authority informing them the school will not be able to open for the next school year until the governing authority has five (5) members.
  - ii. The Legal Department shall request weekly updates from the Governing Authority until the school has the minimum five (5) members approved by the Sponsor and serving as a Governing Authority member.
  - iii. If the Governing Authority is not able to open for the next school year by September 30, the school may be placed on suspension and will follow the process as outlined in SOP 3.01.
- i. The Compliance Department will create a tracking spreadsheet to track information relative to the dates of receiving notification, sending notices, sending intervention letters and CAPs.

## **E. DOCUMENTATION**

All GOVERNING AUTHORITY MEMBERSHIP MONITORING PROCESS information is maintained on the shared drive:

*Location of documentation:*

S:/sponsored schools database/St. Aloy FYXX XX\

## **F. GLOSSARY**

Database, background check, finding for recovery, disqualifying offenses, disclosure form, school website, recruitment efforts

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## **G. CROSS REFERENCED SOP'S**

SOP 3.01 Intervention Process

## **H. REVIEW AND APPROVAL**

Approved By: Chief Executive Officer David L. Cash, Jr.

Date: 06/30/2026

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