JOINT LEGISLATIVE BUDGET COMMITTEE

Wednesday, April 29, 2020

1:30 p.m.

JLBC

STATE OF ARIZONA

Joint Legislative Budget Committee

STATE
SENATE

DAVID M. GOWAN
    CHAIRMAN
LELA ALSTON
SEAN BOWIE
RICK GRAY
VINCE LEACH
DAVID LIVINGSTON
J.D. MESNARD
LISA OTONDO

1716 WEST ADAMS
PHOENIX, ARIZONA 85007

(602) 926-5491

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HOUSE OF
REPRESENTATIVES

REGINA E. COBB
    VICE-CHAIRMAN
DIEGO ESPINOZA
CHARLENE R. FERNANDEZ
RANDALL FRIESE
JOHN KAVANAGH
WARREN PETERSEN
BRET M. ROBERTS
BEN TOMA

JOINT LEGISLATIVE BUDGET COMMITTEE
Wednesday, April 29, 2020
1:30 P.M.*

MEETING NOTICE

-     Call to Order

-     Approval of Minutes of December 11, 2019.

-     DIRECTOR'S REPORT (if necessary).

-     EXECUTIVE SESSION
  A. Arizona Department of Administration, Risk Management Services - Consideration of Proposed Settlements under Rule 14.
  B. Arizona Department of Administration - Review for Committee the Planned Contribution Strategy for State Employee and Retiree Medical and Dental Plans Under A.R.S. § 38-658A.

1.   ATTORNEY GENERAL
   ***A. Review of Report on Murdered and Missing Indigenous Women and Girls Study Committee Expenditure Plan.
   ***B. Review of Peace Officers Memorial Fund Transfer and Expenditure Plan.

2.   DEPARTMENT OF CHILD SAFETY
   ***A. Review of FY 2020 Quarterly Benchmarks.
   ***B. Review of FY 2020 Line Item Transfers.

3.   ARIZONA DEPARTMENT OF CORRECTIONS
   ***A. Review of FY 2020 Third Quarter Correctional Officer Staffing Report.
   ***B. Review of FY 2020 Proposed Bed Capacity Changes.

4.	***DEPARTMENT OF ECONOMIC SECURITY - Review of Developmental Disabilities Line Item Transfers.

5.	***DEPARTMENT OF EDUCATION - Review of AIMS Science Contract Renewal.

6.	***DEPARTMENT OF TRANSPORTATION - Review of Motor Vehicle Modernization (MvM) Project Annual Progress Report.

*	The meeting will be held via teleconference software. Members of the public may access a livestream of the meeting here (https://azleg.granicus.com/MediaPlayer.php?publish_id=2)

***	Consent Agenda - These items will be considered in one motion and no testimony will be taken.

The Chairman reserves the right to set the order of the agenda.
04/22/2020
lm

STATE OF ARIZONA

Joint Legislative Budget Committee

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MINUTES OF THE MEETING

JOINT LEGISLATIVE BUDGET COMMITTEE

December 11, 2019

The Chairman called the meeting to order at 1:27 p.m., Wednesday, December 11, 2019, in House Hearing Room 1. The following were present:

Members:	Senator Alston	Representative Cobb, Chairman
	Senator Bowie	Representative Espinoza
	Senator Gray	Representative Fernandez
	Senator Leach	Representative Fillmore
	Senator Mesnard	Representative Friese
		Representative Kavanagh
		Representative Kern
		Representative Roberts
Absent:	Senator Gowan, Vice-Chairman	Representative Petersen
	Senator Livingston	Representative Toma
	Senator Otondo	

APPROVAL OF MINUTES

Senator Leach moved that the Committee approve the minutes of September 25, 2019. The motion carried.

EXECUTIVE SESSION

Senator Leach moved that the Committee go into Executive Session. The motion carried.

At 1:29 p.m. the Joint Legislative Budget Committee went into Executive Session.

Senator Leach moved that the Committee reconvene into open session. The motion carried.

At 2:05 p.m. the Committee reconvened into open session.

(Continued)

Arizona Department of Administration, Risk Management Services - Consideration of Proposed Settlements under Rule 14.

Senator Leach moved that the Committee approve the recommended settlements proposed by the Attorney General's office in the cases of:

- *Fernandez v. State of Arizona, et al.*
- *Hernandez v. Ryan, et at.*
- *Ragsdale v. State of Arizona, et al.*

The motion carried.

REGULAR AGENDA

JLBC STAFF - Consider Approval of Index for School Facilities Board Construction Costs.

Ms. Rebecca Perrera, JLBC Staff, stated that A.R.S. § 15-2041D3(c) requires that the cost-per-square-foot factors used in the School Facilities Board (SFB) new school construction formula "shall be adjusted annually for construction market considerations based on an index identified or developed by the Joint Legislative Budget Committee (JLBC) as necessary but not less than once each year." The cost-per-square-foot factors were last adjusted in December 2018.

Senator Leach moved that the Committee approve a 5.29% adjustment in the cost-per-square-foot factors. The adjustment is based on the change in the Rider Levett Bucknall (RLB) Phoenix construction cost index since the cost factors were last adjusted in December 2018. The new revised per square foot dollar amounts apply to districts that were awarded new schools by the School Facilities since December 11, 2019. The revised rates are as follows:

Grade	$ per square foot
K-6	$164.36
7-8	$173.52
9-12	$200.90

The motion carried.

CONSENT AGENDA

The following item was considered without discussion.

DEPARTMENT OF ECONOMIC SECURITY (DES) - Review of Plan for the Arizona Training Program at Coolidge.

Pursuant to A.R.S. § 36-570, DES submitted its annual report for Committee review on the department's plans for the Arizona Training Program at Coolidge (ATP-C) and associated group homes, including any plans to close the facilities. The JLBC Staff provided options.

Senator Leach moved that the Committee give a favorable review to the consent agenda item listed above. The motion carried.

REGULAR AGENDA

ARIZONA DEPARTMENT OF CORRECTIONS (ADC) - Review of FY 2020 Second Quarter Correctional Officer Staffing Report.

Mr. Stefan Shepherd, JLBC Staff, stated that pursuant to an FY 2020 General Appropriation Act footnote, ADC submitted for Committee review its quarterly staffing report for correctional officers. The JLBC Staff provided options.

Mr. David Shinn, Director, ADC, responded to member questions.

Senator Leach moved that the Committee receive the department's second quarterly report and the additional information required in the September provisions without comment. The motion carried.

ARIZONA DEPARTMENT OF CORRECTIONS (ADC) - Review of FY 2020 Proposed Bed Capacity Changes.

Mr. Stefan Shepherd, JLBC Staff, stated that pursuant to an FY 2020 General Appropriation Act footnote, ADC previously submitted for Committee review its report detailing proposed bed capacity changes in FY 2019. The Committee reviewed the plan at its September JLBC meeting. ADC is now requesting the Committee review its revised FY 2020 changes. The JLBC Staff provided options.

Mr. David Shinn, Director, ADC, responded to member questions.

Mr. Joe Profiri, Deputy Director, ADC, responded to member questions.

Chairman Cobb ruled the Committee will not hear public testimony.

Representative Friese moved to appeal the decision of the chairman not to hear public testimony and requested a roll call vote. The motion failed by a roll call vote of 5-7-0-6. (Attachment 1)

Senator Leach moved that the Committee give a favorable review of the department's revised changes. The motion passed by a roll call vote of 7-5-0-6. *(Attachment 1)*

ARIZONA DEPARTMENT OF ADMINISTRATION (ADOA)/ ARIZONA DEPARTMENT OF EDUCATION (ADE) - Review of APOR/CHAR Replacement Project (Automation Projects Fund).

Mr. Patrick Moran, JLBC Staff, stated that pursuant to A.R.S § 41-714, ADOA and ADE requested Committee review of $3,000,000 in proposed FY 2020 expenditures from the Department of Education Subaccount of the Automation Projects Fund (APF) for the Department of Education's school finance system replacement project. The JLBC Staff provided options and potential provisions.

Mr. John Carruth, Chief of Staff, ADE, responded to member questions.

Senator Gray moved that the Committee give a favorable review of ADOA's and ADE's $3,000,000 FY 2020 expenditure plan from the APF for school finance system replacement, with the following provisions:

(Continued)

A. *Before expending monies on the FY 2020 school finance system replacement expenditure plan, ADE shall receive review and approval of the plan by the Information Technology Authorization Committee.*

B. *ADE shall report any changes in the timeline for the completion of the project to the Joint Legislative Budget Committee within 30 days of the approval of the changes. The report shall address how the revised timeline will affect ADE's plans to request additional funding for the project.*

C. *ADE shall report to the Committee within 10 days of contracting with an independent third-party vendor that will provide quarterly assessments of the project pursuant to A.R.S. § 18-104A1g. ADE shall provide the quarterly assessments to the Committee.*

The motion carried.

ATTORNEY GENERAL (AG) - Review of Consumer Restitution and Remediation Revolving Fund - Consumer Remediation Subaccount Expenditure Plan.

Mr. Stefan Shepherd, JLBC Staff, stated that A.R.S. § 44-1531.02C requires the AG to submit an expenditure plan for review by the Committee prior to spending any monies in the Consumer Remediation Subaccount of the Consumer Restitution and Remediation Revolving Fund. The AG requested the Committee review its expenditure plan to spend $125,000 from the Target settlement to support expenses associated with the Missing and Murdered Indigenous Women and Girls Study Committee. The JLBC Staff provided options.

Representative Jennifer Jermaine responded to member questions.

Senator Leach moved that the Committee give a favorable review favorable review of the AG's expenditure plan to spend $125,000 from the Target settlement to support expenses associated with the Missing and Murdered Indigenous Women and Girls (MMIWG) Study Committee. The favorable review included the following provision:

A. *Of the $125,000, $30,000 is intended to be immediately available. The MMIWG Study Committee shall provide, at least 2 weeks before a March/April 2020 Committee meeting but no later than April 1, 2020, a report to the Committee on the awarding of the request for proposals (RFP), the expert consultant's spending plan, and any work performed up to that date including progress on:*

- *Meeting with every federally recognized tribe in the state,*
- *Meeting with the urban tribal centers,*
- *Requesting public records related to any missing and murdered indigenous women and girls,*
- *Starting to recruit and interview independent consultants to assist with data collection and analysis, and*
- *Meeting with the federal coordinator for Missing and Murdered American Indians and Alaska Natives assigned to the U.S. Attorney's office assigned to Arizona.*

Up to the remaining $95,000 will be considered for further Committee guidance at a future Committee meeting or meetings upon receipt of an initial MMIWG Study Committee report.

The motion carried.

Without objection, the meeting adjourned at 4:25 p.m.

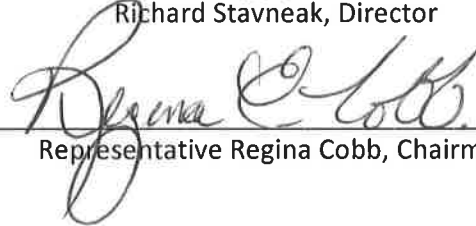Respectfully submitted:

_____
Kristy Paddack, Secretary

_____
Richard Stavneak, Director

_____
Representative Regina Cobb, Chairman

JOINT LEGISLATIVE BUDGET COMMITTEE

Meeting Date: 12/11/19

ITEM # Appeal of public testimony

ITEM # 2B

Rep Fillmore ✓ —
Rep Kern ✓ —

	PRESENT	ABSENT	PASS	AYE	NAY	PRESENT	ABSENT
SEN. ALSTON	✓			✓			
SEN. BOWIE	✓			✓			
REP. ESPINOZA	✓			✓			
REP. FERNANDEZ	✓			✓			
REP. FRIESE	✓			✓			
SEN. GRAY	✓				✓		
REP. KAVANAGH		✓					✓
SEN. LEACH	✓				✓		
SEN. LIVINGSTON		✓					✓
SEN. MESNARD	✓				✓		
SEN. OTONDO		✓					✓
REP. PETERSEN		✓					✓
REP. ROBERTS	✓				✓		
REP. TOMA		✓					✓
SEN. GOWAN		✓					✓
REP. COBB	✓				✓		
TOTALS	12	6	Ø	5	7	0	6

	PASS	AYE	NAY	PRESENT	ABSENT
SEN. ALSTON			✓		
SEN. BOWIE			✓		
REP. ESPINOZA			✓		
REP. FERNANDEZ			✓		
REP. FRIESE			✓		
SEN. GRAY		✓			
REP. KAVANAGH					✓
SEN. LEACH		✓			
SEN. LIVINGSTON					✓
SEN. MESNARD		✓			
SEN. OTONDO					✓
REP. PETERSEN					✓
REP. ROBERTS		✓			
REP. TOMA					✓
SEN. GOWAN					✓
REP. COBB		✓			
TOTALS	Ø	7	5	0	6

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01/04/19

Attachment 1

DATE: April 22, 2020

TO: Members of the Joint Legislative Budget Committee

FROM: Ryan Fleischman, Fiscal Analyst

SUBJECT: Attorney General - Review of Report on Murdered and Missing Indigenous Women and Girls Study Committee Expenditure Plan

Request

In December 2019, the Committee favorably reviewed the expenditure of $125,000 from the Consumer Remediation Subaccount to support expenses of the Missing and Murdered Indigenous Women and Girls (MMIWG) Study Committee. Of the $125,000, $30,000 was intended to be immediately available. The AG requests the JLBC provide further guidance concerning its plan to spend the remaining $95,000.

Committee Options

The Committee has at least the following 2 options:

1. A favorable review of the expenditure report.

2. An unfavorable review of the expenditure report.

Under either option, the Committee may consider the following provisions:

A. The Attorney General and the MMIWG Study Committee shall report on their progress to JLBC by June 5, 2020, for purposes of further Committee guidance at the June JLBC meeting.

> **Key Points**
> 1) In December, the committee favorably reviewed $125,000 of Attorney General settlement funds for the Missing and Murdered Indigenous Women and Girls (MMIWG) Study Committee. Of the $125,000, $30,000 was intended to be immediately available. The remaining monies are to be considered for further JLBC guidance at a future meeting.
> 2) The AG and the MMIWG Committee have now developed a full expenditure plan. The remaining $95,000 will primarily be expended for consultant expenses.
> 3) The consultant will collect records on the missing and murdered individuals and assist the MMIWG Committee in development of recommendations.

Analysis

Laws 2019, Chapter 232 established the Missing and Murdered Indigenous Women and Girls (MMIWG) Study Committee consisting of 23 members, including 4 members of the House of Representatives and 4 members of the Senate. Chapter 232 outlines the Study Committee's responsibilities, including but not limited to conducting a study to determine how to reduce and end violence against indigenous women and girls in Arizona, gathering relevant data, and submitting a report to the Governor, President of the Senate, and Speaker of the House of Representatives by November 1, 2020.

At the December 2019 JLBC meeting, the Committee favorably reviewed a plan to spend up to $125,000 from the Target Corporation settlement negotiated by the AG and deposited into the Consumer Restitution Subaccount to assist the MMIWG Committee. The favorable review included the following provision:

- Of the $125,000, $30,000 is intended to be immediately available. The MMIWG Study Committee shall provide, at least 2 weeks before a March/April 2020 Committee meeting but no later than April 1, 2020, a report to the Committee on the awarding of the request for proposals (RFP), the expert consultants' spending plan, and any work performed up to that date including progress on:
  o Meeting with every federally recognized tribe in the state,
  o Meeting with the urban tribal centers,
  o Requesting public records related to any missing and murdered indigenous women and girls,
  o Starting to recruit and interview independent consultants to assist with data collection and analysis, and
  o Meeting with the federal coordinator for Missing and Murdered American Indians and Alaska Natives assigned to the U.S. Attorney's office assigned to Arizona.
  Up to the remaining $95,000 will be considered for further (JLBC) Committee guidance at a future Committee meeting or meetings upon receipt of an initial MMIWG Study Committee report.

The AG is now requesting further JLBC guidance on its plan to expend the remaining $95,000 from the $125,000 allocation as part of its contract with LeCroy & Milligan Associates, Inc. (LMA). The AG retained this consulting firm via a competitive bid contract to assist the MMIWG Committee. The AG's contract with LMA requires all expenditures to be invoiced and payments are issued once work has been performed or completed.

Progress Report
The AG's report provides update on the MMIWG Committee's progress, including on the specific items requested by the Committee in December. In-person meetings have taken place with representatives from 18 of Arizona's 22 sovereign American Indian Communities. The MMIWG Committee plans to

pursue in-person meetings with the remaining tribes (Cocopah Tribe, Colorado River Indian Tribes, Quechan Tribe, and Fort Mojave Tribe). The Committee has also met with representatives from urban tribal centers, including Phoenix Indian Center, Flagstaff Indian Center, Tucson Indian Center, and leadership of the Inter Tribal Council of Arizona.

The MMIWG Committee has developed a plan in conjunction with LMA to request, analyze, and compile records of missing and murdered indigenous women and girls. Records requests have been provided to the Office of Vital Records and will be cross-examined against police records and Tribal enrollment records. Arizona-specific data has been requested from several national databases. LMA has generated a detailed database of all law enforcement agencies, Tribes and Urban Indian Centers that will be contacted for data collection during the field study.

LMA continues to meet with the MMIWG Committee to collaborate on the development of the data collections tools and approach for the field study. LMA is currently drafting an Institutional Review Board (IRB) application for Human Subjects to review the data collection methods proposed for the field research study to ensure that they are ethical and to assure that appropriate steps are taken to protect the rights and welfare of humans participating as subjects in this field study. Currently, plans are to begin data collection mid-May, but this may need to shift to a later date, and/or data collection methods may need to be revised due to the COVID-19 pandemic.

Representatives from the MMIWG Committee have met with the Commissioner for the Federal Administration for Native Americans and a member of President Trump's Federal Task Force on Missing and Murdered American Indians and Alaska Natives. The MMIWG Committee is currently waiting for the federal coordinator with the U.S. Attorney's office to be finalized. A federal coordinator is expected to be on board before the end of April.

Expenditure Plan
The expenditure plan detailed by LMA consists of 3 phases: 1) stakeholder identification and needs assessment and asset mapping, 2) identification of effective approaches and best practices regarding data collection, and 3) development of recommendations with the MMIWG Study Committee and the AG.

LMA intends to begin planning with the MMIWG Committee now to prioritize key issues and establish recommendations by October 2020. They expect to work with Committee members and other stakeholders to describe each recommendation and to identify feasibility concerns and priority tasks.

The contractor expects the recommendations to include direction for policy-making, program improvements, data specific protocols, and improvements to service access and use for victims and family members.

The $95,000 will be spent on the following:

- Contractor staff and administrative expenses - $90,400 consists of the following:
  - $33,000 on Project Lead – overall project management; primary liaison to MMIWG, AOG staff; responsible for all reporting; conduct and monitor all data gathering, data analyses, and facilitation and training services.

- o $54,000 on Sr. Assoc. Team Members – data gathering, data analyses, facilitation and training services, and report writing.
- o $3,400 on Project Specialist – data gathering for both primary and secondary data. Assist with staffing support to the MMIWG.
- Staff travel - $2,760
- Meeting room and costs - $1,500

Given the potential for delays associated with COVID-19 pandemic, the JLBC may consider a provision requiring a progress report from the AG and the Study Committee by June 5, 2020 to determine whether any further JLBC guidance is necessary.

RF:kp

MARK BRNOVICH
ATTORNEY GENERAL

OFFICE OF THE ARIZONA ATTORNEY GENERAL

March 25, 2020

RE: the Missing and Murdered Indigenous Women and Girls Study Committee (MMIWG) Expenditure Plan Update and Request for Release of Additional Funds.

Request

Pursuant to A.R.S. § 44-1531.02(C), this Expenditure Plan (Plan) is submitted by the Office of the Arizona Attorney General (AGO) to the Joint Legislative Budget Committee (JLBC) for review at its next meeting. The Plan requests the expenditure of the remaining portions of the funds approved during the December 2019 JLBC meeting for the Missing and Murdered Indigenous Women and Girls Study Committee (MMIWG).

During the December 2019 meeting, up to $125,000 from the Target Corp settlement negotiated by the AGO was approved to assist MMIWG via a competitive RFP contract executed by the AGO, with an initial amount of $30,000 approved by JLBC. Remaining funds are to be approved and released by JLBC pending further review.

The AGO is requesting that the remaining $95,000 be approved by JLBC and be made available to the AGO to contract with LeCroy & Milligan Associates, Inc., the consulting firm retained by the AGO via a competitive bid contract to assist the MMIWG Committee. The AGO's contract with LMA requires all expenditures to be invoiced and payments are issued once work has been performed or completed.

RFP Contract Update

Funds from this settlement are distributed via a competitive bid contract administered by the AGO for purposes of supporting the work of the MMIWG Committee, pursuant to JLBC approval. Following the December JLBC meeting, the AGO developed a competitive bid contract to assist the MMIWG committee based upon JLBC input and recommendations. That RFP was released in late January and was issued in compliance with state procurement rules and guidelines. Two firms responded to the highly-specialized contract solicitation.

On February 27, 2020, a contract was awarded to LeCroy & Milligan Associates, Inc., (LMA), a Tucson-based full-service research firm specializing in: program evaluation; designing and implementing accurate, valid and reliable data collection systems; and innovative and research-driven technical assistance and training.

Additional information regarding LMA's work performed to date, including the retention of at least one outside consultant to assist with the study is included in responses below. LMA is currently updating their study plan in light of MMWIG Committee input. An abbreviated version of LMA's original RFP submission to the AGO is included as part of this Plan under Appendix B.

MMIWG Committee Update

At its December 11, 2019 meeting, JLBC gave a favorable review of the AGO Plan to spend up to $125,000 in settlement funds to support expenses associated with the MMIWG Study Committee, with $30,000 being approved initially and available to LMA. Up to the remaining $95,000 will be considered for further Committee guidance at a future JLBC meeting or meetings upon receipt of an initial MMIWG Study Committee report. The favorable review included the following provision:

A. Of the $125,000, $30,000 is intended to be immediately available. The MMIWG Study Committee shall provide, at least two weeks before a March/April 2020 Committee meeting but no later than April 1, 2020, a report to the Committee on the awarding of the request for proposals (RFP), the expert consultant's spending plan, and any work performed up to that date including progress on:
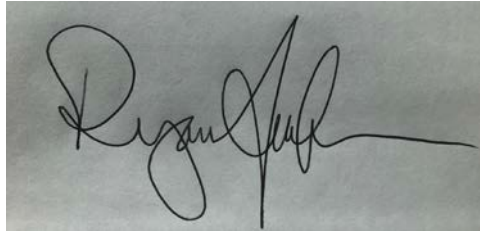
- **Meeting with every federally recognized tribe in the state**
  - o **Status:** To date, in-person meetings have taken place with representatives from 18 of Arizona's 22 sovereign American Indian Communities. The MMIWG Committee plans to pursue in-person meetings with the remaining tribes (Cocopah Tribe, Colorado River Indian Tribes, Quechan Tribe, and Fort Mojave Tribe).
- **Meeting with the urban tribal centers**
  - o **Status:** The MMIWG Committee has met with representatives from the Phoenix Indian Center, Flagstaff Indian Center, Tucson Indian Center, and leadership of the Inter Tribal Council of Arizona.
- **Requesting public records related to any missing and murdered indigenous women and girls**
  - o **Status:** The MMIWG Committee has developed a plan in conjunction with LeCroy & Milligan Associates (LMA) to request, analyze, and compile records of missing and murdered indigenous women and girls. Records requests have been provided to the Office of Vital Records and will be cross examined against police records and Tribal enrollment records. Additionally, Arizona specific data has been requested from the following databases: FBI's Uniformed Crime Report, National Incident Based Reporting System, US National Death Index, National Violent Death Reporting System, Washington Post: unsolved homicides, Woman Count USA (<10 AI), Murder Accountability Project, The Gun Violence Map, Multiple Cause of Death Series, NamUS, AMBER Alert, NCMEC, Missing and Murdered Dine Relatives Data Institute, and Sovereign Bodies Institute.

LMA has generated a detailed database of all law enforcement agencies, Tribes and Urban Indian Centers that will be contacted for data collection during the field study. Valaura Imus-Nahsonhoya, a subcontractor working with LMA, is currently updating this database with specific contacts that would be supportive of data collection efforts for each tribe and some law enforcement agencies due to her work in victim services throughout Arizona. LMA has reviewed reports and other guidelines set forth by other states and research initiatives to identify best practices in conducting this type of study to strengthen the methodology of the field study approach. LMA continues to meet with the MMIWG committee to collaborate on the development of the data collections tools and approach for the field study. LMA is currently drafting an IRB (Institutional Review Board) application for Human Subjects to Argus IRB to review the data collection methods proposed for the field research study to ensure that they are ethical and to assure that appropriate steps are taken to protect the rights and welfare of humans participating as subjects in this field study. The data collection tools that are being developed for the field study will also be included in the IRB application. LMA and Ms. Imus-Nahsonhoya are also drafting language for MOUs to be submitted to tribal governments to ensure appropriate approval's and required steps are taken to ensure all tribes are willing and able to participate in this field study. Currently, plans are to begin data collection mid-May, but this may need to shift to a later date, and/or data collection methods may need to be revised, due to the COVID-19 pandemic. LMA has met with Dr. Kate Fox of ASU to learn about the quantitative analytic research she is undertaking to better understand how both teams can work together collaboratively to support the MMIWG committee.

- **Starting to recruit and interview independent consultants to assist with data collection and analysis**
    - o **Status:** LeCroy & Milligan Associates (LMA) was retained via a competitive bid contract issued by the AGO on February 27, 2020. Additionally, LMA hired subcontractor Valaura Imus-Nahsonhoya to support this study. Ms. Imus-Nahsonhoya is a subject matter expert in victim service implementation, human trafficking, domestic violence, sexual violence and missing and murdered indigenous women, and will be a strong team member to support the field research portion of this contracted work. LMA and Ms. Imus-Nahosonhoya are meeting weekly to outline priorities and plans for each week. LMA has developed detailed timelines by month denoting work that will be done by LMA and Ms. Imus-Nahsonhoya throughout both phases of this effort (March-May and June-October). LMA has met in person with members of the MMIWG committee to become oriented to the initiative and to outline immediate plans moving forward.
- **Meeting with the federal coordinator for Missing and Murdered American Indians and Alaska Natives assigned to the U.S. Attorney's office assigned to Arizona**
    - o **Status:** To date, representatives from the MMIWG Arizona committee have met with Jeannie Hovland, Commissioner for the federal Administration for Native Americans and a member of President Trump's Federal Task Force on Missing and Murdered American Indians and Alaska Natives. The MMIWG Committee is currently waiting for the federal coordinator with the U.S. Attorney's office to be finalized. A federal coordinator is expected to be on board before the end of April.

Additional details regarding MMIWG Committee activity to date are included in Appendix A.

Thank you for your consideration.

Ryan Anderson
Arizona Attorney General's Office

Appendix A

MMIWG Committee Detailed Activity to Date

2019 MMIWG Committee Detailed Activity to Date:

- **June 5:** Conference call with Tribal Epidemiology Centers and NamUS Re: lack of existing data and lack of procedure and protocol around collecting data.
- **June 14:** Presentation to ITCA Re: recommendations for Tribal members to serve on the committee and scope of work to be done.
- **June 17**: Meeting with Speaker Bowers Re: appointment of committee members and the expertise that each brings to the table.
- **June 21:** Meeting with Gila River Indian Community Tribal Council Re: committee recommendations.
- **June 27**: Presentation to the Native Arizona American Bar Association with Pasqua Yaqui Associate Justice Alfred Urbina and Halle Bonger-White, JD Re: scope of the problem and complexities of multi-jurisdictional cooperation.
- **June 27-28:** Former Rep. Wenona Benally presented to "Missing and Murdered Dine Relative Forum" in coordination with the Navajo Nation Office of the President and Vice President.
- **July 2:** Teleconference with federal Department of Justice's National Missing and Unidentified Persons System (NamUS), Rep. Jermaine, and Rep. Blackman Re: how to integrate the usage of the missing person's database into Arizona policy.
- **July 16-17:** Rep. Jermaine presented at Council of State Governments West conference with legislators from Montana and Washington about how states are approaching the issue of lack of hard data and cultural sensitivities Re: discussions of the diseased within Tribal communities.
- **July 19:** Committee members traveled to Flagstaff to meet face-to-face with Tribal leaders from Hopi, Navajo, Zuni, Kaibab Paiute, Havasupai, and Hualapai to discuss scope of work and tribal collaboration.
- **July 24:** Committee members met with Governor Ducey's office Re: signing ceremony and significance of being one of the first states in the Nation to tackle this issue.
- **July 29:** Committee members traveled to Payson to meet face-to-face with Tribal leaders from Yavapai Prescott, Yavapai Apache, Tonto Apache, White Mountain Apache, and San Carlos Apache to discuss scope of work and tribal collaboration.
- **July 30:** Committee members traveled to Tucson to meet with face-to-face with Tribal leaders from Pasqua Yaqui and Tohono O'odham to discuss scope of work and tribal collaboration.
- **July 31:** Committee members met with House and Senate staff to debrief Tribal leader meetings and prepare for signing ceremony and committee launch.
- **August 6-7:** Committee members presented at the Southwest Indigenous Women's Coalition Conference at Wild Horse Pass Casino with Navajo Nation and Hopi Tribe representatives Re: unique challenges facing data collection and multi-jurisdictional collaboration.
- **August 9:** Committee members met with Congressman Gallego's office Re: Congressional coordination and assistance with federal agencies (Rep. Gallego is the Chair of the Congressional Subcommittee for Indigenous Peoples).

- **August 13**: Ceremonial bill signing with Governor Ducey, Attorney General Brnovich, Tribal, and Legislative leaders.
- **August 15:** Committee members presented to Governor's Commission to Prevent Violence Against Women Re: scope of the problem, cultural sensitivities around death, and complexities of multi-jurisdictional cooperation.
- **August 16:** Committee members traveled to Scottsdale to meet face-to-face with Tribal leaders from Salt River Pima Maricopa, Gila River and Fort McDowell Yavapai to discuss scope of work and tribal collaboration.
- **August 28:** MMIWG Committee first full committee meeting. Presentations from Honwungsi Consulting and Salt River Pima Maricopa Indian Community Family Advocacy Center on existing victim services and Chief Jon Huey from Yavapai Apache on Investigation and Prosecution Challenges for MMIWG. Creation of working groups on data sharing and the Victim's Compensation Fund.
- **September 5**: Committee members met with staff to build interim calendar and travel schedule for committee.
- **September 11**: Committee members met with staff to prepare for first working group meeting. First data sharing working group meeting hosted by committee member Blaine Gaddow, with the Arizona Attorney General's Office. Connected with Congressman Gallego's staff to review findings from the Congressional hearing earlier that morning.
- **September 18**: Committee members presented at Steward Health Choice Network's Tribal Summit at Twin Arrows Resort in Flagstaff Re: needs of survivors and lack of mental health resources in Tribal communities.
- **September 21**: Committee members traveled to White River to meet with community members from White Mountain Apache.
- **September 23**: Committee members met with Speaker Bowers to update him on MMIWG committee progress.
- **September 25:** Committee members met with Dr. Kate Fox, ASU School of Criminology to discuss data analysis and research advice.
- **September 30**: Data sharing working group hosted by committee member Blaine Gaddow with the Arizona Attorney General's Office. Laid out plan to request data from Office of Vital Records and cross examine it with police reports and Tribal enrollment records.
- **October 2**: Agenda setting meeting with staff and committee leadership
- **October 3**: Committee members met with Jeremiah Lonewolf from Bureau of Indian Affairs – new District 4 liaison (all Arizona Tribes except Navajo).
- **October 15:** Committee members traveled to Glendale to present to the Tribal Integrated Health Symposium Re: needs of survivors and lack of mental health resources in Tribal communities.
- **October 22:** Committee members met with Phoenix Indian Center and American Indian Policy Institute at ASU Re: challenges of the Urban Indian population in regards to MMIWG.

- **October 24:** Data sharing working group hosted by committee member Blaine Gaddow, Arizona Attorney General's Office. Finalized plan to request data from Office of Vital Records and cross examine it with police reports and Tribal enrollment records. Discussion with Dr. Kate Fox Re: records procurement and analysis process.
- **October 25**: Meeting of the victim's compensation fund working group.
- **October 29**: Second full MMIWG Committee meeting, held at Moenkopi Legacy Inn on the Hopi Reservation. Presentations from Missing and Murdered Diné Relatives Forum and Hopi-Tewa Women's Coalition to End Abuse Re: active programs within Navajo and Hopi to address the problems of MMIWG and support families and survivors. Testimony from family members of missing and murdered.
- **November 5**: Meeting with students and Urban Indians at Phoenix College to hear stories and discuss the work of the committee.
- **November 6**: Meeting with American Indian Policy Institute at ASU to discuss national legislation and data collection.
- **November 7**: Meeting with students and Urban Indians at Mesa Community College to hear stories and discuss the work of the committee.
- **November 8**: Meeting with Dr. Kate Fox, ASU School of Criminology to discuss data collection and analysis.
- **November 12-14**: Meetings with legislators from Montana, Washington, Minnesota, and Oklahoma re MMIWG and state level approaches while at the Women in Government Conference in Washington, D.C.
- **November 20**: Presentation by Dustin Driscoll from Department of Justice's National Missing and Unidentified Persons System (NamUS) on the functionality of the database and capabilities within Indian Country for the purposes of tracking MMIWG data.
- **November 21**: Meeting of the data sharing working group. Requests submitted to Office of Vital Records. Discussion with Jacob Moore of ASU Re: tribal review and collaboration.
- **December 3**: Meeting of the victim's compensation fund working group.
- **December 6**: Meeting of the data sharing working group. Preparation of presentation to full committee.
- **December 11**: Presentation to Inter Tribal Council of Arizona Epidemiology and Research Department.
- **December 11**: Meeting with Rep. Cobb to brief her on committee progress.
- **December 11:** Presentation to JLBC and JLBC expenditure plan approval.
- **December 13**: Third full committee meeting at Rawhide Western Town & Event Center in the Gila River Indian Community. Presentation from Department of Public Safety Amber Alert System.
- **December 16**: Meeting with Kristine Firethunder to brief her on committee progress and plan panel for Tribal Nations Day.

2020 MMIWG Committee Detailed Activity to Date

- **January 6**: Meeting with ASU Research Team and Morrison Institute to fine tune research plan.
- **January 15**: Tribal Nations Day at the Capitol. Meetings with representatives from 8 Tribal governments and briefed them. Participated in the Governor's panel discussion on MMIWG and Arizona's response to it.
- **January 15:** Met with Jeannie Hovland, Commissioner for the federal Administration for Native Americans under HHS (also part of President Trump's taskforce).
- **January 16:** Met with Dr. Kate Fox, ASU School of Criminology. They are helping us comb through vital records and police report data to build a database of the deceased in Arizona. Part of the ASU Research Team.
- **January 16:** Met with lead volunteer team preparing for National MMIWG Awareness Day – House Lawn is reserved for May 5th. Capitol will be lit red that evening.
- **January 22:** Met with representatives for the Salt River Pima Maricopa Indian Community to brief them on our progress.
- **January 22**: Zoom meeting full volunteer team preparing for National MMIWG Awareness Day – House Lawn is reserved for May 5th. Capitol will be lit red that evening.
- **January 28:** Teleconference with ASU Research Team refining parameters of vital records requests.
- **January 28:** Briefed Legislative Indigenous Peoples Caucus and community members on the progress of the committee.
- **February 1**: Participated in panel discussion on human trafficking from the Indigenous perspective – George Gervin Preparatory Academy.
- **February 3:** Briefed members of the Navajo Nation Tribal Council on the progress of the committee.
- **February 11:** Briefed Legislative Indigenous Peoples Caucus and community members on the progress of the committee.
- **February 12**: Zoom meeting with full volunteer team preparing for National MMIWG Awareness Day – House Lawn is reserved for May 5th.
- **February 17:** Met with White House Senior Policy Advisor Anne Hazlett and Navajo Nation leadership to brief them on the progress of the committee and discussed integrating the national efforts.
- **February 19:** Presented at Council of Human Services Providers breakfast on the work of the committee and progress to date.
- **February 24:** Briefed leadership of the East Valley Partnership on the work and progress of the committee.
- **February 25**: Briefed Legislative Indigenous Peoples Caucus and community members on the progress of the committee.
- **February 26**: Webconference with U.S. House Subcommittee on Indigenous Peoples – submitted briefing on our committee's work and progress.

- **February 27**: AG's Office awards RFP contract to LeCroy & Milligan (LMA) – based in Tucson.
- **February 28**: Original date for full committee meeting at the Salt River Pima Maricopa Indian Community Tribal Council Chambers – postponed due to staff availability.
- **February 28**: Zoom meeting for data subcommittee and ASU Research Team to review database queries and policy findings.
- **March 2**: Rep. Cobb and Sen. Gowan informed that the RFP was awarded and Rep. Jermaine was meeting with LMA to discuss work plan.
- **March 2**: Teleconference with data subcommittee chair to discuss RFP award.
- **March 6**: Meeting with representatives from LMA and data subcommittee chair to discuss research plan and cultural issues that researchers might face.
- **March 6**: Zoom meeting with full volunteer team preparing for National MMIWG Awareness Day – House Lawn is reserved for May 5th. Capitol will be lit in red that evening.
- **March 9**: Law enforcement stakeholder meeting to discuss missing person's reports.
- **March 9:** LMA Conference Call with Valaura Imus-Nahsonhoya
- **March 10:** LMA Finalization of updated timeline and workplan - shared with Valaura Imus-Nahsonhoya for review.
- **March 11:** LMA Conference Call with Dr. Kate Fox.
- **March 13**: Replacement date for full committee meeting at the Salt River Pima Maricopa Indian Community Tribal Council Chambers – postponed due to staff availability – will reschedule for after session.
- **March 15**: Zoom meeting full volunteer team preparing for National MMIWG Awareness Day – discussions on postponement due to COVID-19 protocols.
- **March 16**: Subcontractor Valaura Imus-Nahsonhoya hired by LMA.
- **March 23:** LMA Conference Call with Valaura Imus-Nahsonhoya

Appendix B

LeCroy & Milligan Associates, Inc. RFP Expenditure Plan

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	ORGANIZATIONAL CHART	**Office of the Attorney General**
		Procurement Section
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LeCroy & Milligan Associates, Inc. Organizational Chart

Provide an organization chart that identifies all key positions of staff responsible for:

- Management, oversight, and reporting: For this project, these functions are conducted by Michel Lahti, PhD, CEO and Olga Valenzuela, BS, Operations Manager
- Implementation services: For this project the team leader will be Ms. Katie Haverly, MS and team-members will include Darcy McNaughton, MBA and Danielle Steffey, PhD.

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Executive Summary

Provide an Executive Summary describing your Organizations ability to provide the services described within this RFP. Include your leadership and management structure, current activities, your organization's connections to the community and ability and to connect to the target population.

Organization Background - LeCroy & Milligan Associates, Inc. (LMA) is a full-service research firm specializing in: program evaluation; designing and implementing accurate, valid and reliable data collection systems; and technical assistance and training that is innovative, research-driven, practical, and useful. Since our establishment in 1991, our goal is to provide utilization focused evaluation services that result in information that helps organizations become more responsive and effective in delivering services. We value a collaborative and participative approach in our work that helps clients address their most pressing questions and achieve the results they seek. LeCroy & Milligan Associates has conducted evaluations, needs assessments, research studies, quality assurance and fidelity assessments, strategic planning, training, and consulting services at the Tribal, local, county, state, and national levels with a broad spectrum of agencies. We are a Research and Survey Services vendor for the state of Arizona.

LeCroy & Milligan Associates, Inc. is a majority woman-owned, small research firm operating out of Tucson, Arizona and providing services throughout Arizona and in other areas across the country. Our primary services are focused in the areas of human services, justice, health and education related programs. We have experience working with Tribal, state, federal, County and local agencies. Staff members who will be assigned to this project also have experience managing programs in state government and have participated in supporting Legislative Committee work.

LeCroy & Milligan Associates will work closely with the MMIWG study committee to hold multiple meetings on tribal lands to conduct a comprehensive study to determine how to reduce and end violence against indigenous women and girls in this state. We have extensive experience in designing and conducting surveys to gather information from different types of communities and agency personnel – we will ensure that tribal customs and practices are honored and respected throughout the duration of the study. We will ensure that training and technical assistance is provided in the areas of (but not limited to) victim services, human trafficking, domestic violence, sexual assault, crimes against children, missing and murdered indigenous individuals. We believe we can be immediately successful in this work due to: (1) our extensive experience in Arizona and with Tribes in working on a variety of justice, human services and child welfare related program evaluations, 2) our experience working with agencies with a wide range of capacity in helping them to design, implement and assess data collection and analysis systems for the purposes of planning and program improvement and (3) our frequent role as facilitators and coordinators for committees and strategic planning groups. Because of our experience working in Arizona with multiple state, Tribal, County and local agencies we have a deep appreciation and understanding of the complexities and complications of gathering data for use in planning – for policy and program development-- in areas as complex as violence against indigenous women and girls. Our work for over 20 years in the child welfare and justice systems will be particularly useful in this project as there are very significant challenges with gathering accurate data in those systems that span multiple jurisdictions as well. Our goal, while supporting and conducting data collection, will also be to *document the barriers* to data collection we encounter for careful consideration by the MMIWG.

LMA uses a team-based approach to all our project work so that our clients benefit from a number of individuals with professional backgrounds in justice, child welfare, public health, chronic disease, public administration, education, sociology, psychology, social work, community development, survey research, and information systems management.

Our cadre of staff have expertise and training in managing projects, developing instruments, designing evaluation plans, collecting and managing data, facilitating and supporting planning process and preparing reports that meet the needs of our clients. Additionally, our staff upholds the Guiding Principles for Evaluators put forth by the American Evaluation Association and is experienced in complying with data confidentiality standards and protocols. We utilize the expertise of our entire team to successfully staff and complete high-quality work that meets the needs of our clients.

Current Activities - LeCroy & Milligan Associates has considerable experience collaborating and partnering with a variety of tribal communities in Arizona. For example, LMA is currently providing evaluation, data management and technical assistance to the Pascua Yaqui Tribe for a multi-year Bureau of Justice Assistance Innovative Re-Entry project to support Tribal members success in their community after incarceration. We are also currently the evaluator and technical assistance provider for the Salt River Tribe on their U.S. Department of Education funded project focused on designing and implementing a literacy project for families, youth and children in their Tribal community. We have assisted the Pascua Yaqui Tribe to implement an improvement plan under the Tribal Title IV-E foster care, adoption assistance, and guardianship assistance program. Activities included developing data collection systems, cost allocation methodology system, and case planning and case review systems; reviewing and establishing policies and procedures; reviewing foster care licensing and standards for tribal foster homes; developing quality assurance systems; and developing training for prospective foster, guardian and adoptive parents, child welfare staff, and court staff. Additionally, LMA was the external evaluator for the Arizona Department of Education Native American Dropout Prevention Initiative. The purpose of the Native American Dropout Prevention program was to increase school retention and graduation rates in two school districts; one on the White Mountain Apache Reservation and one on the San Carlos Apache Reservation. The NADPI project provided services and activities to help address the high dropout rates, low graduation rates, low attendance rates, and low achievement, as measured by Arizona's Instrument to Measuring Standards (AIMS). The process and outcome evaluation was designed to capture progress toward stated objectives as well as document some of the complex factors that may have impacted this progress, including any barriers faced in implementing program activities. Focus groups and interviews were conducted with students, community and tribal leaders, parents, school administrators, and faculty. We have also recently completed state-wide needs assessments for two different state agencies focused on prevention of substance abuse and prevention of child abuse and neglect. In both projects we worked with Tribal stakeholders. In addition, we are currently facilitating planning processes and committee work for the Arizona Health Care Cost Containment System. For over 25 years we have successfully worked with and supported Tribal communities and their non-Tribal partners in all parts of Arizona. Our work has spanned all the functions needed for the proposed contractor for the MMIWG Study Committee and the AGO.

Ability to Connect to Community / Target Populations – For this project, and similar to all of our work, we value establishing a collaborative relationship with all key partners. We will work closely with the MMIWG study committee, Office of the Attorney General, the federal coordinator, and Joint Legislative Budget Committee. Key to the success of or projects is to first develop a deep understanding of who the stakeholders are and what kinds of information needs they have so the workplan is driven by this understanding developed with our clients. We understand the primary stakeholder communities for this project to be: (1) Indigenous women and girls – Tribal families; (2) Tribal law enforcement and social service agencies; (3) law enforcement agencies of the cities, towns, counties, and state of Arizona; and (4) federal agencies supporting Arizona state government and Tribal nations. Our very first task will be work with MMIWG members and project staff to identify key stakeholder members and groups and then to take time to learn from those individuals and groups about the issues most relevant to them in regards to how to reduce and end violence against indigenous women and girls in this state. We understand that tribes have different languages, cultures and very different

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governmental systems that will need to be honored and recognized. We will conduct a needs assessment that will provide the opportunity to hear from these groups about what issues they are facing, including what barriers there are with effective sharing of data and information.

We also know that Native American communities have experienced and continue to experience trauma as a result of suffering systematic violence and oppression from non-Tribal, County, state and federal government policies and agency actions. Abigail Echo-Hawk, Director of the Urban Indian Health Institute, Chief Research Officer, Seattle Indian Health Board states this as: "Missing and murdered Indigenous women and girls (MMIWG) is not a new crisis in the United States. This continuous and pervasive assault on our matriarchs has existed since colonizers set foot on this land. Decades of advocacy and activism fell on deaf ears, while more and more of our women went missing and were murdered. And while their families sought justice, they were shown at every turn by police and government agencies that Indian women and girls don't count." We would like the opportunity to be part of this important work that helps to ensure these voices are heard.

While we cannot claim to fully understand the experiences of this population, we do know how to work across complex systems and with numerous stakeholders from all walks of life. We know how to facilitate and coordinate planning efforts and to develop tools that capture important data elements. Perhaps most importantly, we bring cultural competence which recognizes that culture is dynamic, it is present in all of us, and it effects how we see and interact with the world. We would strive in all our work to hear from and honor the different cultures present in the various stakeholders with whom we would interact. We would enter this process from a position of humility, recognizing that we are not the experts in how best to reduce and end violence against indigenous women and girls in Arizona, but that we CAN help ensure that those who bring forward key knowledge and strategies are engaged and heard.

Qualifications and Experience of Key Personnel

Provide a resume of the Key Personnel who will be managing the activities funded by this contract (e.g. project directors, project managers, and any other personnel who will provide a key function on this project).

Katie Haverly, MS		Research & Innovation Mngr., Sr. Evaluation Assoc.	
Name of Individual		**Title**	
Project Lead		Public Health / Minority Populations / Needs Assessments	
Proposed Project Role		**Area(s) of Expertise**	
University of North Carolina at Chapel Hill	PhD Program		2005
Education	**Degree**		**Year**
State University at Albany NY	Master of Science (MS), Health Policy, management and Behavior		2004
Education	**Degree**		**Year**
Northern Arizona University	Bachelor of Science (BS), Psychology		1999
Education	**Degree**		**Year**

Darcy McNaughton, MBA		Sr. Evaluation Associate	
Name of Individual		**Title**	

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Team Member	Strategic Planning & Facilitation / Behavioral Health / Systems Thinking
Proposed Project Role	**Area(s) of Expertise**

Walden University	Master of Business Administration (MBA), Leadership	2018
Education	**Degree**	**Year**
Colgate University	Bachelor of Arts (BA), English and Education	2006
Education	**Degree**	**Year**
Estes Park High School	High School Diploma, Valedictorian	2002
Education	**Degree**	**Year**

Danielle Steffey, PhD	Sr. Evaluation Assoc.
Name of Individual	**Title**
Team Member	Forensic Psychology / Justice / Data Analysis
Proposed Project Role	**Area(s) of Expertise**

Florida State University	PhD, Criminology	2015
Education	**Degree**	**Year**
Florida State University	Master of Science (MS), Criminology and Criminal Justice	2008
Education	**Degree**	**Year**
Duke University	Bachelor of Arts (BA), Psychology	1998
Education	**Degree**	**Year**

Michel Lahti, PhD	CEO, Sr. Evaluation Assoc.
Name of Individual	**Title**
Team Member	Public Policy / Research Methods
Proposed Project Role	**Area(s) of Expertise**

University of Maine	PhD, Public Administration	
Education	**Degree**	**Year**
University of Maine	Master of Public Administration (MPA), Performance Management	1996
Education	**Degree**	**Year**
Kean University	Master of Arts (MA), Education	
Education	**Degree**	**Year**

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Qualifications: Describe the specific roles and responsibilities of each key position in the day-to-day management of the program.

Katie Haverly, MS – Project Leader:

Ms. Haverly, as the project lead, will have overarching responsibility for maintain communication with the AGO and MMIWG, that deliverables and tasks are completed in a timely and high-quality manner and that all team members are appropriately engaged. She will serve as a lead facilitator and oversee data collection efforts.

Darcy McNaughton, MBA – Team Member:

Ms. McNaughton will primarily support the project through facilitation/strategic planning efforts with the MMIWG, including the development of final recommendations. She will work closely with Ms. Haverly on the development of meeting agendas and logistics for meeting sessions. In addition, she will support and conduct some data collection efforts.

Danielle Steffey, PhD – Team Member:

Ms. Steffey will work closely with the other team members on data collection and analysis, including review of best practices in data collection for this population. She will also collaborate with key stakeholders including survivors and families.

Michel Lahti, PhD – Team Member:

Mr. Lahti will oversee the overall project as CEO for LeCroy & Milligan Associates. In addition, he will provide consultation on research methods and policy recommendations.

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Organization Experience

Indicate your organization's experience and expertise in providing the services described in the RFP. Please add extra pages as needed.

The following outlines our understanding of the major tasks[1] required for this project and our experience and expertise for each:

A. Provide Technical Assistance, Coordination and Research Support to the MMIWG Committee (RFP Tasks: 1.7.1; 1.7.2; 1.7.3; 1.7.4; 1.7.5; 1.7.6; 1.7.10; 1.7.11; 1.7.14 and 1.7.15)

Our experience in support of state wide, policy influencing efforts is significant and crosses over many program areas. We currently provide staff, research support to state level work groups / committees in the following areas:

- Arizona Cancer Coalition (ADHS): Ongoing staff and research support; design and implement procedures in support of committee roles, responsibilities and decision-making; facilitate meetings; assist with planning and dissemination; and assist with orientation and training of new members.
- Statewide Nutrition Action Network (ADHS, DES, DCS, ADoE): Collective impact model where we serve as the backbone agent providing data, research and all other supports to the leadership group and multiple task groups. Manage all logistics for multiple workgroups across the state through in-person and video-conference sessions.
- Technical Assistance Provider to the Salt River Tribe – Literacy for All Project: provide ongoing staff support to Tribal staff; assist with planning and monitoring all project activities; facilitate quarterly leadership committee meetings and oversight; and provide training and technical assistance for staff as needed.

B. Identify and Work with Survivors and Families – Work with Victim Advocates (RFP Tasks: 1.7.7., 1.7.8. and 1.7.9.)

We have experience in working with different initiatives that serve those who are experiencing significant trauma in their lives. We have decades of experience working with children, youth and families involved in the child welfare system. IN addition, we have done program development, training and evaluation work with multiple agencies serving families engaged in the child welfare system. We have provided services on projects that focus on issues such as: domestic violence; juvenile justice, chronic health conditions and we have experience working with agencies that serve communities struggling in severe poverty. For this project we view our role as primarily facilitating connections between tribal groups and members who have expertise in working with survivors and their families. The purpose of which to better understand how these incidents of violence can be better identified and reported; as well as developing better, shared understanding of the assets that these communities have in supporting survivors and their families. We believe that survivors, family members and those that work with victims can be an important source of knowledge in the development and implementation of a case log to identify missing and murdered victims.

C. Collaborate with Key Stakeholder Groups as Identified by the MMIWG Committee (RFP Task: 1.7.9., 1.7.12)

In almost every one of our projects we have to develop collaborative, trusting relationships with multiple stakeholders as we find ways to develop a shared understanding of how programs / policies are working and what can be done to improve them. Our focus is always on ways to improve the services for the client served. Our current work with the Pascua Yaqui tribe on designing and evaluating an innovative re-entry project for tribal members returning to the community demands that we engage multiple stakeholders from tribal, local, County, state and federal agencies. We are accustomed to work that demands the establishment of partnerships in order to facilitate successful project outcomes.

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[1] We understand that a Task (1.7.14) will be that we are responsible for project travel and accommodations as necessary.

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D. Assist in the Development and Implementation of Data Collection Methods (RFP Task: 1.7.9 and 1.7.12)

This is perhaps the strongest area of strength that we bring to this project. We are currently engaged in three projects where we are assisting in the design, implementation and evaluation of new or revised data systems. One is a multi-state agency initiative focused on implementing a new cross-agency, cross program case management system for home visiting services. Another is work with a local non-profit serving homeless youth assisting them in developing better methods to screen and assess youth for services. We are also engaged with a large state agency in a process to identify problems with current data system functions so that they are able to gather and use better data for information on enrollments for their state wide services. In all of our evaluation, research projects we have to deal with issues of missing data, designing new data collection methods, training staff on data collection methods, and assisting program managers on ways to better use data for decision-making.

E. Assist in the Development of All Required and Final Report of MMIWG Committee to the Arizona Legislature (RFP Task: 1.7.13)

We have experience in working with state agencies in their required reporting to the Legislature and to federal agencies on issues of performance and program monitoring. We have worked for two years now with a very large state agency program that contracts for services for thousands of clients all across the state. Before our work with this program, they had not been able to submit required program monitoring reports in timely manner. We worked collaboratively with multiple stakeholders in the state agency and with 6 different, large community-based providers. We assisted in re-designing an online data portal that now creates immediate data error, data quality reports for providers as they upload service data. In addition, we provide daily technical assistance to state agency staff and providers on the use of the portal system. This project required significant work on identifying and managing missing data, creating new data forms, creating new data code books, multiple data pulls and analyses on an ongoing basis to monitor the system and provide information for the state agency for reasons of program improvement.

Our approach to report writing with clients is very collaborative. We want to make sure that our clients completely understand the data presented, the information provided and can themselves fully explain results and recommendations.

Strategy

Discuss your organization's strategy to meet with the MMIWG study committee and your strategy to identify and outreach to the tribes to obtain the information and analyze the data. Please add extra pages as needed.

APPROACH

We understand that our role as a contractor in this 11-month project is to support the MMIWG Study Committee and AGO so that the Committee's charge is met to conduct a comprehensive study to determine how to reduce and end violence against indigenous women and girls in this state. The main issue identified pertaining to missing and murdered indigenous women and girls (MMIWG) is data collection. The Committee was tasked with establishing methods and making recommendations for law enforcement agencies across jurisdictional boundaries of tribal nations, cities, towns and counties to better improve tracking and collecting accurate data by recommending clear law enforcement protocols for the collection and reporting of data. The assumption is that reliable, comprehensive data collection on MMIWG will provide state, federal, and tribal law enforcement agencies with information necessary to determine the extent of this issue in Arizona and help identify resource barriers both within and across jurisdictional boundaries to improve data collection measures within these agencies. Our role will be to assist the Committee to propose recommendations by the end of December 2020 that result in:

- reduced communication challenges across complex jurisdictional law enforcement boundaries;

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- implementation of methods and procedures to accurately collect and report data;
- increased access to and utilization of culturally appropriate victim services; and
- ensuring that victims / survivors / families are given the utmost trust, respect, privacy, confidentiality, resources, and referrals.

A final report on our efforts will be provided to the AG's office by January 31, 2021.

After establishing project management and decision-making procedures we propose to establish a detailed work plan that includes ongoing support to the MMIWG Study Committee and three phases of work in collaboration with the MMIWG Study Committee and the AGO.

Ongoing – Staff Support to the MMIWG Study Committee

Throughout this process, LeCroy & Milligan Associates will strive to support the MMIWG Study Committee in coordination, meeting support, content development and planning. Meetings would be conducted in-person or using electronic/telephonic methods (e.g. Zoom) for virtual communication as needed. We are assuming a minimum of one in-person meeting per month with the MMIWG committee.

Depending on the needs of the committee, we would be prepared to develop meeting agendas, facilitate discussions and present or invite appropriate presenters (including survivors and families) to attend. Our approach would be to bring information to the committee that helps with decision-making and recommendations, and facilitate (as needed), using a variety of strategic planning and facilitate methods, the necessary dialogue to advance the work of the committee. We would also document the results of committee meetings and share those back for committee record. Any resulting action items would be promptly completed. The information gathered through the course of this project would then be used to support the committee in the development of the final report of recommendations that would be provided to the legislature by January 31, 2021.

In addition, our ongoing role will include collaboration with legislative research and policy staff and other subject matter, research or legal experts as directed by the MMIWG.

Phase One - Stakeholder Identification and Needs Assessment and Asset Mapping

We will first identify in conjunction with the MMIWG Study Committee members and the AGO project staff, a process to identify, contact and engage key stakeholder individuals and or groups representing the following: (1) Indigenous women and girls of every federally recognized tribe in the state, including urban tribal centers; (2) tribal law enforcement and justice system members, leaders and agencies; (3) local, County and state law enforcement and justice system members, leaders and agencies; (4) federal law enforcement and justice system members, leaders and agencies; and (5) tribal service providers engaging with victims, survivors and or families. Working with MMIWG Study Committee members, we will develop a communications and outreach plan to engage these key stakeholders in the project.

The major activity in Phase One will be to conduct a needs assessment and asset mapping process with these key stakeholder groups in response to the following types of research questions:

- What are the assets that Native communities have to prevent violence in their communities and to support Indigenous women and girls, and their families, who are exposed to and or victims of violence?

![Arizona Attorney General Seal]	**ATTACHMENT I**	State of Arizona
	ORGANIZATION AND EXPERIENCE CAPACITY QUESTIONNAIRE	Office of the Attorney General
		Procurement Section
	Solicitation No.: BPM002201	2005 N. Central Avenue
		Phoenix, Arizona 85004
	Project #: AG20-0024	(602) 542-8030

- What are the needs of Indigenous women and girls that must be met to prevent and eliminate their exposure to violence and their becoming victims of violence?
- What are the needs of Indigenous women and girls that must be met to enable them to easily access and utilize culturally appropriate survivor / victim services?
- What are the needs of law enforcement agencies – tribal and non-tribal – to improve upon the completeness and accuracy of data collected on violence against indigenous women and girls?
- What are the needs of law enforcement agencies to improve policies, protocols and procedures that result in complete, accurate, valid, and reliable data collection, analysis and reporting of violence against indigenous women and girls?
- What are the kinds of communication challenges that tribal and non-tribal agencies experience and needs that must be met to eliminate communication challenges across complex jurisdictional law enforcement boundaries?
- What are the needs of tribal and non-tribal health and social service agencies to ensure access to and utilization of culturally appropriate victim services?
- What are the needs of tribal and non-tribal law enforcement, justice, and health and social service agencies to ensure that victims / survivors / families are given the utmost trust, respect, privacy, confidentiality, resources, and referrals?

It is our assumption that the MMIWG Study Committee and the AGO will already have some data and information available to assist in this phase of the project. We expect to make use of secondary data collection through review of relevant reports, related research and descriptions of needs and best practices. We are also prepared to conduct primary level data collection with a key stakeholders/stakeholder groups as part of the assessment process. These data collection methods will be aligned with the population we are contacting, and may include an online survey, interviews and/or focus groups. We recognize it is important to hear from as many representatives across the state as possible and recognize the significant diversity of the state's tribal population, as well as the large number of different jurisdictions and providers that may need to be engaged. Every effort will be made to ensure that the data collected represents a complete picture of this problem in Arizona—and where data is clearly missing or unavailable, that also will be documented as its own finding for use in Phase 2 as detailed below. Stakeholders will be engaged through this process as well as through direct invitation to share and present at the MMIWG committee where applicable.

Throughout this process, a case log will also be used to track reports cases of missing and murdered urban and rural victims and survivors that are identified through communication with key stakeholders. Due to the pervasive data collection challenges that are frequently reported in this area nationwide, it is unlikely the resulting data will be comprehensive. The focus will be on what data is *not* being tracked, what are the barriers to tracking, and how might this challenge be ameliorated.

Phase Two – Identification of Effective Approaches to Data Collection: Best Practices

For this phase of the project, we will first identify "best practices" that are established or emerging that result in improvements to the completeness, accuracy, validity, reliability, analysis and reporting of data on violence against indigenous women and girls. We will conduct a scan of the literature and identify experts at other Tribal, state and or federal agencies who are making progress on data collection problems. We will conduct in-depth interviews in order to identify what is working and what are still existing challenges. This phase of the project will result in a report presented

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to the MMIWG and AGO that will review what we learned from this best practice review and how those lessons learned may be immediately applied through the work of the Committee.

Phase Three – Development of Recommendations with the MMIWG Study Committee and the AGO

Our intention would be by October 2020 to be facilitating a planning process with the MMIWG to prioritize key issues and establish recommendations. We expect to conduct work sessions with Committee members and other stakeholders to describe each recommendation and to identify feasibility concerns and priority tasks.

We would expect the recommendations to include direction for policy-making, program improvements, data specific protocols, and improvements to service access and use for victims / survivors / family members. Recommendations will be based on the data that is collected, what best practices suggests might work, and most importantly the wisdom of the stakeholders who provided insight throughout this process.

REPORTING

We understand that we will be providing monthly written reports outlining our spending plan and any work performed up to that date. Our reporting will track progress against an agreed upon project work plan outlining expected tasks, deliverables and timeframes. These reports will include specific progress on:

- Meeting with every Federally recognized tribe in the state,
- Meeting with the Urban tribal centers,
- Requesting public records related to any missing and murdered indigenous women and girls,
- Plan and progress for data collection and analysis, and
- Meeting with the federal coordinator for Missing and Murdered American Indians and Alaska Natives assigned to the U.S. Attorney's office assigned to Arizona.

Per the solicitation, we will provide an update report on activities work done to date to the AGO by April 31, 2020 and a final report by January 31, 2021. For the final report, it will be important to review potential recommendations and findings with key stakeholders including the AGO, the task force coordinator, and some survivors and family members who can weigh-in as to the appropriateness and thoroughness of what is being proposed. This review process will be built in to allow time for final revisions before the overall January 31st deadline.

In order to share the necessary information on the needs assessment, asset mapping and best practices (Phase One and Two), we will also provide a mid-project report by September 30, 2020.

As requested by the MMIWG, we will collaborate with other legislative and policy research staff on reporting for this project.

Program Management and Implementation - The following is a proposed task and timeline to complete the project assuming a start date of March 1, 2020 through December 31, 2020. If receipt of a purchase order can be expedited before March 1, 2020 we are prepared to start as soon as possible.

TASK: A. Provide Technical Assistance, Coordination, Research Support to the MMIWG Committee (RFP Tasks: 1.7.1; 1.7.2; 1.7.3; 1.7.4; 1.7.5; 1.7.6; 1.7.10; 1.7.11; 1.7.14 and 1.7.15)	3/1/2020 – 3/30/2020	4/1/2020 - 6/30/2020	7/1/2020 – 9/30/2020	10/1/2020 – 1/31/2021
APPROACH				
Meet with AGO and key leaders to plan the project and identify specific committee support needed.	X			
Begin facilitation/coordination of monthly MMIWG Committee meetings.	X	X	X	X
Share needs assessment findings and other data with the committee.	X	X		
Coordinate meetings, teleconferences and sessions with key stakeholders as needed	X	X	X	X
Submit monthly reports on project progress.	X	X	X	X
Facilitate planning process for the development of recommendations that will be shared with the JLBC.			X	X
Submit update report by April 1, 2020.	X			
Submit final report by January 31, 2021.			X	X

TASK: B. Identify and Work with Survivors and Families – Work with Victim Advocates / Case Log (RFP Tasks: 1.7.7., 1.7.8 and 1.7.9)	3/1/2020 – 3/30/2020	4/1/2020 - 6/30/2020	7/1/2020 – 9/30/2020	10/1/2020 – 1/31/2021
APPROACH				
Contact all tribes in Arizona to identify survivors, families and victim advocates who can be engaged during the project.	X	X		
Conduct needs assessment data collection with all stakeholders (see Task D).		X	X	
Ensure voices of survivors and families are heard throughout the process, including by inviting participating in MMIWG committee meetings where appropriate.	X	X	X	X
Add any information to the case log that is shared by families regarding specific missing and murdered victims and survivors.		X	X	X
Review proposed recommendations from the MMIWG with a group of survivors, families and victim advocates to determine if they are appropriately framed and likely to impact the issues they have observed.				X

ATTACHMENT I

ORGANIZATION AND EXPERIENCE CAPACITY QUESTIONNAIRE

Solicitation No.: BPM002201

Project #: AG20-0024

State of Arizona
Office of the Attorney General
Procurement Section
2005 N. Central Avenue
Phoenix, Arizona 85004
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TASK: C. Collaborate with Key Stakeholder Groups as Identified by the MMIWG Committee (RFP Task: 1.7.12)	3/1/2020 – 3/30/2020	4/1/2020 - 6/30/2020	7/1/2020 – 9/30/2020	10/1/2020 – 1/31/2021
APPROACH				
Identify key stakeholders to engage including Arizona's federal task coordinator, the AGOs office and other subject matter, research or legal experts.	X	X		
Design and implement a case log for the recording of missing data per guidance from the MMIWG Committee	X	X	X	X
Provide regular updates to key stakeholders.		X	X	X
Invite key stakeholder consultation regarding overall recommendations developed by the MMIWG.				X
Collaborate as needed with these stakeholders as directed by the MMIWG.	X	X	X	X

TASK: D. Assist in the Development and Implementation of Data Collection Methods (RFP Task: 1.7.9 and 1.7.12)	3/1/2020 – 3/30/2020	4/1/2020 - 6/30/2020	7/1/2020 – 9/30/2020	10/1/2020 – 1/31/2021
APPROACH				
Identify key stakeholders to contact for the needs assessment including (1) Indigenous women and girls of every federally recognized tribe in the state, including urban tribal centers; (2) tribal law enforcement and justice system members, leaders and agencies; (3) local, County and state law enforcement and justice system members, leaders and agencies; (4) federal law enforcement and justice system members, leaders and agencies; and (5) tribal service providers engaging with victims, survivors and or families.	X	X		
Review existing secondary data sources including relevant reports, related research and descriptions of needs and best practices.	X	X		
Design and implement a case log for the recording of missing data per guidance from the MMIWG Committee	X	X	X	X
Identify appropriate data collection methods to reach the above-mentioned stakeholder groups for any additional data that is needed to complete the needs assessment.		X		
Complete data collection using online survey, focus groups and/or in-person or telephonic interviews.		X	X	
Identify barriers to data collection.		X	X	
Share findings with the MMIWG.			X	X

ATTACHMENT I ORGANIZATION AND EXPERIENCE CAPACITY QUESTIONNAIRE		State of Arizona Office of the Attorney General Procurement Section 2005 N. Central Avenue Phoenix, Arizona 85004 (602) 542-8030
Solicitation No.: BPM002201		
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TASK: E. Assist in the Development of All / Final Report of MMIWG Committee to the Arizona Legislature (RFP Task: 1.7.13)	3/1/2020 – 3/30/2020	4/1/2020 - 6/30/2020	7/1/2020 – 9/30/2020	10/1/2020 – 1/31/2021
APPROACH				
Provide initial project report to AGO by April 1, 2020.	X			
Share findings from the needs assessment as well as other best practices identified with the MMIWG, including any gaps.			X	X
Facilitate a brainstorming process with the MMIWG to develop final recommendations for the report.				X
Develop draft report for review by MMIWG and other key stakeholders, including some survivors, family members and victim's advocates.				X
Develop final report to share with the legislature.				X

1.1. Cost Sheet for Initial $30,000

Use the cost sheet provided as a guide to describe your methodology for expenditure of the initial $30,000. The cost schedule breakdown should indicate how your organization intends to spend the initial $30,000 and will be used as a basis for establishing cost should additional funds be allocated.

As per our state of Arizona contract rules, rates are considered all-inclusive for contracted work. Meaning will include all costs associated with completing project deliverables. We estimate a total of .75 FTE for our team of staff for this first three-month project / budget period. The following categorizes the costs with a break-out for travel related costs following federal GSA rates for relevant per diem.

		COST SHEET - $30,000 allowable in expenditures for 3/1/2020 thru 5/31/2020			
		ADMINISTRATIVE EXPENSES	**Hourly Rate**	**Proposed Hours**	**Total**
		Direct			
		Position (Provide a Title for each named position)			
	Position 1	Project Lead – overall project management; primary liaison to MMIWG, AOG staff; responsible for all reporting; conduct and monitor all data gathering, data analyses, and facilitation and training services.	$150	72	$10,800
	Position 2	Sr. Assoc. Team Members – data gathering, data analyses, facilitation and training services, and report writing.	$135	115	$15,525
	Position 3	Project Specialist – data gathering for both primary and secondary data. Assist with staffing support to the MMIWG.	$85	20	$1,700
1		Total Hourly Cost			$28,025
	Travel: Up to 6 trips to PHX area to meet with MMIWG Study Cmtee.; AGO staff. Up to 4 additional statewide trips to meet with tribal stakeholders. Total mileage and per diem costs estimated at: $1,858.00				$1,858
	Meeting Room and Meeting Costs: For first part of project period may not need funds for this resource. Most meeting work will be with select stakeholders to the project; meeting in agencies, community-based group settings. Expect extensive use of videoconferencing when possible.				------
2		Total Travel / Meeting Costs)			$1,858
	TOTAL BUDGET				$29,883

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Use the cost sheet provided as a guide to describe your methodology for expenditure of the remaining $95,000. The cost schedule breakdown should indicate how your organization intends to spend the $95,000 and will be used as a basis for establishing cost should additional funds be allocated. (Note: This funding will only be made available after JLBC approval as detailed in the RFP.)

As per our state of Arizona contract rules, rates are considered all-inclusive for contracted work. Meaning will include all costs associated with completing project deliverables. We estimate continuing at a total of .75 FTE for our team of staff for this second project / budget period. The following categorizes the costs with a break-out for travel related costs following federal GSA rates for relevant per diem.

		COST SHEET - $95,000 allowable in expenditures for 6/1/2020 thru 1/31/2021			
		ADMINISTRATIVE EXPENSES	**Hourly Rate**	**Proposed Hours**	**Total**
		Direct			
		Position (Provide a Title for each named position)			
	Position 1	Project Lead – overall project management; primary liaison to MMIWG, AOG staff; responsible for all reporting; conduct and monitor all data gathering, data analyses, and facilitation and training services.	$150	220	$33,000
	Position 2	Sr. Assoc. Team Members – data gathering, data analyses, facilitation and training services, and report writing.	$135	400	$54, 000
	Position 3	Project Specialist – data gathering for both primary and secondary data. Assist with staffing support to the MMIWG.	$85	40	$3,400
1		Total Hourly Cost			$90, 400
		Travel: Up to 9 trips to PHX area to meet with MMIWG Study Cmtee. and AGO staff. Up to 6 additional statewide trips to meet with tribal stakeholders; primary data collection for needs assessment, asset mapping. Total mileage and per diem costs estimated at: $2,760.			$2,760
		Meeting Room and Meeting Costs: For up to 6 meetings at tribal locations for primary data collection activities; estimate at $1,500.			$1,500
2		Total Travel / Meeting Costs)			$4,260
	TOTAL BUDGET				$94,660

Joint Legislative Budget Committee

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DATE: April 22, 2020

TO: Members of the Joint Legislative Budget Committee

FROM: Ryan Fleischman, Fiscal Analyst

SUBJECT: Attorney General - Review of Peace Officers Memorial Fund Transfer and Expenditure
Plan

Request

An FY 2020 General Appropriation Act footnote requires the Attorney General to submit an expenditure
plan to the Joint Legislative Budget Committee (JLBC) for its review prior to expending monies
appropriated to the Peace Officers Memorial Fund. The AG requests the Committee review its plan to
expend $1,000,000 as appropriated by the Legislature in FY 2020 for the refurbishment and restoration
of the Peace Officers memorial in Wesley Bolin Plaza to the Arizona Peace Officers Memorial Fund
(A.R.S. § 41-1829.02).

Committee Options

The Committee has at least the following 2 options:

1.   A favorable review of the request.

2.   An unfavorable review of the request.

Key Points
1) The AG requests approval of its spending plan of a $1,000,000 FY 2020 appropriation to maintain and update the Peace Officers Memorial.
2) The AG anticipates that the final cost for the memorial refurbishment will not surpass the $1.0 million budget.
3) Any additional costs above the appropriated amount will be made up in private donations.
4) The AG would return to the Committee for further review if any monies are expended on a purpose other than the Peace Officers Memorial.

Analysis

The FY 2020 General Appropriation Act appropriated $1.0 million from the Consumer Protection – Consumer Fraud (CPCF) Revolving Fund to the Arizona Peace Officers Memorial Fund. The Arizona Peace Officers Memorial Fund is used to maintain and update the Peace Officers Memorial in Wesley Bolin Memorial Plaza. Monies in this fund may also be used to pay education expenses for family members of fallen officers. A General Appropriation Act footnote requires the AG to submit an expenditure plan for review by the JLBC prior to expending monies in the line item.

Expenditure Plan
The AG continues to meet with the Arizona Peace Officers Memorial Board as well as architects, designers, engineers, and construction companies to put forward a redesign plan and budget. The AG has also met with ADOA to obtain input and provide a general overview of proposed modifications and improvements to the Memorial. Multiple companies have agreed to provide donated services and goods at cost and a complete line-item budget cannot be submitted to the Committee at the present time. However, the Memorial Board anticipates that the final cost for the Memorial refurbishment will not exceed the $1,000,000 appropriation. Any additional costs above the appropriated amount would be made up in private donations. The architectural review process is currently underway, and the Board continues to meet with stakeholders to finalize plans for a targeted rededication to begin in 2020 and be completed before May 2021.

The Arizona Peace Officers Memorial Board is proposing to re-inscribe the names of the fallen officers currently on the memorial onto 8 newly-erected granite monoliths surrounding the existing memorial. The proposed monoliths are approximately 7 feet wide and will have more than 6 feet high of inscribable space. Different shades of concrete and texturing will be incorporated into the design to create a pattern that resembles Arizona's state flag. A "thin blue line" will be added to the top of each monolith. The memorial is designed to have enough space and room for inscriptions lasting at least the next 80 years.

The board is also proposing "opening up" the current retaining wall west of the memorial in the bowl of Wesley Bolin Plaza. The annual service has grown to 400+ attendees in recent years and the lawn is no longer feasible for the annual service. The lawn is also not compliant with the Americans with Disabilities Act (ADA). Two ADA ramps will also be added to the sides of the bowl, making the eastern portion of the bowl in Wesley Bolin Plaza ADA compliant for all visitors. A flat "stage-like" area will also be added to the newly steps replacing the retaining wall, providing a natural stage for other groups that utilize the area and would like to address large gatherings. Final designs will need to be reviewed by the Arizona Department of Administration (ADOA).

Additional upgrades include lighting improvements, new seating areas to view the memorial, a plaque that describes the historical significance of the monument, 2 new flag poles and additional signage describing the significance and purpose of the Memorial. No other memorials in the immediate vicinity of the Memorial will be disturbed or harmed by the proposed improvements and redesign.

The AG currently expects the renovation and expansion of the Memorial to cost $598,400, including $35,100 for demolition, $294,400 for site concrete and masonry, $ $40,800 for handrails, $40,000 for electrical work, $100,500 for general conditions work, plus $87,600 in other costs, insurance, and taxes.

RF:kp

MARK BRNOVICH
ATTORNEY GENERAL

OFFICE OF THE ARIZONA ATTORNEY GENERAL

April 21, 2020

RE: Peace Officers Memorial Restoration

Expenditure Plan Request

Pursuant to A.R.S. § 44-1531.02(C), this Expenditure Plan (Plan) is submitted by the Office of the Arizona Attorney General (AGO) to the Joint Legislative Budget Committee (JLBC) for review at its next meeting. The Plan outlines a request for the transfer of $1,000,000 in funds previously appropriated by the Legislature to the AGO for the refurbishment and restoration of the Peace Officers Memorial (Memorial) in Wesley Bolin Plaza, to the Arizona Peace Officer Memorial Fund (POMF)(A.R.S. § 41-1829.02).

41-1829.02. Arizona peace officers memorial fund

A. An Arizona peace officers memorial fund is established. The fund shall consist of monies provided by appropriation or received as donations as provided for in this article. The state treasurer shall invest and divest all monies in the Arizona peace officers memorial fund as provided by section 35-313, and monies earned from investment shall be credited to the fund. The state treasurer shall administer the fund. The monies in the fund are exempt from section 35-190, relating to lapsing of appropriations.

B. The costs and expenses authorized by this article shall be paid for by the state treasurer from the monies available in the Arizona peace officers memorial fund on certification to the state treasurer by the permanent chairman of the Arizona peace officers memorial board that the amount requested is owed for a valid purpose.

During the 2019 legislative session, the AGO worked with the Legislature to re-appropriate $1,000,000 in penalties and attorney's fees from the Wells Fargo settlement for the purposes of repairing and refurbishing the Memorial. The Attorney General, by statute, serves as the Chairman of the Peace Officers Memorial Board (Board), which in conjunction with the Arizona Department of Administration (ADOA), oversees the maintenance and upkeep of the memorial.

The AGO is requesting a favorable review from JLBC of the Plan, providing for the transfer of the $1,000,000 Peace Officer Memorial special line item from the Consumer Protection Revolving Fund (CPRF) to the POMF. Funds expended from the POMF are still subject to review and approval and are paid by the State Treasurer. Additionally, any redesigns or modifications to the memorial will need still need Capitol Mall planner review and approval by ADOA.

Expenditure Plan Overview

The Attorney General is the statutory agent charged to lead the Board, the committee created by legislative act in 1986 and is responsible for carrying out the annual Peace Officers Memorial Service in May. The Memorial, located in Wesley Bolin Plaza, was dedicated in 1988, and includes the names of more than 330 Arizona peace officers who have died in the line of duty.

Having now existed for more than 30 years, the Memorial is in need of refurbishment and improvements that will help ensure the monument properly honors Arizona's heroes who have paid the ultimate price, for generations to come. To that point, the AGO helped secure $1,000,000 in funding from the Legislature using penalties and fees received from civil settlements with the AGO to provide the necessary improvements to the Memorial.

The AGO continues to meet with the Board and a team of architects, designers, engineers, and construction companies to put forward a redesign plan and budget. The AGO has also met with ADOA to obtain input and provide a general overview of proposed modifications and improvements to the Memorial. Multiple companies have agreed to provide donated services and goods at cost; therefore it is impossible to put forward a complete line-item budget at the present time. However, the Board anticipates that the final cost for the Memorial refurbishment will not exceed the $1,000,000 appropriation. Any additional costs above the appropriated amount would be made up in private donations (if necessary). The architectural review process is currently underway and the Board continues to meet with stakeholders to finalize plans for a targeted rededication to begin in 2020 and be completed before May 2021.

Summary of Expected Costs Includes (but not limited to):

GENERAL REQUIREMENTS		**$21,283**
General Requirements		$21,283
Material Testing / Special Inspection		$0
DEMOLITION/ OFF-SITE INFRASTRUCTURE		**$35,132**
Demolition		$35,132
SITE WORK (ROUGH)		**$11,600**
Surveying/ Staking		$1,000
Earthwork		$5,100
Site Utilities		$5,500
SITE WORK (FINISH)		**$282,785**
Landscaping & Irrigation		$5,014
Site Concrete		$271,171
Site Masonry		$6,600
STRUCTURE		**$40,775**
Stainless Steel Handrails		$40,775

ENCLOSURE		$5,416
Waterproofing		$2,916
Joint Sealants		$2,500
INTERIOR FINISHES		$0
SPECIALTIES		$5,000
Signage Package		$5,000
EQUIPMENT		$0
MEP SYSTEMS		$40,000
Electrical Systems		$40,000
SPECIAL SYSTEMS		$0
CONTINGENCE & ALLOWANCES		$11,969
Construction Contingency		$11,969
Schematic Design Subtotal		$453,960
GENERAL CONDITIONS		SUB TOTAL
General Conditions		$100,533
Schematic Design Subtotal (with GC's)		$554,493
Schematic Design Subtotal (with GC's & Insurance)		$566,758
Schematic Design Subtotal (with GC's, Insurance & Tax)		$598,440
Schematic Design Subtotal (GC's, Insurance, Tax, & Fee)		$598,440
Schematic Design Estimate Total	$598,440	

Proposed Improvements to Memorial

The current Memorial has a number of improvements and repairs needed resulting from deterioration as well as modifications related to inconsistencies and inaccuracies involving the names of individuals currently inscribed on the Memorial. For example, there are misspellings of officer names, inconsistent font, and varying formatting differences in current inscriptions. The Board has also identified one individual whose name is inscribed on the Memorial who shot an officer.

The Board is proposing to re-inscribe the names of the fallen officers currently on the Memorial onto eight (8) newly erected granite monoliths surrounding the existing statue in the Memorial. Re-inscribing the names will allow for misspellings and corrections to be made, as well as creating consistency with every officer's name being found on a newly erected monolith, rather than some being only on the existing panels. This would provide the Memorial and future Board members with enough space and room to inscribe names for at least the next 80 years and would include the names of at least 1,000 officers. The goal of installing monoliths is to create more of an "immersive" experience where visitors are surrounded by the names of fallen officers. The granite also allows for a reflective quality, so the visitor can see their reflection while observing the names of the fallen, adding to the solemn experience of feeling like you are part of the Memorial. The inscribed names would be in a raised font to allow visitors to take a piece of paper and place it over a name on the wall, rub a wax crayon or graphite pencil over it and create a keepsake of their loved one.

In re-inscribing the existing names on the Memorial as well as inscribing new names moving forward onto the newly erected monoliths, the names of law enforcement will be spread out across the new monoliths in random order and in a consistent font. Spreading the names out will also reduce the "crowding" that typically takes place around the monument during the annual service when hundreds of individuals attend, or when large groups view the Memorial throughout the rest of the year.

Two new flag poles will be added to the Memorial to display the flags of the agencies of the law enforcement personnel being honored on the day of the annual service. A thin fiber optic "blue line" will be added to the tops of each monolith that can be lit up to honor officers on the night of the annual service as well as when an officer is killed in the line of duty. Lighting will also be updated and improved for the Memorial and the surrounding area. The new design also proposes using different textures of concrete to provide a design, that when viewed from overhead, will resemble Arizona's state flag.

The Board is also proposing demolishing portions of and "opening up" the current retaining wall located west of the Memorial in the bowl of Wesley Bolin Plaza. The annual service held in the "bowl" of Wesley Bolin Plaza has grown to over 400 attendees; however, the Memorial itself cannot be directly accessed from the bowl. The current proposal includes adding a flat "stage" area to the newly modified retaining wall, installing a landing that can be used to address large gatherings during the annual service as well as at other events hosted by groups reserving the bowl. By opening up the retaining wall and providing cascading steps to the

Memorial, the public will now be able to directly access the Memorial and the eastern portion of the Capitol Mall from the bowl.

The Memorial itself and portions of the bowl are currently not ADA compliant. Two ADA-compliant ramps are proposed to be added to each side of the bowl, making the entire bowl ADA compliant for all visitors. The Board is also contemplating making the lawn area east of the Memorial ADA complaint for greater overall use by all visitors to the Capitol Mall.

Additional signage describing the significance and purpose of the Memorial is proposed to be added (currently missing from the existing Memorial).

No other memorials in the immediate vicinity of the Memorial will be disturbed or harmed by the proposed improvements and redesign.

Thank you for your consideration.

Ryan Anderson
Arizona Attorney General's Office

Artistic renderings of the current redesign are included below on the next page

**Overhead view of Memorial and the "bowl" located in the middle of
Wesley Bolin Plaza:**

**View of Memorial from inside of bowl (looking SE), with new steps installed
where current retaining wall exists.**

View of Memorial looking West with newly installed steps leading to the lawn East of Memorial.

Side view (looking North) of newly installed granite monoliths including the inscribed names of law enforcement.
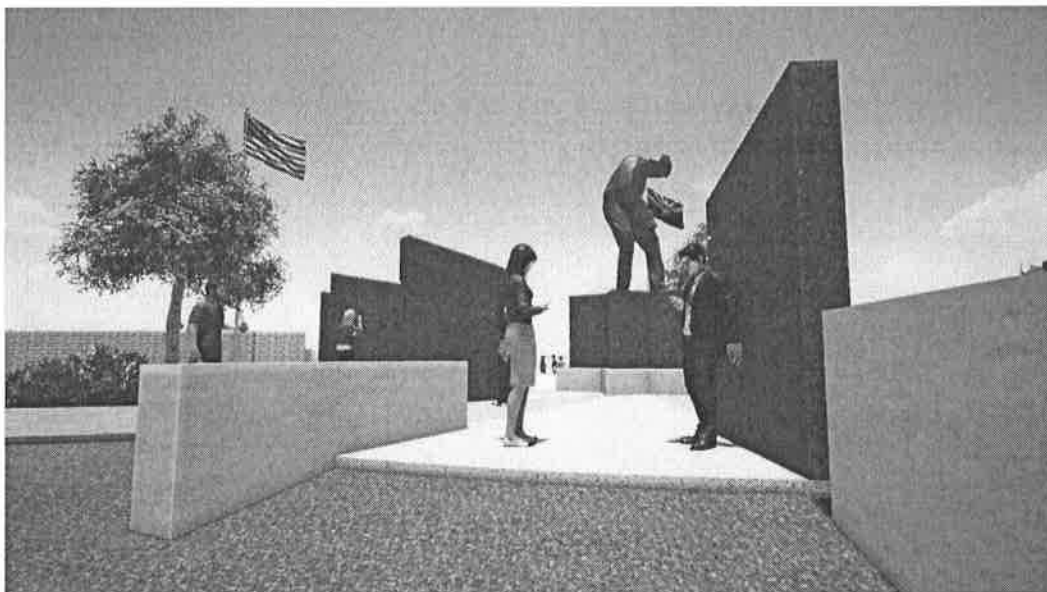
View of Memorial from inside of bowl (looking East) with new installed steps. Newly installed ADA ramps can be seen on both sides of the memorial
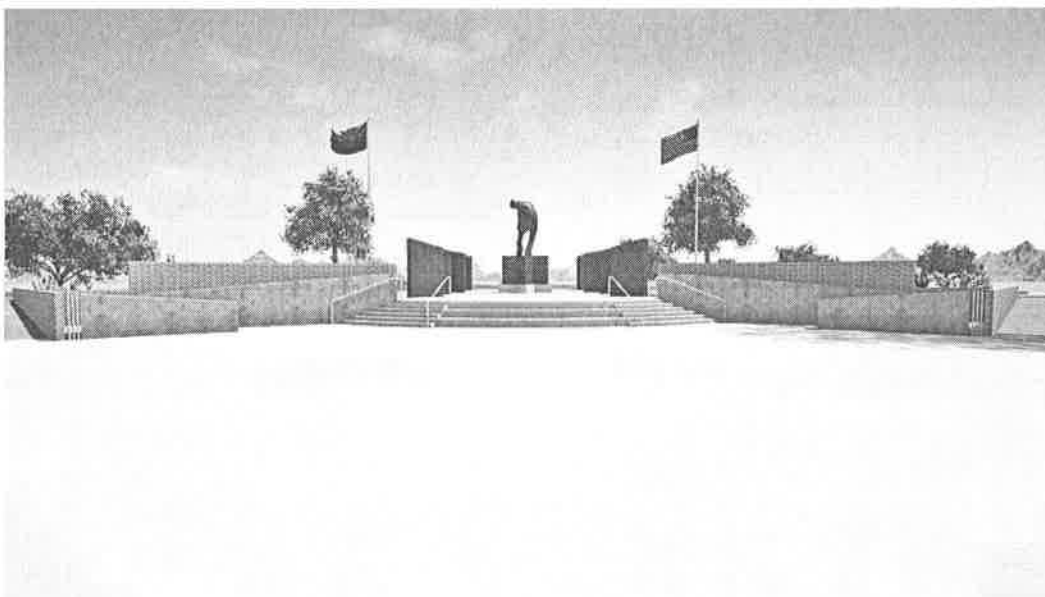
View of newly installed monoliths with thin blue line and Memorial signage (description).
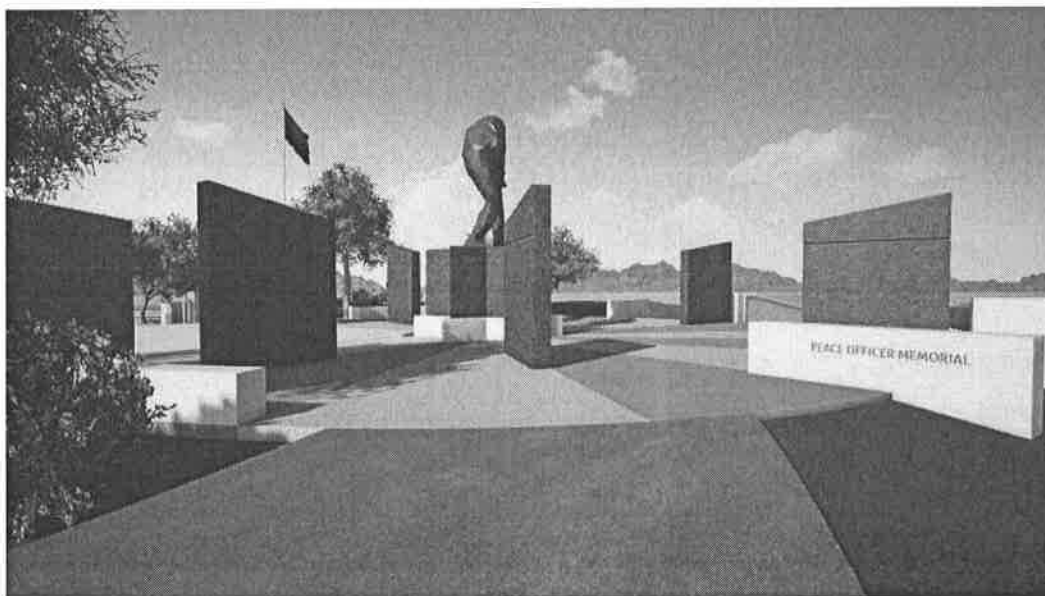
2A

STATE OF ARIZONA

Joint Legislative Budget Committee

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DATE: April 22, 2020

TO: Members of the Joint Legislative Budget Committee

FROM: Patrick Moran, Principal Fiscal Analyst

SUBJECT: Department of Child Safety - Review of FY 2020 Quarterly Benchmarks

Request

Pursuant to an FY 2020 General Appropriation Act footnote, the Department of Child Safety (DCS) is submitting for Committee review a report of quarterly benchmarks for assessing progress made in increasing the department's number of Full-Time Equivalent (FTE) Positions, meeting caseload standards for caseworkers, reducing the number of backlog cases and open reports, and reducing the number of children in out-of-home care.

Committee Options

The Committee has at least the following 2 options:

1. A favorable review of the report.

2. An unfavorable review of the report.

Key Points

1) DCS has filled 1,315 out of 1,406 funded direct line staff positions (caseworkers and hotline).
2) Caseworker workload continues to be above the caseload standard.
3) The department continues to meet its benchmarks for the backlog (less than 1,000 cases) and open reports (less than 8,000).
4) The out-of-home population of 14,180 exceeds DCS' benchmark by 216 children. Compared to June 2019, the increase is 13 children.

(Continued)

Analysis

DCS' benchmark report submissions include data through December 2019. The JLBC Staff has also included more recent data from DCS' Monthly Operational and Outcomes Report as of March 31, 2020.

Filled FTE Positions
Table 1 outlines DCS' progress in hiring caseworkers by quarter. DCS is funded for 1,406 caseworkers. As of February 2020, the department had filled 1,315 direct line positions, or (91) fewer positions than the benchmark. The number of filled positions increased 43 compared to June 2019, including an increase of 35 case-carrying caseworker positions.

Table 1					
Caseworker Hiring by Quarter					
Direct Line Staff Type	**Benchmark**	**June 2019**	**Sept. 2019**	**Dec. 2019**	**Feb. 2020**
Case-Carrying Caseworkers	1,190	990	962	996	1,025
Caseworkers in Training	140	210	295	257	226
Hotline Staff	76	72	72	67	64
Total	**1,406**	**1,272**	**1,329**	**1,320**	**1,315**

Caseload Standard
DCS' caseload standards for case-carrying caseworkers include the following number of cases per worker: 13 for investigations, 33 for in-home cases, and 20 for out-of-home cases. The FY 2020 General Appropriation Act requires DCS to report the caseload for each DCS field office. Estimated caseworker caseload for individual offices can be found on page 4 and 5 of DCS' attached March 31, 2020 submission. DCS estimates that most field offices are above at least one of the caseload standards.

Backlog and Open Reports
The backlog is defined as non-active cases for which documentation has not been entered into the child welfare automated system for at least 60 days and for which services have not been authorized for at least 60 days. Open reports are either under investigation or awaiting closure by a supervisor. DCS is to have no more than 1,000 backlog cases and fewer than 8,000 open reports. As of December 2019, DCS had 308 backlog cases and 7,333 open reports, meeting both benchmarks. By February 2020, there were 248 backlog cases and 7,438 open reports, continuing to meet both benchmarks.

Out-of-Home Children
DCS' benchmark is to reduce the out-of-home population to keep the out-of-home population at or below 13,964 children. As shown in *Table 2*, the out-of-home population in January 2020 was 14,180, or 216 above the benchmark. Compared to June 2019, the out-of-home population increased by 13 children, or 0.1%.

Table 2					
Progress in Reducing the Out-of-Home Population					
	March 2019	**June 2019**	**Sept. 2019**	**Dec. 2019**	**Jan. 2020**
Actual	14,021	14,167	14,186	14,142	14,180
Benchmark	14,248	13,964	13,964	13,964	13,964

PM:lm

March 31, 2020

The Honorable Regina Cobb
Chairman, Joint Legislative Budget Committee
Arizona State Senate
1700 West Washington
Phoenix, Arizona 85007

Re: Department of Child Safety Quarterly Benchmark Progress Report

Dear Chairman Cobb:

Pursuant to Laws 2019, First Regular Session, Chapter 263, Sec. 19, the Department submits its report on the progress made increasing the number of filled FTE positions, meeting the caseload standard and reducing the number of backlog cases and out-of-home children for the second quarter of SFY 2020.

If you have any questions, please contact our office at (602) 255-2500.

Sincerely,

Mike Faust
Director

Enclosure

cc: Richard Stavneak, Director, Joint Legislative Budget Committee
Representative David Gowan, Chairman, Joint Legislative Budget Committee
Matt Gress, Director, Governor's Office and Strategic Planning and Budgeting
Patrick Moran, Joint Legislative Budget Committee
Yan Gao, Governor's Office and Strategic Planning and Budgeting

DEPARTMENT OF CHILD SAFETY

Quarterly Progress Report
(Reducing Out-of-Home Children and Inactive Cases)

Report Date: March 31, 2020
Reporting Period: SFY2020, Quarter 2

INTRODUCTION

Pursuant to Laws 2019, First Regular Session, Chapter 263, Section 141, the Arizona Department of Child Safety (DCS) is required to continue this report through June 2020. Previous versions of this report required that data be reported on the last day of the quarter of the reporting period. Beginning September 2019, the Department submits this report covering data for the prior quarter.

In state fiscal year 2019 (SFY19), DCS realigned its five Regions. As a result, comparisons of regional data prior to July 2019 must be take this into account as some staff and cases previously assigned to one region in SFY19 were reassigned to a new region in SFY20. The implementation of these changes were footnoted in the March and June 2019 version of this report. The regional realignment resulted in changes in the regional names, reassignment of several counties to new regions; and moving specific sections and units to different regions and/or sections. A map of the new DCS Regions is provided as an attachment to this report (Attachment A).

PROGRESS SUSTAINING OPEN REPORTS, INACTIVE CASES, & IMPROVING CASELOADS

DCS has maintained the inactive cases well below the legislative benchmark of 1,000 since April 2017. In March 2017, DCS fell below the legislatively required benchmark of 1,000 inactive cases. From a peak of 16,014 in January of 2015, the Department now has only 271 inactive cases as of December 31, 2019, representing a 98 percent decrease. To avoid a return to higher numbers of inactive cases and to help improve caseloads, the Department uses performance management and other elements of the management system. DCS employed several sustainment measures to ensure inactive cases remain well below the benchmark. These include the implementation of performance management metrics to monitor and control the total number of open reports and the percentage of those reports that are overdue for investigation, completion and closure and the implementation of leader standard work to ensure routine follow-up.

Additionally, the Department reduced the number of open reports from 9,611 in December of 2016 to 7,326 as of December 2019. The Department achieved the initial benchmark of less than 13,000 open reports six months ahead of the established target date. From a peak of 33,245 open reports in April 2015, the Department reduced that to only 7,569 as of September 2019 (see Table 1). This benchmark was decreased to 8,000 starting the first quarter of SFY 2019 where the Department has remained below each reporting period.

Additionally, DCS HR continues its efforts to hire and place DCS Specialists at a rate equal to or greater than departures from the Department. Sustained staffing levels help contribute to the reduced number of inactive cases, total open reports, and foster care population. The overall caseloads for DCS investigators continue to decline across most offices (see Table 2).

PROGRESS MADE REDUCING THE OUT-OF-HOME POPULATION

The Department continues to maintain a safe reduction in the historical out-of-home foster care population. The Department experienced a slight decrease in the number of children (81) in OOH care in the second quarter of SFY20 compared to the first quarter of SFY20. The total OOH population includes all youth ages zero (0) through the age of twenty (20).

By slowing the entry rate and sustaining performance for children exiting care, the Department has been able to maintain a safe reduction of the foster care population since its historical high of 19,044 in 2016. In addition, this is highlighted by no significant change in the re-entry rate for children who left care within

the past 12 months. The entry rate per 1,000 of Arizona's general child population was 5.0 in September 2019 and 4.8 in December 2019.[1] The reduction in the number of children entering out-of-home care can be attributed to several factors. These include, but are not limited to, the additional standardized process tools including supervisory administrative and case progress review checklists, as well as standardized safety discussions guides and training staff to better engage a family's network to identify in-home options in order to maintain children safely in the home. In 2017, DCS renovated and completed statewide training for the Safe AZ Model. Improved response times also contributes to the reduction of children entering care as this enables DCS Specialists to make decisions that will help support families, provide services in a timely manner and avoid entry into care.

While the Department experienced a slight decrease in the overall number of children in OOH care, the number of youth in extended foster care (i.e. 18-20 year olds) continues to increase. This is intentional as the Department implemented a strategic initiative to increase the successful transition of youth to adulthood, which includes providing more youth over the age of eighteen with independent living services and supports. During the 2019 legislative session (Arizona fifty-fourth legislature), Senate Bill 1539 was passed which allowed the Department to expand the extended foster care program for qualified young adults and allows the adoption subsidy to continue through the age of 20.

Through the continued application of monthly clinical staffings on reunification cases using a standardized process, ongoing workers have been able to maintain the rate of children exiting care. By way of these standard process activities, paired with the continued use of cursory case reviews and Fostering Sustainable Connections (the Title IV-E Waiver demonstration project), the Department has safely maintained a reduction of the out-of-home care population during SFY2019.

Table 1 – Benchmark Performance

		Q3FY18	Q4FY18	Q1FY19	Q2FY19	Q3FY19	Q4FY19	Q1FY20	Q2FY20
Inactive Cases [1]									
	Benchmark (less than)	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000
	Actual	176	225	183	302	355	179	177	308
Inactive Cases by disposition									
	Investigation Phase	84	115	74	188	227	155	149	271
	In-Home Cases	84	98	93	98	112	22	25	5
	Out-of-Home Cases	8	12	16	16	16	2	3	32
Number of Open Reports									
	Benchmark (less than)	13,000	13,000	8,000	8,000	8,000	8,000	8,000	8,000
	Actual	6,087	5,871	6,562	6,695	6,554	6,586	7,569	7,326
Number of Out-of-Home Children									
	Benchmark (less than)	15,819	15,503	15,192	14,889	14,591	14,299	13,964	13,964
	Benchmark (% reduction)	2%	2%	2%	2%	2%	2%	n/a	n/a
	Actual	15,139	14,869	14,241	14,209	13,841	14,205	14,223	14,142

Footnotes

[1] Number of inactive cases is the actual figure as of the last Monday of the reporting period.

[2] As a result of Laws 2019, 1st Regular Session Ch. 263, Sec. 141 which continued this report, the benchmark established by the Legislature for number of out-of-home children was no longer based on a 2 percent reduction but a static number of 13,964.

Tables 2 and 3 show the caseload by section (field office) for investigations, out-of-home children, and in-home cases. Investigations are the number of reports assigned to each office. Out-of-home represents the number of children in ongoing cases assigned to each office. In-home cases represents the number of cases assigned to each office. Maricopa West, Maricopa East and South Regions have designated in-home units in specific sections. Northwest and Northeast Regions have mixed units where DCS Specialists may carry ongoing cases of children in out-of-home care as well as some in-home cases.

[1] DCS Monthly Operational and Outcome Report (MOOR): https://dcs.az.gov/news-reports/performance-measures

Table 2 – Headcount and Caseload Performance (*SFY20-First Quarter*)

Region [1]	Section #	Section name	FTE		Workload					
			Investigators	Case Managers	# Open Reports (investigations)	# of In home cases	# of Out-of-Home Children [2]	Investigation (reports per worker)	In Home (cases per worker)	Out of Home (children per worker)
Maricopa-East (10)	3	Osborn	20	20	326	---	460	16	---	23
	4	In Home	---	43	58	459	17	1	11	0
	5	Mesa	18	18	319	---	408	17	---	22
	6	Gilbert	18	18	351	---	472	19	---	26
	7	Tempe	20	20	470	---	620	24	---	31
	8	South Mountain	15	15	228	---	386	15	---	25
	9	North Central	19	19	329	---	422	17	---	22
	10	Permanency - South Mountain		42	4	---	1624	0	---	39
South (20)	1	Eastside Loop	14	15	177	---	221	13	---	15
	2	Tucson North - Oracle	13	13	207	---	257	16	---	20
	3	Tucson South - Valencia	11	11	175	---	285	15	---	25
	4	Tucson Midtown - Oracle	11	11	207	---	182	19	---	17
	5	Madera A - 4th Ave.	16	16	191	---	226	12	---	14
	6	Permanency - Alvernon	0	30	1	---	537	---	---	18
	7	Alvernon	13	13	176	---	268	14	---	21
	8	Cochise County	13	13	157	---	193	12	---	15
	9	Madera C / Nogales	14	14	205	---	292	15	---	21
	10	In Home	0	31	23	301	101	0	14	3
	11	Yuma	12	12	165	---	245	14	---	21
Northwest (30)	1	Prescott/Prescott Valley	10	10	180	13	184	17	1.2	18
	3	Coconino County / Cottonwood	12	12	149	51	282	12	4	23
	4	Bullhead City/Lake Havasu	10	10	146	50	237	15	5	24
	5	Kingman	9	18	152	8	549	17	0	31
Northeast (40)	3	Globe / Payson / Safford	5	11	115	35	229	21	3	22
	4	St. Johns/Winslow/Show low	3	7	78	2	125	23	0	19
	5	Apache Junction/Kearney	16	16	220	113	508	13	57	31
	6	Casa Grande/Coolidge	16	16	283	25	469	18	13	30
Maricopa-West (50)	1	AHIT	25	---	6	---	3	0	---	0.1
	3	In Home	0	37	42	681	38	1	18	1
	4	Thunderbird	19	19	340	---	537	18	---	28
	5	Peoria	17	17	312	---	398	18	---	23
	6	Glendale/Durango	20	20	208	---	476	11	---	24
	7	Avondale/Advocacy	18	18	242	---	499	14	---	28
	8	Permanency	---	40	2	---	1245	---	---	31
	12	West 101	20	20	304	---	615	15	---	30
	13	Pinnacle Peak	16	16	261	---	366	17	---	23
105, 106 - Other	various	OCWI, GH/FH, Other	67	---	760	---	247	11	---	---
					7,569	**1,738**	**14,223**			

- As of Q1 FY2019, Specialists in a trainee status are accounted for in FTE figures in each section with an equal distribution of 66% caseload.

- In Home cases are based on a hand count of cases actively managed in each respective Region.

- In Home cases assignments differ Regionally. Maricopa East, Maricopa West and South Regions employ specific in-home units who manage in-home cases only, while Northeast and Northwest Regions and portions of South Region have mixed units that may carry in-home or out-of-home cases.

- FTE assignments to investigations or case management are based on assignment of 50% investigative and 50% ongoing in Maricopa East, Maricopa West and Northwest Regions. South and certain Northeast Regions sections employ a distribution of 34% Investigations and 66% ongoing.

Table 3 – Headcount and Caseload Performance (*FY20-Second Quarter*)

Region [1]	Section #	Section name	FTE Investigators	FTE Case Managers	# Open Reports (investigations)	# of In home cases	# of Out-of-Home Children [2]	Investigation (reports per worker)	In Home (cases per worker)	Out of Home (children per worker)
Maricopa-East (10)	3	Osborn	19	19	311	---	504	17	---	27
	4	In Home	---	47	37	551	24	1	12	1
	5	Mesa	19	19	315	---	378	17	---	20
	6	Gilbert	18	18	377	---	495	21	---	28
	7	Tempe	19	19	414	---	636	22	---	33
	8	South Mountain	15	15	282	---	380	18	---	25
	9	North Central	19	19	355	---	531	18	---	27
	10	Permanency - South Mountain		41	3	---	1499	0	---	37
South (20)	1	Eastside Loop	15	18	133	---	229	9	---	13
	2	Tucson North - Oracle	14	14	175	---	272	13	---	20
	3	Tucson South - Valencia	13	13	143	---	328	11	---	25
	4	Tucson Midtown - Oracle	9	9	233	---	181	25	---	19
	5	Madera A - 4th Ave.	14	14	164	---	232	11	---	16
	6	Permanency - Alvernon	0	29		---	523	---	---	18
	7	Alvernon	12	12	138	---	265	11	---	21
	8	Cochise County	12	12	160	---	189	14	---	16
	9	Madera C / Nogales	15	15	195	---	260	13	---	18
	10	In Home	0	31	18	305	103	0	14	3
	11	Yuma	13	13	140	---	223	11	---	17
Northwest (30)	1	Prescott/Prescott Valley	13	13	176	13	194	13	1	15
	3	Coconino County / Cottonwood	12	12	120	41	248	10	3	21
	4	Bullhead City/Lake Havasu	9	9	137	33	224	15	4	25
	5	Kingman	10	18	77	15	567	8	1	31
Northeast (40)	3	Globe / Payson / Safford	7	13	99	45	226	15	3	17
	4	St. Johns/Winslow/Show low	5	10	80	17	110	16	2	11
	5	Apache Junction/Kearney	17	17	222	73	527	13	37	31
	6	Casa Grande/Coolidge	16	16	219	72	476	14	36	30
Maricopa-West (50)	1	AHIT	28	---	2	---	0	0	---	---
	3	In Home	0	45	38	643	37	1	14	1
	4	Thunderbird	18	18	385	---	554	21	---	30
	5	Peoria	17	17	297	---	422	18	---	25
	6	Glendale/Durango	19	19	252	---	478	13	---	25
	7	Avondale/Advocacy	20	20	209	---	519	10	---	26
	8	Permanency	---	42	2	---	1205	---	---	29
	12	West 101	21	21	371	---	687	18	---	33
	13	Pinnacle Peak	14	14	201	---	351	14	---	25
					0					
105, 106 - Other	various	OCWI, GH/FH, Other	62	---	846	---	65	14	---	---
					7,326	**1,808**	**14,142**			

- As of Q1 FY2019, Specialists in a trainee status are accounted for in FTE figures in each section with an equal distribution of 66% caseload.

- In Home cases are based on a hand count of cases actively managed in each respective Region.

- In Home cases assignments differ Regionally. Maricopa East, Maricopa West and South Regions employ specific in-home units who manage in-home cases only, while Northeast and Northwest Regions and portions of South Region have mixed units that may carry in-home or out-of-home cases.

- FTE assignments to investigations or case management are based on assignment of 50% investigative and 50% ongoing in Maricopa East, Maricopa West and Northwest Regions. South and certain Northeast Regions sections employ a distribution of 34% Investigations and 66% ongoing.

ARIZONA
DEPARTMENT
of CHILD SAFETY

Regional Map

NORTHWEST REGION

Coconino, Mohave, La Paz Counties

NORTHEAST REGION

Apache, Graham, Greenlee, Gila and Pinal Counties

MARICOPA - WEST

Maricopa County - West of 7th Avenue

MARICOPA - EAST

Maricopa County - East of 7th Avenue

SOUTH REGION

Cochise, Pima, Santa Cruz, and Yuma Counties

OFFICE OF CHILD WELFARE INVESTIGATIONS

Maricopa and Pima Counties

CHILD ABUSE HOTLINE-1-888-SOS-CHILD

1-888-767-2445

Revised 06.18.19

Mike Faust, Director
Douglas A. Ducey, Governor

December 31, 2019

The Honorable Regina Cobb
Chairman, Joint Legislative Budget Committee
Arizona State Senate
1700 West Washington
Phoenix, Arizona 85007

Re: Department of Child Safety Quarterly Benchmark Progress Report

Dear Chairman Cobb:

Pursuant to Laws 2019, First Regular Session, Chapter 263, Sec. 19, the Department submits its report on the progress made increasing the number of filled FTE positions, meeting the caseload standard and reducing the number of backlog cases and out-of-home children for the first quarter of FY 20202.

If you have any questions, please contact our office at (602) 255-2500.

Sincerely,

Mike Faust
Director

Enclosure

cc: Richard Stavneak, Director, Joint Legislative Budget Committee
       Representative David Gowan, Chairman, Joint Legislative Budget Committee
       Matt Gress, Director, Governor's Office and Strategic Planning and Budgeting
       Patrick Moran, Joint Legislative Budget Committee
       Yan Gao, Governor's Office and Strategic Planning and Budgeting

DEPARTMENT OF CHILD SAFETY

Quarterly Progress Report
(Filling FTE Positions and Reducing the Inactive)

Report Date: December 31, 2019
Reporting Period: FY2020, Quarter 1

INTRODUCTION

Pursuant to Laws 2019, First Regular Session, Chapter 263, Section 141, the Arizona Department of Child Safety (DCS) is required to continue this report through June 2020. Previous versions of this report required that data be reported on the last day of the quarter of the reporting period. This did not allow the Department time to run data as of the last day of the quarter and still have reasonable time to compile, review and publish this report. This obligated the Department to report lagging data for the out-of-home (OOH) population, full time employee (FTE) data that is partial for the last month of the quarter, and inactive case data that effective only through the third week of the last month of the reporting period. Beginning September 2019, the Department submits this report covering data for the prior quarter.

Additionally, during the third and fourth quarters of state fiscal year 2019 (FY19), DCS was progressively realigning the five Regions. This action was necessary and driven by several factors. Chief among them were the growth and distribution of the population inside not only Maricopa County but also Pima, Pinal and Yavapai Counties. The logistics of providing case management and services in northern Arizona and other rural areas of Arizona were also a consideration. The implementation of these changes were footnoted in the March and June 2019 version of this report.

The Regional realignment resulted in changes in the regional names, reassignment of several counties to new regions; and moving specific sections and units to different regions and/or sections. A map of the new DCS Regions is provided as an attachment to this report (Attachment A).

PROGRESS MADE IN INCREASING THE NUMBER OF FILLED FTE POSITIONS

The Department maintains continuous efforts to reduce turnover in order to sustain sufficient staff resources that provide quality services to the children and families it serves. In state fiscal year 2019 (FY19), one of the Department's strategic objectives was to develop and retain a highly effective workforce by improving employee retention through improved supervision. The Department continues this objective through FY20.

In FY19, Governor Ducey signed HB2747 passed by the Arizona State Legislature that approved pay raises for DCS Specialists, Case Aides, Program Supervisors, Program Specialists and entry-level administrative positions. This allows the Department to compete for high quality staff with other agencies and private entities and retain those employees who have dedicated themselves to protecting children and supporting the Department's mission. A tiered pay structure was previously developed to retain new Specialists. This provided for an increase upon completion of training at 22 weeks and then another increase at one year of employment. During this reporting period, additional changes were implemented that provide DCS Specialists with an increase at 36 months.

DCS continues working to improve employee retention through use of Supervision Coaches. The development of roles, standard work, training, and filling these positions has been completed. DCS continues its work to implement a hiring selection process and interview guide for new field supervisors and standardized onboarding and on the job training experience for new field supervisors. The new training was piloted in the fall of 2019.

DCS HR works closely with local hiring managers to identify candidates for DCS Specialists based on selective preferences. Since different offices may have different or unique needs, HR's work with managers will help identify candidates who more closely meet the office's needs. HR works with local field offices to interview candidates at the site for which they are being considered to diminish confusion for both candidate and hiring manager. These efforts have shown improvements in the process. Moreover, DCS

created geographically based requisitions for the DCS Specialist position for each Region rather than office based requisitions. This allows multiple offices, particularly those in close proximity, to view more potential candidates while still allowing applicants the option to interview close to their desired location. Additionally, DCS HR is utilizing Facebook and LinkedIn postings specifically for offices with higher vacancies. This helps target potential applicants in specific areas utilizing existing geo-mapping tools built into social media platforms.

Recruitment in rural areas is critical. DCS has focused some its advertising in the rural areas of White Mountain and St. John to identify more DCS Specialists to support the Northeast Region. Additionally, the Department has introduced and already selected candidates for the part-time MSW Program through Arizona State University (ASU) for DCS staff in rural areas through the university's online program. The Department has also attended NAU Job Fairs to promote employment with DCS' Northwest and Northeast Regions.

DCS HR continues to engage in other works with colleges and universities. The DCS Specialist positions are now posted on the "Handshake" website; a college based recruiting site. HR continues to strengthen its partnerships with local colleges and universities to attract potential candidates for employment. DCS maintains its partnership with ASU participating in the ASU Title IV-E Strategic Planning Meeting and Quarterly meeting.

DCS HR has also implemented changes to internal operations to better streamline the new applicant experience. A 'candidate to recruiter' experience was developed. This allows a candidate to directly access the recruiter and reducing the time it takes to complete the hiring process by several days.

To support DCS Specialists, Program Supervisors, Case Aides and other front line staff experiencing secondary trauma, DCS continues to offer its peer-to-peer support program, Workforce Resilience. This program seeks to enhance a healthy workforce and provide staff a safe and supportive environment when coping with the experiences inherent in child welfare and help address burnout staff may experience.

The Department has been sustaining its active recruitment process to fill all DCS Specialist positions. As of September 2019, the Department filled 1,329 (95 percent) of the 1,406 funded positions which is a four percent increase from June 2019 when 1,272 positions were filled (91 percent). As of September 30, 2019, DCS funds 229 supervisor positions, 228 (99 percent) of which were filled.

The Department continues its efforts to minimize the overall attrition of all DCS employees. Chart 1 shows the number of DCS Specialist hires for CY 2017 through CY 2019, along with hiring targets. These targets were established against historically observed attrition rates.

Chart 1 – DCS Specialist Hires and Target Trends
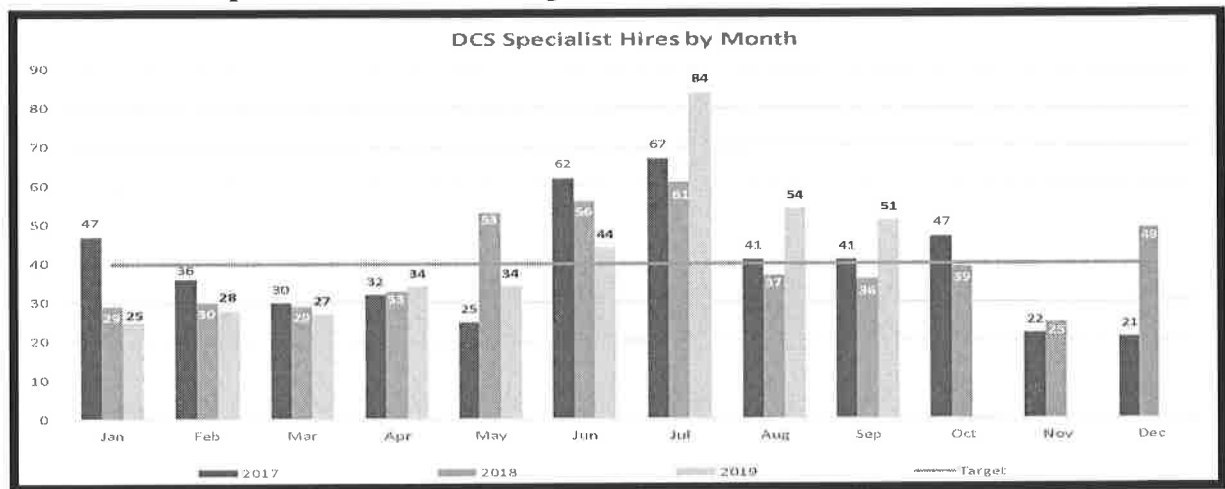

Chart 2 shows the Department's reduction in turnover for all employees for CY 2017 through CY 2019.

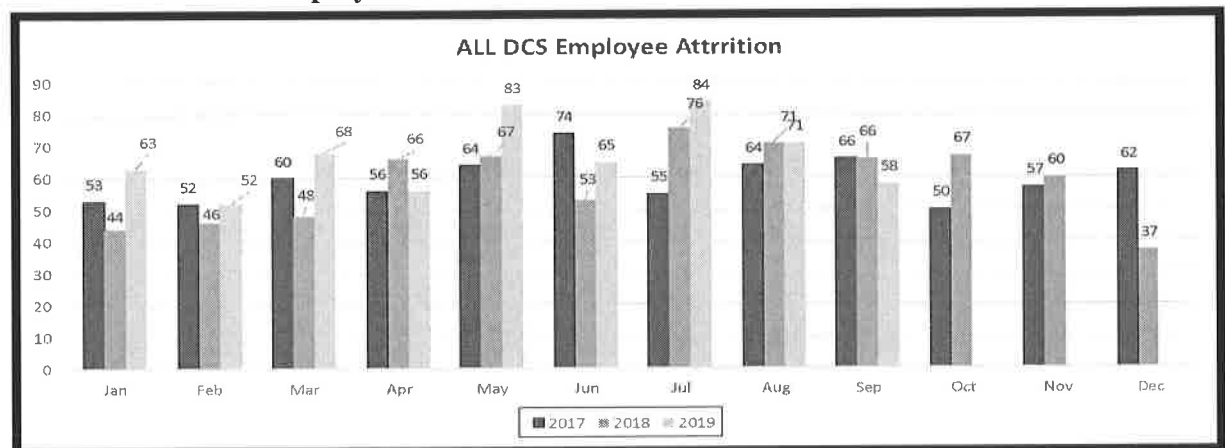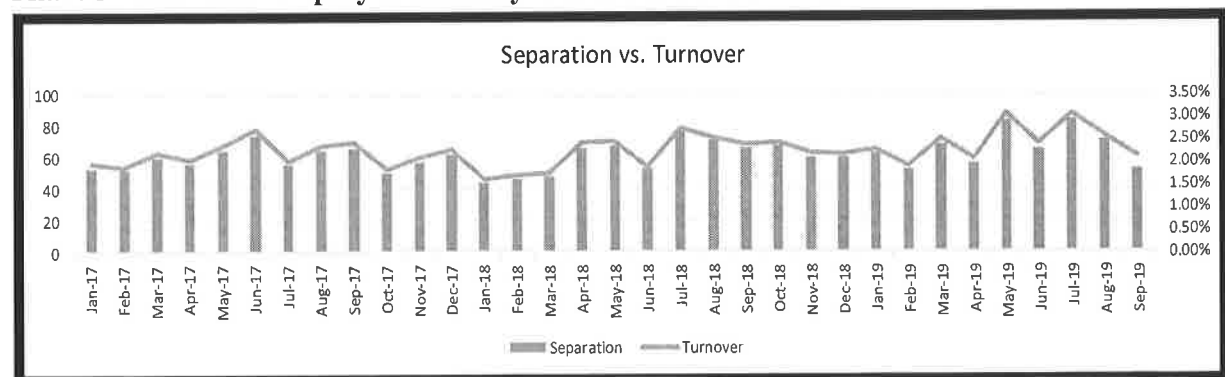**Chart 2 – All DCS Employee Attrition Trends**

Chart 3 demonstrates the Department's monthly separation data and turnover rate since March 2016.

Chart 3 – All DCS Employee Monthly Turnover Rate Trends

PROGRESS MAINTAINING INACTIVE CASES AND IMPROVING CASELOADS

DCS has maintained the inactive cases well below the legislative benchmark of 1,000 since April 2017. Additionally, the Department reduced the number of open reports from 9,611 in December of 2016 to 7,569 as of September 2019. The Department has experienced a stabilization in the number of open reports where is has remained below 7,600 since February 2017.

Additionally, DCS HR continues its efforts to hire and place DCS Specialists at a rate equal to or greater than departures from the Department. Sustained staffing levels help contribute to the reduced number of inactive cases, total open reports, and foster care population. The overall caseloads for DCS investigators continue to decline across most offices (see Table 2).

In March 2017, DCS fell below the legislatively required benchmark of 1,000 inactive cases. From a peak of 16,014 in January of 2015, the Department now has only 177 inactive cases as of September 30, 2019, representing a 99 percent decrease. To avoid a return to higher numbers of inactive cases, the Department uses performance management and other elements of the management system to maintain caseload levels. DCS implemented several sustainment measures throughout the state to ensure inactive cases remain well below the benchmark. These include the implementation of performance management metrics to monitor and control the total number of open reports and the percentage of those reports that are overdue for investigation, and completion and closure and the implementation of leader standard work to ensure routine follow-up.

The Department achieved the initial benchmark of less than 13,000 open reports six months ahead of the established target date. From a peak of 33,245 open reports in April 2015, the Department reduced that to only 7,569 as of September 2019, representing a 77 percent reduction (see Table 1). This benchmark was decreased to 8,000 starting the first quarter of SFY 2019 where the Department has remained below each reporting period.

PROGRESS MADE REDUCING THE OUT-OF-HOME POPULATION

The Department continues to maintain a safe reduction in the historical out-of-home foster care population. The Department experienced a slight increase in the number of children (18) in OOH care in the first quarter of SFY 2020 compared to the fourth quarter of SFY 2019. It should be noted that the number of youth in extended foster care (i.e. 18-20 year olds) contributed to the increase in the overall OOH population. It has been a strategic initiative of the Department to increase the successful transition of youth to adulthood which includes providing more youth over the age of eighteen with independent living services and supports. In multiple DCS reports, the Department reports the number of youth in OOH care broken out by those age zero to seventeen years and those eighteen through twenty years. The Department has still made progress since the baseline period of March 31, 2016 (18,917 children) in reducing the OOH population by 25 percent (4,712 children) to the current number of children in out-of-home care (14,223).

By slowing the entry rate and sustaining performance for children exiting care, the Department has been able to maintain a safe reduction of the foster care population. In addition, this is highlighted by no significant change in the re-entry rate for children who left care within the past 12 months. The entry rate per 1,000 of Arizona's general child population was 5.0 in June 2019 and again in September 2019. The reduction in the number of children entering out-of-home care can be attributed to several factors. These include, but are not limited to, the additional standardized process tools including supervisory administrative and case progress review checklists, as well as standardized safety discussions guides and training staff to better engage a family's network to identify in-home options in order to maintain children safely in the home. In 2017, DCS renovated and completed statewide training for the Safe AZ Model. Improved response times also contributes to the reduction of children entering care as this enables DCS

Specialists to make decisions that will help support families, provide services in a timely manner and avoid entry into care.

Through the continued application of monthly clinical staffings on reunification cases using a standardized process, ongoing workers have been able to maintain the rate of children exiting care. By way of these standard process activities, paired with the continued use of cursory case reviews and Fostering Sustainable Connections (the Title IV-E Waiver demonstration project), the Department has safely maintained a reduction of the out-of-home care population during FY2019.

Table 1 – Benchmark Performance

		Q1FY18	Q2FY18	Q3FY18	Q4FY18	Q1FY19	Q2FY19	Q3FY19	Q4FY19	Q1FY20
Inactive Cases [1]										
	Benchmark (less than)	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000
	Actual	212	265	176	225	183	302	355	179	177
Inactive Cases by disposition										
	Investigation Phase	125	165	84	115	74	188	227	155	149
	In-Home Cases	77	89	84	98	93	98	112	22	25
	Out-of-Home Cases	10	11	8	12	16	16	16	2	3
Number of Open Reports										
	Benchmark (less than)	13,000	13,000	13,000	13,000	8,000	8,000	8,000	8,000	8,000
	Actual	6,444	6,621	6,087	5,871	6,562	6,695	6,554	6,586	7,569
Number of Out-of-Home Children										
	Benchmark (less than)	16,471	16,142	15,819	15,503	15,192	14,889	14,591	14,299	13,964
	Benchmark (% reduction)	2%	2%	2%	2%	2%	2%	2%	2%	n/a
	Actual	16,316	15,744	15,139	14,869	14,241	14,209	13,841	14,205	14,223

Footnotes

[1] Number of inactive cases is the actual figure as of the last Monday of the reporting period.

[2] As a result of Laws 2019, 1st Regular Session Ch. 263, Sec. 141 which continued this report, the benchmark established by the Legislature for number of out-of-home children was no longer based on a 2 percent reduction but a static number of 13,964.

Tables 2 and 3 show the caseload by section (field office) for investigations, out-of-home children, and in-home cases. Investigations are the number of reports assigned to each office. Out-of-home represents the number of children in ongoing cases assigned to each office. In-home cases represents the number of cases assigned to each office. Maricopa West, Maricopa East and South Regions have designated in-home units in specific sections. Northwest and Northeast Regions have mixed units where DCS Specialists may carry ongoing cases of children in out-of-home care as well as some in-home cases.

Table 2 – Headcount and Caseload Performance (*FY19-Fourth Quarter*)

| | | | Quarter 4 FY 2019 | | | | | | | |
| | | | FTE | | Workload | | | | | |
Region [1]	Section #	Section name	Investigators	Case Managers	# Open Reports (investigations)	# of In home cases	# of Out-of-Home Children [2]	Investigation (reports per worker)	In Home (cases per worker)	Out of Home (children per worker)
Maricopa-East (10)	3	Osborn	19	19	318	---	514	17	---	27
	4	In Home	---	39	6	436	23	0	11	1
	5	Mesa	18	18	317	---	514	17	---	28
	6	Gilbert	18	18	231	---	475	13	---	26
	7	Tempe	20	20	336	---	597	17	---	30
	8	South Mountain	16	16	522	---	488	33	---	31
	9	North Central	18	18	287	---	378	16	---	21
	10	Permanency - South Mountain	0	41	---	---	1514	0	---	37
South (20)	1	Eastside Loop	13	14	156	---	226	12	---	16
	2	Tucson North - Oracle	12	12	128	---	256	11	---	22
	3	Tucson South - Valencia	12	12	139	---	321	11	---	26
	4	Tucson Midtown - Oracle	11	11	235	---	186	22	---	17
	5	Madera A - 4th Ave.	15	15	155	---	173	10	---	12
	6	Permanency - Alvernon	0	28	---	---	587	---	---	21
	7	Alvernon	15	15	166	---	239	11	---	16
	8	Cochise County	12	12	130	---	205	11	---	17
	9	Madera C / Nogales	15	15	190	0	302	13	0	20
	10	In Home	0	29	19	198	94	0	9	3
	11	Yuma	12	12	134	39	266	12	13	23
Northwest (30)	1	Prescott/Prescott Valley	12	12	168	5	194	14	0.4	16
	3	Coconino County / Cottonwood	10	10	150	51	271	14	5	26
	4	Bullhead City/Lake Havasu	12	12	155	45	324	13	4	27
	5	Kingman	9	17	87	9	457	10	1	27
Northeast (40)	3	Globe / Payson / Safford	7	13	96	21	164	15	2	13
	4	St. Johns/Winslow/Show low	4	9	56	21	200	13	2	23
	5	Apache Junction/Kearney	15	15	156	34	516	10	17	33
	6	Casa Grande/Coolidge	17	17	159	36	458	9	18	26
Maricopa-West (50)	1	AHIT	19	---	0	---	3	0	---	0.2
	3	In Home	0	37	18	656	42	0.5	18	1
	4	Thunderbird	19	19	230	---	524	12	---	27
	5	Peoria	17	17	266	---	414	16	---	25
	6	Glendale/Durango	16	16	198	---	419	13	---	27
	7	Avondale/Advocacy	18	18	291	---	533	17	---	30
	8	Permanency	---	41	---	---	1299	---	---	32
	12	West 101	22	22	232	---	622	11	---	29
	13	Pinnacle Peak	19	19	176	---	396	9	---	21
105, 106 - Other	various	OCWI, GH/FH, Other	64	---	679	---	71	11	---	---
					6,586	1,551	14,265			

- As of Q1 FY2019, Specialists in a trainee status are accounted for in FTE figures in each section with an equal distribution of 66% caseload.

- In Home cases are based on a hand count of cases actively managed in each respective Region.

- In Home cases assignments differ Regionally. Maricopa East, Maricopa West and South Regions employ specific in-home units who manage in-home cases only, while Northeast and Northwest Regions and portions of South Region have mixed units that may carry in-home or out-of-home cases.
- FTE assignments to investigations or case management are based on assignment of 50% investigative and 50% ongoing in Maricopa East, Maricopa West and Northwest Regions. South and certain Northeast Regions sections employ a distribution of 34% Investigations and 66% ongoing.

Table 3 – Headcount and Caseload Performance (*FY20-First Quarter*)

| Region [1] | Section # | Section name | FTE | | Workload | | | | | |
			Investigators	Case Managers	# Open Reports (investigations)	# of In home cases	# of Out-of-Home Children [2]	Investigation (reports per worker)	In Home (cases per worker)	Out of Home (children per worker)
Maricopa-East (10)	3	Osborn	20	20	326	---	460	16	---	23
	4	In Home	---	43	58	459	17	1	11	0
	5	Mesa	18	18	319	---	408	17	---	22
	6	Gilbert	18	18	351	---	472	19	---	26
	7	Tempe	20	20	470	---	620	24	---	31
	8	South Mountain	15	15	228	---	386	15	---	25
	9	North Central	19	19	329	---	422	17	---	22
	10	Permanency - South Mountain		42	4	---	1624	0	---	39
South (20)	1	Eastside Loop	14	15	177	---	221	13	---	15
	2	Tucson North - Oracle	13	13	207	---	257	16	---	20
	3	Tucson South - Valencia	11	11	175	---	285	15	---	25
	4	Tucson Midtown - Oracle	11	11	207	---	182	19	---	17
	5	Madera A - 4th Ave.	16	16	191	---	226	12	---	14
	6	Permanency - Alvernon	0	30	1	---	537	---	---	18
	7	Alvernon	13	13	176	---	268	14	---	21
	8	Cochise County	13	13	157	---	193	12	---	15
	9	Madera C / Nogales	14	14	205	---	292	15	---	21
	10	In Home	0	31	23	301	101	0	14	3
	11	Yuma	12	12	165	---	245	14	---	21
Northwest (30)	1	Prescott/Prescott Valley	10	10	180	13	184	17	1.2	18
	3	Coconino County / Cottonwood	12	12	149	51	282	12	4	23
	4	Bullhead City/Lake Havasu	10	10	146	50	237	15	5	24
	5	Kingman	9	18	152	8	549	17	0	31
Northeast (40)	3	Globe / Payson / Safford	5	11	115	35	229	21	3	22
	4	St. Johns/Winslow/Show low	3	7	78	2	125	23	0	19
	5	Apache Junction/Kearney	16	16	220	113	508	13	57	31
	6	Casa Grande/Coolidge	16	16	283	25	469	18	13	30
Maricopa-West (50)	1	AHIT	25	---	6	---	3	0	---	0.1
	3	In Home	0	37	42	681	38	1.1	18	1
	4	Thunderbird	19	19	340	---	537	18	---	28
	5	Peoria	17	17	312	---	398	18	---	23
	6	Glendale/Durango	20	20	208	---	476	11	---	24
	7	Avondale/Advocacy	18	18	242	---	499	14	---	28
	8	Permanency	---	40	2	---	1245	---	---	31
	12	West 101	20	20	304	---	615	15	---	30
	13	Pinnacle Peak	16	16	261	---	366	17	---	23
105, 106 - Other	various	OCWI, GH/FH, Other	67	---	760	---	247	11	---	---
					7,569	1,738	14,223			

- As of Q1 FY2019, Specialists in a trainee status are accounted for in FTE figures in each section with an equal distribution of 66% caseload.

- In Home cases are based on a hand count of cases actively managed in each respective Region.

- In Home cases assignments differ Regionally. Maricopa East, Maricopa West and South Regions employ specific in-home units who manage in-home cases only, while Northeast and Northwest Regions and portions of South Region have mixed units that may carry in-home or out-of-home cases.

- FTE assignments to investigations or case management are based on assignment of 50% investigative and 50% ongoing in Maricopa East, Maricopa West and Northwest Regions. South and certain Northeast Regions sections employ a distribution of 34% Investigations and 66% ongoing.

ARIZONA
DEPARTMENT
of CHILD SAFETY

Regional Map

NORTHWEST REGION

Coconino, Mohave, La Paz Counties

NORTHEAST REGION

Apache, Graham, Greenlee, Gila and Pinal Counties

MARICOPA - WEST

Maricopa County - West of 7th Avenue

MARICOPA - EAST

Maricopa County - East of 7th Avenue

SOUTH REGION

Cochise, Pima, Santa Cruz, and Yuma Counties

OFFICE OF CHILD WELFARE INVESTIGATIONS

Maricopa and Pima Counties

CHILD ABUSE HOTLINE-1-888-SOS-CHILD

1-888-767-2445

Revised 06.18.19

2B

STATE OF ARIZONA

Joint Legislative Budget Committee

DATE: April 22, 2020

TO: Members of the Joint Legislative Budget Committee

FROM: Patrick Moran, Principal Fiscal Analyst

SUBJECT: Department of Child Safety - Review of FY 2020 Line Item Transfers

Request

Pursuant to a footnote in the FY 2020 General Appropriation Act, the Department of Child Safety (DCS) is requesting Committee review of the following transfers of Child Safety Expenditure Authority in FY 2020:

- $7,050,000 into the Congregate Group Care line item.
- $5,000,000 into the Foster Home Recruitment, Study and Supervision (HRSS) line item.
- $(5,050,000) out of the Caseworkers line item.
- $(3,000,000) out of the Out-of-Home Support Services line item.
- $(2,000,000) out of the Training Resources line item.
- $(2,000,000) out of the Overtime line item.

Committee Options

The Committee has at least the following 2 options:

1. A favorable review of the request.

2. An unfavorable review of the request.

Under either option, the Committee may consider the following provision:

A. The Department of Child Safety shall report to JLBC on or before June 30, 2020 on the department's efforts to obtain reimbursement from the Coronavirus Relief Fund for the temporary group home rate increase implemented in March 2020 in response to statewide school closures associated with the COVID-19 pandemic.

(Continued)

Key Points
1) DCS is requesting transfers of $12.1 million of Child Safety Expenditure Authority in FY 2020, including $7.1 million for Congregate Care and $5.0 million for Foster Home Recruitment (HRSS).
2) The transfers would address rate increases for group homes and for HRSS contractors, including a temporary increase for group homes associated with school closures related to COVID-19.
3) The transfers would be financed from line items with surplus expenditure authority.
4) For FY 2020, DCS may be able to receive reimbursement from the Coronavirus Relief Fund for the temporary group home rate increase.
5) For FY 2021, the rate increases have an annualized ongoing cost of $6.0 million GF.
6) The $6.0 million is not funded in the FY 2021 budget, but DCS may be able to temporarily cover the cost in FY 2021 with federal match rate increases.

Analysis

Congregate Care

DCS is proposing to transfer $7.1 million of Child Safety Expenditure Authority monies into the Congregate Group Care line item. The Congregate Group Care line item funds placement expenses for children in out-of-home care that are placed in shelters, group homes, or behavioral health residential treatment centers. The enacted budget includes $98.9 million Total Funds for Congregate Group Care, but DCS is now estimating costs for the line item will reach $106.0 million, or $7.1 million above the original appropriation. DCS attributes the higher-than-budgeted expenses to 2 factors:

1) In April 2019, DCS re-bid its group home contracts and, as a result, the department estimates that its average contracted group home rates increased by 20% effective April 4, 2019. DCS notes that the last time the contracted rates were updated was 2011, so the department attributes the cost increase to growing costs providers incurred over that period. The FY 2020 budget did not adjust DCS' congregate care funding levels to account for the rate increase. The department estimates the 20% rate increase accounts for $4.5 million of the $7.1 million transfer request.

2) DCS also implemented a temporary rate increase of $200 per day per 10 licensed group home beds effective March 23, 2020 to address additional daytime staffing needs at group homes resulting from school closures related to the coronavirus pandemic. The rate increase is in effect through May 29, 2020. DCS estimates the temporary rate adjustment will have a $2.6 million cost that was unaccounted for in the enacted FY 2020 budget.

   The temporary $200 rate increase could potentially be reimbursable via the Coronavirus Relief Fund established by the federal Coronavirus Aid, Relief, and Economic Security (CARES) Act. The fund provides Arizona with $2.82 billion, of which $1.55 billion is retained by the state, to reimburse the state for necessary expenditures due to the public health emergency. Given that the $200 increase was directly related to school closures implemented as part of Arizona's coronavirus response, Provision A requires DCS to report on or before June 30, 2020 on whether it received reimbursement for the rate increase from the Coronavirus Relief Fund.

The $7.1 million cost increase would be financed via transfers of Child Safety Expenditure Authority from the Out-of-Home Support Services line item and the Caseworkers line item. DCS will not require General Fund resources to cover the $7.1 million cost in FY 2020 because the department will temporarily receive additional federal IV-E monies as a result of the Families First Coronavirus Response Act, which

(Continued)

increases each state's Federal Medical Assistance Percentage (FMAP) by 6.2%. The increase is retroactive to January 1, 2020 and will be in effect for the duration of the federally-declared public health emergency in response to the coronavirus pandemic. This increase affects DCS because most federal IV-E monies for child welfare services are also funded in accordance with the FMAP. DCS estimates it will receive a total of $9.8 million in additional federal monies in FY 2020 as a result of the 6.2% increase.

The enacted FY 2021 budget does not adjust DCS' budget to account for the ongoing 20% contracted rate increase, which the department estimates would generate General Fund costs of $2.9 million above the current appropriation. The FY 2021 Executive budget did not include funding for this cost. As a result, the ability of DCS to fund the rate increase in FY 2021 within its current General Fund appropriation may depend on whether the 6.2% temporary FMAP increase is extended into FY 2021.

Foster Care HRSS
DCS also proposes a transfer of $5.0 million of Child Safety Expenditure Authority into the Foster Home Recruitment, Study and Supervision (HRSS) line item. HRSS contractors are responsible for recruiting foster families, completion of home studies, and providing ongoing support to foster families. The enacted FY 2020 budget included $32.8 million Total Funds for Foster Care HRSS. The department now anticipates, however, that costs will reach $37.8 million, or $5.0 million above the enacted budget.

DCS primarily attributes the $5.0 million increase in costs to a contracted 10% rate increase implemented October 1, 2019. The rate adjustment is intended to increase payments for HRSS providers that successfully identify licensed foster homes for out-of-home children age 12 and older to reduce the number of group home placements needed for such children. This is a component of the department's plans to reduce congregate care placements in response to the federal Families First Prevention Services Act of 2018.

DCS proposes to finance the $5.0 million cost with transfers of Child Safety Expenditure Authority from the line items for Overtime, Training Resources, and Caseworkers. DCS will not require General Fund resources to cover the $5.0 million cost in FY 2020 due to the availability of one-time balances of federal monies from the DCS IV-E waiver, which expired in September 2019. In the absence of IV-E waiver balances, the $5.0 million HRSS cost increase would have an ongoing General Fund cost of $3.1 million in FY 2021. The FY 2021 Executive Budget did not include funding for the rate increase.

The $3.1 million ongoing HRSS rate increase cost, together with the ongoing $2.9 million Congregate Care rate increase cost, implies a $6.0 million ongoing General Fund cost beginning in FY 2021. Whether DCS can fund the $6.0 million cost within its current FY 2021 budget will depend on whether and how long the 6.2% temporary FMAP increase is extended into FY 2021. The JLBC Staff estimates that, agencywide, the 6.2% FMAP increase could generate savings for DCS of $(19.5) million General Fund in FY 2021 if the enhanced FMAP is in place for all of FY 2021, which would be sufficient to cover the $6.0 million cost on a one-time basis in FY 2021.

Transfers Out
In total, DCS is transferring $(12.1) million out of other line items as follows to finance the Child Safety Expenditure Authority increases for Congregate Group Care and Foster HRSS:

- $(5.1) million from the Caseworkers line item.
- $(3.0) million from the Out-of-Home Support Services line item.

- $(2.0) million from the Training Resources line item.
- $(2.0) million from the Overtime line item.

The availability of the $12.1 million of Child Safety Expenditure Authority in the above 4 line items is based on surplus expenditure authority in the DCS budget. This surplus authority gives DCS the flexibility to spend unanticipated increases in Federal Funds, including the 6.2% FMAP increase referenced above, without having to request supplemental appropriation authority. The proposed transfer out will not affect DCS' expenditure of state General Fund monies or Other Appropriated Funds on the above line items.

PM:kp

ARIZONA
DEPARTMENT
of **CHILD SAFETY**

Mike Faust, Director
Douglas A. Ducey, Governor

Thursday, April 9, 2020

RECEIVED
APR 09 2020
JOINT BUDGET COMMITTEE

Regina E. Cobb
Chairman
Joint Legislative Budget Committee
1716 West Adams
Phoenix, AZ 85007

Re: Appropriation Transfer Request

Dear Representative Cobb:

The Department requests to be placed on the Joint Legislative Budget agenda for Expenditure Authority appropriation transfer requests below:

Summary of Requested Appropriation Transfers for FY20

Special Line Item	Expenditure Authority (in $1,000)
Home Recruitment Study and Supervision (HRSS)	$5,000
Congregate Group Care	$7,050
Caseworker	($5,050)
Out-of-Home Services	($3,000)
Training Resources	($2,000)
Overtime	($2,000)
TOTAL	**$0.0**

<u>*Expenditure Authority Appropriation Requests – FY20*</u>
Pursuant to Laws 2019, First Regular Session, Chapter 263, Section 19, the amount appropriated for any line item may not be transferred to another line item or the operating budget unless the transfer is review by the joint legislative budget committee. The Department requests that the committee review the following Expenditure Authority (EA) transfer requests:
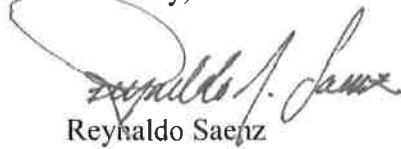
- Congregate Group Care: The Department requests a total of $7.1 million Expenditure Authority from Special Line Items: Out of Home Services, Caseworker.

Special Line Item	Expenditure Authority (in $1,000)
Congregate Group Care	$7,050
Out-of-Home Services	($3,000)
Caseworker	($4,050)
TOTAL	**$ 0.0**

- Home Recruitment Supervision and Study (HRSS): The Department requests a total of $5.0 million of Expenditure Authority from Special Line Items: Training Resources, Overtime and Caseworkers.

Special Line Item	Expenditure Authority (in $1,000)
HRSS	$5,000
Overtime	($2,000)
Training Resources	($2,000)
Caseworker	($1,000)
TOTAL	**$ 0.0**

Sincerely,

Reynaldo Saenz
Budget Director

Cc:
Robert Navarro, Assistant Director of Budget and Finance
Yan Gao, Budget Analyst, Office of Budgeting and Strategic Planning

Joint Legislative Budget Committee

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DATE: April 22, 2020

TO: Members of the Joint Legislative Budget Committee

FROM: Geoffrey Paulsen, Senior Fiscal Analyst

SUBJECT: Arizona Department of Corrections - Review of FY 2020 Third Quarter Correctional
          Officer Staffing Report

Request

Pursuant to an FY 2020 General Appropriation Act footnote, the Arizona Department of Corrections
(ADC) submitted for Committee review its quarterly staffing report for correctional officers. ADC also
included updated information on responses from correctional officer (CO) exit surveys since January
2019 and the average CO salary including overtime.

Committee Options

The Committee has at least the following 3 options:

1. A favorable review of the report.

2. An unfavorable review of the report.

3. Receive the report without comment.

Analysis

At the September meeting, ADC set a goal of a 6.8% vacancy rate, or 453 vacant CO positions, by the
end of FY 2020. To achieve this, ADC set quarterly benchmarks of 453 new hires compared to 173
separations. ADC also set a quarterly goal of 77 promotions for correctional officers, typically to the
position of Sergeant, which would in effect reduce filled CO positions. The ADC benchmarks would
result in a net gain of 203 new filled CO positions per quarter, or 812 by the end of June.

Key Points
1) By June 2020, ADC has a goal of adding 812 net additional CO positions above June 2019.
2) As of January 31, ADC has added 62 COs compared to June 2019.
3) ADC's current CO vacancy rate is 18.3%, down from 19.9% in the last report.

At the December meeting, ADC reported a net decrease of (40) correctional officers through October 28. Through January 31, 2020, ADC now reports an increase of 62 correctional officers compared to June 2019 *(see Table 1 for details)*.

Table 1

Quarterly CO Staffing Levels in FY 2020

	June 24, 2019 (Base Level)	1st Quarter (Thru Aug. 26)	2nd Quarter (Thru Oct. 28)	3rd Quarter (Thru Jan. 31)
Filled Positions (including COTA)	5,372	5,280	5,332	5,434
Vacant Positions	1,283	1,375	1,323	1,221
Total Positions	**6,655**	**6,655**	**6,655**	**6,655**
YTD Filled Positions Relative to Base	N/A	(92)	(40)	62

ADC has a statewide CO vacancy rate of 18.3% as of January 31,2020, down from 19.9% in October 2019. *Table 2* below compares the number of vacancies and vacancy rates by complex between October 2019 and January 2020.

Table 2

Correctional Officer Staffing Levels by Location
(October 2019 vs. January 2020)

	October 2019		January 2020	
	Vacant Positions	Vacancy Rate (%)	Vacant Positions	Vacancy Rate (%)
Eyman	411	38.5	395	37.5
Florence	250	32.3	222	29.1
Perryville	100	15.4	81	12.5
Lewis	234	22.4	220	21.2
Phoenix	16	6.6	25	10.3
Tucson	141	13.1	97	9.0
Douglas	52	12.6	73	16.4
Safford	34	12.3	38	13.8
Winslow	77	22.7	66	19.5
Yuma	8	1.1	1	0.1
Maricopa Re-Entry	0	0	3	17.6
Pima Re-Entry	0	0	0	0.0
Total	**1,323**	**19.9**	**1,221**	**18.3**

Overall ADC has reduced vacancies by (102) since the last report. The largest reductions were seen at Tucson, Florence and Perryville prisons, that made up 91 or about 89% of the net vacancy reductions. Eyman, the facility with the most vacancies, decreased its vacancy rate from 38.5% to 37.5%.

(Continued)

In their most recent monthly agency budget report, ADC reported preliminary estimates for staffing that projects a CO vacancy rate of 17.9% through the end of February.

GP:kp

Arizona Department of Corrections Rehabilitation & Reentry

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COMMITTEE

March 3, 2020

The Honorable Regina E. Cobb, Chairman
Joint Legislative Budget Committee
1716 West Adams
Phoenix, Arizona 85007

RE: FY 2020 Third Correctional Officer Staffing Report

Dear Representative Cobb:

In accordance with section 24, General Appropriation Act for FY 2020, (Laws 2019, 1st Regular Session, Chapter 263), the following report is being provided. A footnote requires a report that includes the following:

- Filled Correctional Officer (CO) Positions
- Number of Vacant CO Positions
- Number of people in training
- Number of separations
- Number of hours of overtime worked during the quarter
- Information shall be reported on each prison complex and overall Department totals

When the committee met on September 25, 2019, these provisions were added to the requirements:

- A summary of responses from CO exit surveys since January 2019
- The average CO Salary including overtime
- Competitor Salary information

Updates since the previous report submitted on November 30, 2019, are now provided.

In January 2020, the Arizona Department of Corrections, Rehabilitation, and Reentry's (ADCRR's) CO Vacancy Rate was 18.34% (1,220.75 of 6,655 positions), continuing the downward trend documented in the last report. With the FY 2020 10% salary increase and the new recruitment and retention initiatives detailed below, there have been small, yet positive, gains toward reducing the vacancy rate.

However, much work remains to be done. At the hard-to-fill prison locations, ASPC-Florence, ASPC-Eyman, and ASPC-Winslow, the vacancy rates ranged from 23.1% to as 38.0%. Daily operational strength at the Florence and Eyman prisons is frequently between 40% and 50%.

These same prison complexes contain high-custody-level populations wherein high CO vacancy rates cause additional operational strain; contribute to unsafe working conditions for staff and unsafe living conditions for inmates; and curtail access to inmate programming.

FY 2020 Hiring Benchmarks:

The following table illustrates the FY 2020 Hiring Benchmarks. The goal to increase the number of filled CO positions by 812 during FY 2020 has not changed. ADCRR's ability to meet the benchmarks relies heavily on our ability to retain staff.

FY 2020 Hiring Benchmarks					
	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	Total
Hires	453.00	453.00	453.00	453.00	1,812.00
Separations	- 173.00	- 173.00	- 173.00	- 173.00	- 692.00
Promotions	- 77.00	- 77.00	- 77.00	- 77.00	- 308.00
Net CO Hiring Activity	203.00	203.00	203.00	203.00	812.00

A net increase of 812 filled CO positions would reduce the number of vacant CO positions from 1,283 as of June 24, 2019, to 471 by June 30, 2019.

	24-Jun-19	Annual Projection	Projected 30-Jun-20
Filled Positions	5,372.00	812.00	6,184.00
Vacant Positions	1,283.00	- 812.00	471.00
Net CO Hiring Activity	6,655.00	0.00	6,655.00

Year-To-Date Hiring Activity:

Since the last report, ADCRR continues to see promising developments in net CO Hiring Activity. Through the first month of the 3rd quarter, there has been a net increase of 52.75 filled CO positions, continuing the gains realized in the 2nd quarter.

FY 2020 Year-To-Date Actual					
	1st Qtr.	2nd Qtr.	3rd Qtr.[1]	4th Qtr.	Total
Hires	322.00	421.25	143.25		886.50
Separations	- 344.00	- 258.75	- 73.50		- 675.25
Promotions	- 86.00	- 45.00	- 17.00		- 149.00
Net CO Hiring Activity	- 108.00	117.50	52.75		62.25

[1] 3rd Qtr. numbers represent only one month of activity

The previous two reports reflected net negative CO Hiring Activity. With this report, the year-to-date the number of filled CO positions is net positive, increasing by 62.25 filled CO positions.

	24-Jun-19	YTD	31-Jan-20
Filled Positions	5,372.00	62.25	5,434.25
Vacant Positions	1,283.00	- 62.25	1,220.75
Net CO Hiring Activity	6,655.00	0.00	6,655.00

The following table illustrates the current (as of January 27, 2020) CO staffing information by complex. "Hired" includes employees that started COTA, CO Trainees, and rehires.

From June 24, 2019 through January 31, 2020							
Location	Filled Positions	Filled – In Training (COTA)	Vacant Positions	Hired	Separations	Promotions	Overtime Hrs. Worked [2]
Eyman	641.50	15.00	394.50	75.00	58.50	31.00	229,131
Florence	479.25	25.00	204.75	91.00	44.50	10.00	164,985
Globe	35.00	2.00	17.00	4.00	5.00	0	5,454
Perryville	538.75	29.00	81.25	105.50	68.75	18.00	98,061
Lewis	787.50	30.00	220.50	108.00	155.50	16.00	300,449
Phoenix	212.25	4.00	24.75	47.00	42.25	2.00	50,464
Tucson	940.00	39.00	97.00	190.00	102.75	21.00	250,346
Douglas	361.00	12.00	73.00	53.00	13.00	12.00	35,188
Safford	165.00	8.00	17.00	42.00	24.00	6.00	23,907
Fort Grant	65.00	0	21.00	0	7.00	2.00	12,443
Winslow	209.00	5.00	63.00	56.00	24.00	14.00	66,987
Apache	57.00	2.00	3.00	7.00	3.00	2.00	4,206
Yuma	727.00	16.00	1.00	108.00	55.00	15.00	37,413
MRC	14.00	0	3.00	0	4.00	0	0
PRC	15.00	0	0	0	1.00	0	23
COTA	0	0	0	0	67.00	0	0
TOTAL	5,247.25	187.00	1,220.75	886.50	675.25	149.00	1,279,057

[2] Includes all overtime/compensatory time worked through pay period ending 01-24-2020 at these locations.

YTD employees have worked 1,279,057 overtime hours. This compares to 971,043 overtime hours for the same period in FY 2019. The average correctional officer salary for FY 2019 and YTD FY 2020 breaks down as follows:

	Object	FY 2019	FY 2020 YTD
6011	Regular Base Salary	$31,501	$35,060
6041	Annual Leave	1,933	2,254
6042	Sick Leave	982	1,069
6043	Compensatory Leave	243	213
6044	Military Leave	79	88
6048	Holiday Leave Taken	863	923
	Base Pay	**$35,601**	**$39,607**
6031	Overtime	7,187	9,821
6032	Stipends [3]	2,055	2,122
6047	Annual Leave Payout	8	19
6049	Other Compensated Leave	70	73
6051	Holiday Leave Payout	915	8
6052	Comp Leave Payout	423	412
	Overtime/Stipends/Payouts	**$10,658**	**$12,555**
	Grand Total	**$46,259**	**$52,162**

[3] Geographic Stipends apply to COII's assigned to Florence, Eyman, Lewis and Winslow only.

Summary of Exit Surveys:

There were 385 ADOA Correctional Officer Exit Surveys completed between January 1, 2019, and January 31, 2020. "Compensation not competitive" was the most frequently cited significant influence on the decision to leave ADCRR employment. The following summarizes the responses to the exit survey (note: respondents may select more than one option):

Who Is Leaving	Resign, Retire or Transfer to Another State Agency
• 53% who leave the agency are between the ages of 18-29 • 24% leave the agency during their 1st year of service	• 86% resign their positions • 8% of respondents retired • 6% of respondents transferred to another State agency

Significant Factors Cited for Leaving	Where Are They Going
• 39% compensation not competitive • 35% safety concerns • 33% personal considerations (family, health, school, etc.) • 32% wanted a career change • 30% negative work environment • 24% did not feel valued/recognized	• 75% report they are going to work in the public sector • 68% leave for another full time job

Competitor Salary Information:

A survey of the agency's local competitors continues. No changes in starting salary since the last report were identified. Vacancy rate updates since the last report are in bold font.

In-State Competitors	Starting Salary	Salary Increase Last 12 months	Increase Amount	Vacancy Rate
Florence Correctional Center (CoreCivic)	$48,630	Y	$956	10.0%
Eloy Detention Center (CoreCivic)	$44,158	N	$0	N/A
La Palma Correctional Center (CoreCivic)	$44,158	N	$0	6.6%
Federal Bureau of Prisons, Safford & Tucson	$43,065	Y	$1,197	**6.20%**
Maricopa County Sheriff	$40,414	N	$0	N/A
Pima County Sheriff	$40,185	Y	$3,743	4.0%
Bureau of Indian Affairs – Navajo Nation	$38,958	Y	$1,331	N/A
Central Arizona Correctional Facility, Florence (GEO)	$38,085	Y	$4,805	**5.19%**
Red Rock Correctional Center (CoreCivic)	$37,752	Y	$3,432	**3.35%**
Arizona State Prison-Florence West (GEO)	$36,608	Y	$3,328	**7.14%**
ADCRR – current	*$36,208*	*Y*	*$3,291*	*18.34%*
Pinal County Sheriff	$36,157	N	$0	12.0%
San Luis Detention Center (LaSalle)	$35,339	N	$0	0%
Arizona State Prison-Kingman (GEO)	$35,277	Y	$3,203	**14.6%**
Saguaro Correctional Center (CoreCivic)	$34,320	N	$0	N/A
Marana Comm. Corr. Treatment Facility (MTC)	$33,176	Y	$6,136	**6.52%**
Arizona State Prison-Phoenix West (GEO)	$29,744	Y	$4,784	**21.57%**

Recruitment & Retention Initiatives:

ADCRR is engaged in numerous recruitment and retention efforts across the entire agency. Please see the following for some highlights of new initiatives since the last report:

➢ Increased accessibility by adding the ability for applicants to self-schedule for testing online using the Bookeo.com system. The online system is now integrated into the www.JoinADC.com webpage; recruiter emails/texts communications; and various social media ad placements. Interested applicants can now schedule themselves for the next available testing date 24 hours a day, 7 days a week, using their smartphone, tablet or computer.

➢ Implemented new schedule accommodations that allow COs to request to work part-time. Since October 2019, the agency has retained 15 COs who may have otherwise resigned due

to scheduling conflicts. In addition to accommodating current staff, ADCRR has rehired numerous former Correctional Officers in a part-time capacity.

Initiatives instituted between July 1, 2019 and November 30, 2019 include:

- Created an online submission form on www.joinadc.com, allowing those interested in a CO position the ability to submit their contact information without the necessity of being redirected to the applications page. This allows the interested person to ask questions and commit to applying before being required to fill out the application.
- Continued expansion of online recruitment efforts, spearheaded by the mobile-friendly recruitment website: www.joinadc.com; along with using Facebook, LinkedIn, Instagram and other websites for geo-targeted advertisements.
- Further expanded the use of Regional Correctional Officer Training Academies. A Regional Academy is one that takes place at a specific prison location, instead of at the Correctional Officer Training Academy (COTA) facility in Tucson. ADCRR recruiters found that some applicants are unable or unwilling to commit to training in Tucson, so regional academies allow the agency to on-board staff it otherwise would not be able to hire. The goal is to hold 15 Regional Academies during CY20. These occur simultaneously with COTA and do not replace the recurring training program cycle at that facility.
- Cultivated the applicant pipeline, including expanded outreach into local high schools, due to the recent rule change that allows ADCRR to hire COs at age 18 (previously age 21 was required). Recently, 28% of COTA classes were hires from the age range of 18-20, so this demographic will be targeted to help increase staffing levels.
- Responded to and acted upon feedback from staff, which is received via the Director's link or outreach from the work group on Correctional Officer Retention.

Conclusion:

Staff safety is my number one priority. Filling vacant correctional officer positions and reducing reliance on overtime is critical to improving officer safety. ADCRR is focused on maximizing existing resources to increase hiring and retain correctional officers. I appreciate your interest in this most vital public safety concern.

As always, if I can provide additional information, please do not hesitate to contact me.

The Honorable Regina E. Cobb
February 28, 2020
Page 7

Sincerely,

David Shinn
Director

cc: The Honorable David M. Gowan, Vice-Chairman, Joint Legislative Budget Committee
        Matthew Gress, Director, Governor's Office of Strategic Planning and Budgeting
        Richard Stavneak, Director, Joint Legislative Budget Committee
        Ryan Vergara, Budget Manager, Governor's Office of Strategic Planning and Budgeting
        Geoffrey Paulsen, Senior Fiscal Analyst, Joint Legislative Budget Committee

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DATE: April 22, 2020

TO: Members of the Joint Legislative Budget Committee

FROM: Geoffrey Paulsen, Senior Fiscal Analyst

SUBJECT: Arizona Department of Corrections - Review of FY 2020 Proposed Bed Capacity Changes

Request

Pursuant to an FY 2020 General Appropriation Act footnote, the Arizona Department of Corrections (ADC) previously submitted for Committee review its report detailing proposed bed capacity changes in FY 2020. The Committee favorably reviewed the plan at its September JLBC meeting, and favorably reviewed a revised plan at its December JLBC meeting. ADC is now requesting the Committee review further revised FY 2020 changes.

Committee Options

The Committee has at least the following 2 options:

1. A favorable review of the report.

2. An unfavorable review of the report.

Key Points
1) The Committee favorably reviewed ADC's FY 2019 Bed Capacity Report in September 2019, and favorably reviewed a revised plan at the December 2019 meeting.
2) At the December meeting, ADC reported reopening the Papago Unit in Douglas. The Papago Unit has an operating capacity of 340 minimum security beds,
3) ADC planned to utilize 100 of those beds to address a growing female population.
4) ADC now proposes to utilize the remaining 240 beds in the Papago Unit to manage the impacts of the coronavirus.

(Continued)

Analysis

Apart from any legislative changes, ADC may alter its bed capacity during the year. The department can establish or decommission beds and has flexibility to shift beds between inmate classifications. To better track the department's revisions, an FY 2020 General Appropriation Act footnote required ADC to submit bed capacity data for FY 2019, explain any adjustments since FY 2018, and provide projections for FY 2020. ADC submitted its original plan in August 2019 and the plan was favorably reviewed by the Committee at the September meeting. The same General Appropriation Act footnote also requires ADC to submit a revised plan for review if ADC plans to open or close additional state-operated permanent prison beds.

ADC submitted a revised plan in December 2019 proposing to reopen the Papago Unit in Douglas. The Papago Unit is a converted motel apart from the state prison facility with an operating capacity of 250 permanent beds and 90 temporary beds. ADC proposed to utilize 100 minimum security beds to address a growing female population.

ADC now proposes to utilize the remaining 240 minimum security beds at the Papago Unit to manage the population and inhibit the spread of the coronavirus. ADC reports that it does not plan to move potentially infected female inmates to the Papago Unit; the additional beds will provide the department with additional bed flexibility.

As of April 20, ADC reports that 148 total inmates have been tested for the coronavirus. Of those tested, 114 were negative, 28 were positive and 6 were still pending.

GP:kp

Arizona Department of Corrections Rehabilitation and Reentry

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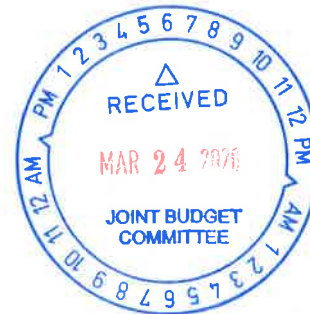GOVERNOR

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DAVID SHINN
DIRECTOR

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March 24, 2020

The Honorable David M. Gowan
Chairman, Joint Legislative Budget Committee
Arizona State Senate
1700 West Washington
Phoenix, AZ 85007

The Honorable Regina E. Cobb
Vice-Chairman, Joint Committee on Capital Review
Arizona House of Representatives
1700 West Washington
Phoenix, AZ 85007

RE: Bed Capacity Report Update

Dear Senator Gowan and Representative Cobb:

On July 31, 2019, the Arizona Department of Corrections Rehabilitation and Reentry (ADCRR) submitted the Bed Capacity Report for review by the Joint Legislative Budget Committee (JLBC). JLBC gave a favorable review of the Bed Capacity Report at its September 25, 2019 meeting.

On November 22, 2019, ADCRR provided a Bed Capacity Report update to reactivate 100 of the 340 beds at the ASPC-Douglas Papago Unit. JLBC gave a favorable review of the Bed Capacity Report update at its December 11, 2019 meeting.
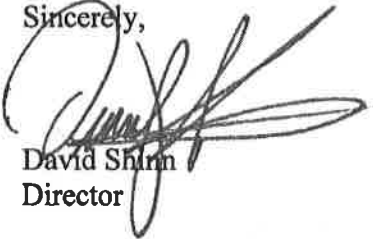
Pursuant to Laws 2019, 1st Regular Session, Chapter 263 (HB 2747), Section 24 ADC is providing another update to reactivate the remaining 240 beds as ASPC-Douglas Papago Unit.

The unit has a total of 340 minimum custody beds (250 rated and 90 temporary). The remaining 240 beds will provide additional capacity to effectively and safely manage the inmate population as part of ADCRR's bed, population and unit management strategies to inhibit the spread of COVID-19.

As always, if I can provide additional information, please do not hesitate to contact me.

Sincerely,

David Shinn
Director

cc: The Honorable Regina E. Cobb, Vice-Chairman, Joint Legislative Budget Committee
        Matthew Gress, Director, Governor's Office of Strategic Planning and Budgeting
        Richard Stavneak, Director, Joint Legislative Budget Committee
        Ryan Vergara, Budget Manager, Governor's Office of Strategic Planning and Budgeting
        Geoffrey Paulsen, Senior Fiscal Analyst, Joint Legislative Budget Committee

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DATE: April 22, 2020

TO: Members of the Joint Legislative Budget Committee

FROM: Alexis Pagel, Fiscal Analyst

SUBJECT: Department of Economic Security - Review of Developmental Disabilities Line Item Transfers

Request

Pursuant to an FY 2020 General Appropriation Act footnote, before transferring any funds into or out of certain Division of Developmental Disabilities (DDD) line items, the Department of Economic Security (DES) must submit a report for review by the Joint Legislative Budget Committee (JLBC).

DES requests Committee review of an FY 2020 transfer of $5,100,000 of Long Term Care System monies out of the DDD Administration line item to the DDD Premium Tax line item.

Committee Options

The Committee has at least the following 2 options:

1.   A favorable review of the request.

2.   An unfavorable review of the request.

Key Points
1) DES is requesting a transfer of $5.1 million into DDD Premium Tax for a FY 2020 adjustment to reflect actual costs.
2) The transfers would be financed by a decrease of $(5.1) million from DDD Administration.
3) DES has not requested any other transfers for FY 2020.

(Continued)

Analysis

As a result of DES moving significant funding out of service lines into administration and case management in previous years, the FY 2020 budget continues a footnote requiring Committee review of any funding being transferred in or out of the DDD Operating Budget line and the Case Management lines to provide oversight if the department proposes to increase or decrease administrative resources.

DES plans to transfer $(5.1) million of Long Term Care System Fund monies out of the DDD Administration line item in FY 2020. The transfer will include a corresponding increase of $5.1 million in DDD's Premium Tax line item. DES reports that the transfer is required to avoid a shortfall in the DDD Premium Tax line item and ensure that DES is able to address additional costs should Arizona Long Term Care System (ALTCS) or Targeted Case Management (TCM) caseloads rise above projected levels.

AP:kp

Douglas A. Ducey
Governor

Cara M. Christ, MD, MS
Interim Director

MAR 1 7 2020

The Honorable Regina E. Cobb
Chairman, Joint Legislative Budget Committee
Arizona State House of Representatives
1700 West Washington Street
Phoenix, Arizona 85007

The Honorable David Gowan
Vice Chairman, Joint Legislative Budget Committee
Arizona State Senate
1700 West Washington Street
Phoenix, Arizona 85007

Dear Representative Cobb and Senator Gowan:

The Arizona Department of Economic Security (Department) requests to be placed on the next Joint Legislative Budget Committee (JLBC) agenda for review of appropriation transfer plans for the Division of Developmental Disabilities (DDD) as required by Laws 2019, First Regular Session, Chapter 263, Section 31:

> *Before transferring any monies in or out of the case management - Medicaid, case management - state-only, and DDD administration line items, the department of economic security shall submit a report for review by the joint legislative budget committee.*

The Department requests to transfer Long Term Care System Fund - Federal Match appropriation authority out of the DDD Administration Special Line Item (SLI) into the DDD Premium Tax SLI to cover an appropriation shortfall in this line for Fiscal Year (FY) 2020.

The Arizona Long Term Care System (ALTCS) and Targeted Case Management (TCM) programs both experience annual growth in members, which then increases the required premium tax payment made to the Arizona Department of Insurance. Pursuant to A.R.S. § 36-2905, the Department is required to pay a two percent tax on all capitation payments received from the Arizona Health Care Cost Containment System.

The Department anticipates that it will begin experiencing shortfalls in appropriation authority within the Premium Tax SLI before the end of FY 2020. The current appropriation authority for Premium Tax is less than two percent of the combined total ALTCS and TCM authority, resulting in a structural shortfall. When this occurs, the Department will not be able to use the capitation payments it receives to pay the premium tax bill. The below table outlines projected expenditures compared to the appropriated levels within this SLI for FY 2020:

FY 2020 Premium Tax Expenditures vs Appropriation Authority		
Special Line Item	Fund Source	Appropriation Shortfall
DE20A – DDD Administration	LTCSF (FED)	(5,100,000)
DE20B – DDD Premium Tax	LTCSF (FED)	5,100,000

The Honorable Regina E. Cobb
The Honorable David Gowan
Page 2

An appropriation transfer of $5,100,000 of Long Term Care System Fund - Federal Match from the DDD Administration to Premium Tax SLI will allow the Department to avoid a shortfall in the Premium Tax SLI and ensure the Department's ability to address additional costs in the event that caseloads rise further above anticipated levels.

If you have any questions, please contact Kathy Ber, Director of Legislative Services, at (602) 542-4669.

Sincerely,

Cara M. Christ, MD
Interim Director

cc: Karen Fann, President, Arizona State Senate
      Rusty Bowers, Speaker, Arizona House of Representatives
      Richard Stavneak, Director, Joint Legislative Budget Committee
      Matthew Gress, Director, Governor's Office of Strategic Planning and Budgeting
      Members of the Joint Legislative Budget Committee
      Holly Henley, Director, Arizona State Library, Archives and Public Records

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DATE: April 22, 2020

TO: Members of the Joint Legislative Budget Committee

FROM: Lydia Chew, Fiscal Analyst

SUBJECT: Department of Education - Review of AIMS Science Contract Renewal

Request

Pursuant to A.R.S. § 15-741.03, the Arizona Department of Education (ADE) requests Committee review of its contract renewal for the statewide assessment in science.

Committee Options

The Committee has at least the following 2 options:

1. A favorable review of the request.

2. An unfavorable review of the request.

Key Points

1) Statute requires ADE to seek JLBC review of contract renewals for the statewide assessment. The AIMS Science Assessment contract expired on April 3, 2020.
2) ADE extended the current AIMS Science Assessment contract for 1 more year (through FY 2021).
3) Costs in FY 2021 will increase by $0.98 per student, for a total cost increase of $310,400. Total AIMS Science Assessment costs will be $2.4 million in FY 2021.
4) Costs have increased due to the inclusion of field test items in preparation for the new AzSCI Assessment.
5) ADE will cover the cost increase within its existing testing budget.

(Continued)

Analysis

A.R.S. § 15-741 allows the State Board of Education to administer statewide assessments in science, though students may not be required to meet or exceed the assessment.

A.R.S. § 15-741.03 requires ADE to seek JLBC review to establish or renew a contract for any portion of the statewide assessment. The AIMS Science Assessment contract expired on April 3, 2020. As a result, ADE submitted the contract renewal for Committee review.

<u>AIMS Science Assessment Testing</u>
In the spring of 2021, the AIMS Science Assessment will be administered to students in grades 4, 8, and 10. The AzSCI Full Field Test will also be administered to students in grades 5, 8, and 11. ADE is considering a waiver request for students in grade 8 so that they do not take both assessments.

<u>Estimated AIMS Science Assessment Costs</u>
ADE estimates that AIMS Science Assessment testing will cost approximately $2,412,100 in FY 2021. This cost includes $486,200 for test development, $763,600 for test administration, $307,500 for scoring and reporting, and $854,800 for program management.

In FY 2021, ADE estimates that 273,790 students will take the AIMS Science Assessment at a cost of $8.81 per student. This represents a cost increase of $0.98 per student. Assessment costs are expected to be higher in FY 2021 than in FY 2020 due to the inclusion of field test items in preparation for the new AzSCI Assessment, which will replace the AIMS Science Assessment in FY 2022.

Including the $2.4 million AIMS Science Assessment cost, ADE estimates that its total costs for achievement testing in FY 2021 will reach $28.8 million. By comparison, ADE estimates that it has $31.5 million in total resources to cover achievement testing costs in FY 2021, including $14.3 million from the General Fund, $13.2 million in Proposition 301 funds, and $4.0 million in federal funds. As a result, ADE expects that AIMS Science Assessment costs will be covered within ADE's existing testing budget.

<u>Prior Committee Review</u>
At its meeting on June 18, 2019, the Committee favorably reviewed ADE's request to renew the contract for the statewide assessment, AzMERIT. This contract is now extended through FY 2021. As a result, the Committee does not need to review the AzMERIT contract again until FY 2022.

LC:kp

Arizona Department of Education
Office of Superintendent Kathy Hoffman

March 18, 2020

The Honorable David Gowan
Chairwoman, Joint Legislative Budget Committee
Arizona State House of Representatives
1700 West Washington Street
Phoenix, AZ 85007

Dear Senator Gowan,

The purpose of this letter is to request that one item be included on the agenda for consideration at the next meeting of the Joint Legislative Budget Committee (JLBC) in order to fulfil the statutory requirements as outlined below.

1. A.R.S. 15-741.03, which prohibits the Department of Education from renewing any portion of a statewide assessment contract without JLBC review. The AIMS Science Assessment contract is expiring on April 3, 2020 and requires an additional year of extension. Without renewing this contract the Department will have to issue a Request for Proposals for a new science assessment which is not aligned with the 5-year assessment plan adopted by the State Board of Education.

Please do not hesitate to contact my office with any questions.

Sincerely,

Callie Kozlak
Associate Superintendent, Policy Development and Government Relations
Arizona Department of Education

I.   Spring 2021 Test Administration
  a. AIMS Science Operational Test Administration
      i.   Grades 4, 8, and 10 Online Test administration with Special Paper Versions available.
           1. Online Test Administration
               a. No new item development or refreshment
               b. Three spiraled forms for each grade
               c. Administered through TestNav and managed through PearsonAccess 4.0
           2. Special Paper Version (SPV) Tests
               a. Test administered via SPV form
               b. All SPV tests will be key entered into TestNav SPV Online forms by district personnel for scoring
               c. All SPV materials are available via additional order in PearsonAccess
               d. Regular Paper – 1 form per grade
               e. Large Print – 1 form per grade
               f. Braille - 1 form per grade
      ii. Ancillaries
           1. Test Administrator Directions (TAD) – minor edits to update covers, admin dates and other administrative changes.
           2. Test Coordinator Manual – minor edits to update covers, admin dates and other administrative changes
           3. Practice Tests and Tutorials – No changes. Current AIMS Science Practice Tests and Tutorials to be rolled over
      iii. Test Administration window
           1. Four week test window beginning in late March
      iv. Reporting
           1. State Reporting
               a. Preliminary Research Student Data File
               b. Final State Student Data File
               c. Response Change Report (PDF and .txt file)
           2. District Reporting
               a. AIMS Science Confidential Roster Report with Summary (PDF only)
               b. AIMS Science Summary Concept Performance Report (PDF only)
               c. AIMS Science Student Report (2 printed copies, packed by school shipped to district)

  b. AzSCI Full Field Test
      i.   Test Development Activities
           1. Estimated item development plan by item type

AzSCI Contract Year 4 Scope of Work

	Standalone Items	Item Sets	3-Item Sets/Form	Total per Form	Total Development	Items and Overage
Stimuli	3*	1	3	3	21	21
MC/MR	1	2	8	9	126	139
TEI	1	2	6	7	98	108
EBSR	1	1	3	4	56	62
Total	3	5	17	20	280	308
14 Forms/Grade	42		238			
*Each independent has an associated stimulus.				Total Development (all grades): 924		

2. Item/Test Development Process – Online Forms
   a. Item Phenomena and Outline Review
   b. Item review in ABBI (2 rounds)
   c. Forms Review in ABBI (2 rounds)
   d. Forms Review in TestNav (3 rounds)
3. Paper Test Books Development Activities
   a. Regular Print PDF forms review (3 rounds)
   b. Large Print PDF forms review (2 rounds, work begins after approval of regular print forms)
   c. Braille
      i. Braille Memo provided to ADE
      ii. Braille Proofs provided to ADE for Braille Review Committee
      iii. Pearson applies edits based on Braille Review feedback
      iv. Braille Review and Approval
4. Committee Meetings
   a. Pearson will cover the cost of meeting space, meeting meals, materials, and mileage for all committee members
   b. Pearson will provide lodging for committee members in travel status (traveling 50 or more miles one way)
   c. Pearson will pay a stipend of $135 to eligible participants or to LEAs for substitute reimbursement
   d. Item Content and Bias Review Committee
      i. Two sessions:
         1. July 6-10, 2020
         2. July 13-17, 2020
   e. Test Blueprint Meeting: July 17, 2020
   f. Community Review Meeting: August 13, 2020 (proposed date)
   g. Item Specification Review: September 2020
   h. Braille Review Committees – 2 Reviewers
      i. Initial Braille Review meeting to review entire forms
      ii. Follow up Braille Review meeting to confirm requested edits.
5. Ancillary Materials
   a. Test Administration Directions
      i. 1 form for grades
      ii. 3 rounds of review
   b. Test Coordinators Manual

          i.   1 form

         ii.   3 rounds of review

   c.   Critical Dates Calendar/DTC Checklist

          i.   3 rounds of review

   d.   PearsonAccess User's Guide

          i.   3 Rounds of Review

6. Sample Tests
   a. Fall 2020 repurpose the Spring 2020 Prototype Field Test forms into Sample Tests for each grade. The Sample Test Forms will be provided online via TestNav and in PDF format. The PDF version of the Sample Test will be based on the SPV version of the Spring 2020 Prototype Field Test.
   b. Sample Test- Test Administration Directions
      i. One form for all grades

ii. Grades 5, 8, and 11 Test Administration
   1. Stand-alone field test administration
      a. Four-week test window that is to be determined
   2. Online Test Administration
      a. Test administered through TestNav
   3. Special Paper Version (SPV) Test Administration
      a. Test administered via SPV form
      b. All SPV tests will be key entered into TestNav SPV Online forms by district personnel for scoring
      c. All SPV materials are available via additional order in PearsonAccess
      d. Regular Paper – 1 form per grade
      e. Large Print – 1 form per grade
      f. Braille - 1 form per grade

Offeror:

COMPLETE THIS SHEET IF SUBMITTING A BID FOR AIMS Science
Any exceptions or deviations from this cost form may impact Offeror's susceptibility of award.
Contract costs if awarded only AIMS Science
Total All Inclusive Cost Per Student and Total Cost
(Based on 86,000 students per grade for AIMS Science in Grade 4, 8, and HS; 2% annual growth in student population)

Year 1			Year 2			Year 3		
Number of Students Tested	Cost Per Student	Total Cost	Number of Students Tested	Cost Per Student	Total Cost	Number of Students Tested	Cost Per Student	Total Cost
258,000	4.83	1,246,140.00	263,160	6.20	1,631,592.00	268,420	7.83	2,101,728.60

Year 4			Year 5			Year 6			Year 7		
Number of Students Tested	Cost Per Student	Total Cost	Number of Students Tested	Cost Per Student	Total Cost	Number of Students Tested	Cost Per Student	Total Cost	Number of Students Tested	Cost Per Student	Total Cost
273,790	8.81	2,412,089.90	279,265	7.89	2,203,400.85	284,850	7.53	2,144,920.50	290,550	7.14	2,074,527.00

Estimated Expenses by Major Task Areas
Evaluation of cost will be based on the total all inclusive cost per student and total cost as presented above. Itemize the following total estimated expenses by major task.

Task Area	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7
Test Development	214,975.94	530,352.45	632,076.69	486,178.19	408,007.35	399,805.83	310,797.89
Test Administration	607,336.77	562,887.27	660,707.82	763,562.61	728,223.40	698,695.87	690,736.94
Scoring, Reporting, Technical/Pschometrics	54,751.05	49,041.89	114,985.82	307,504.36	185,321.02	181,717.43	186,332.06
Program Management	369,076.24	489,310.39	693,958.27	854,844.74	881,849.08	864,701.37	886,660.11
Total annual cost:	1,246,140.00	1,631,592.00	2,101,728.60	2,412,089.90	2,203,400.85	2,144,920.50	2,074,527.00
	must match D11	must match G11	must match J11	must match D15	must match G15	must match J15	must match M15

STATE OF ARIZONA

Joint Legislative Budget Committee

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BEN TOMA

DATE: April 22, 2020

TO: Members of the Joint Legislative Budget Committee

FROM: Jordan Johnston, Fiscal Analyst

SUBJECT: Arizona Department of Transportation - Review of Motor Vehicle Modernization (MvM) Project Annual Progress Report

Request

Pursuant to an FY 2020 General Appropriation Act footnote, the Arizona Department of Transportation (ADOT) requests Committee review of its annual progress report on the Motor Vehicle Modernization (MvM) Project.

Additionally, pursuant to the same FY 2020 General Appropriation Act footnote, ADOT submitted a report on its proposal for how to spend the ADOT-dedicated portion of the ServiceArizona vendor's fee retention upon completion of the MvM Project in FY 2020.

Committee Options

The Committee has at least the following 2 options:

1. A favorable review of the report.

2. An unfavorable review of the report.

Under either option, the Committee may also consider the following provision:

A. On or before July 31, 2020, ADOT shall submit to the Joint Legislative Budget Committee a report detailing revenue estimates for FY 2019, FY 2020, and FY 2021 for the ServiceArizona vendor's fee retention. This report shall categorize the revenue as ServiceArizona retention, AZ MVD Now retention or any other retention and detail the revenue according to where it is deposited, including the ADOT Technology Reserve Fund, ADOT Portal Enhancement Fund, or any other ServiceArizona vendor accounts. The same report shall be submitted on July 31, 2021 for FY 2020 – FY 2022 revenue estimates.

(Continued)

Key Points

1) ADOT's MvM Project is an 8-year, $63.1 million MVD information technology (IT) update.
2) The project was funded through a ServiceArizona transaction fees agreement.
3) The project is scheduled to be completed by June 30, 2020.
4) The annual third-party review assesses the project as having low-medium risk.
5) While the core project is scheduled to be complete in June 2020, ADOT will continue to use ServiceArizona retention fees to enhance the project.
6) ADOT will expend at least $3.5 million of ServiceArizona retention fees beyond June 2020. Based on ADOT's plans, this amount could significantly exceed $3.5 million.
7) We recommend a provision requiring ADOT to report on its "fee retention" revenue.

Analysis

Background

The MvM Project is a $63.1 million custom software development project designed to enhance ADOT's Motor Vehicle Division (MVD) vehicle registration, driver licensing, finance, partner licensing and contracting, and other customer and business services. The department informed the Information Technology Authorization Committee (ITAC) in their meeting on February 19, 2020 they plan to increase the project budget from $57.6 million to $63.1 million. This project budget increase will be funded using the ServiceArizona retention fee. The department plans to use the additional monies to add driver's license security measures to address recent issues with driver's license fraud.

Funding Structure

The project is funded through an agreement with the vendor for ServiceArizona, the state's vehicle registration renewal website. Under A.R.S. § 28-5101G, compensation for the ServiceArizona vendor is determined by a written agreement between the vendor and ADOT. The current agreement states that the vendor retains the standard authorized third-party portion of each transaction but keeps 45% of such collections as compensation and deposits 55% in an outside bank account to be spent at the direction of ADOT. ADOT is currently directing these monies to the MvM Project.

The MvM monies are non-appropriated and the project is scheduled for completion in FY 2020. However, the statutory provision allowing the ServiceArizona vendor's compensation to be negotiated into a written agreement continues after the completion of the project. At its June 2019 meeting, the Committee favorably reviewed the FY 2019 report with a provision that required ADOT to report by July 31, 2019 a report detailing revenue estimates for FY 2019, FY 2020, and FY 2021 for the ServiceArizona vendor's fee retention. ADOT did not submit this report.

The Committee may consider a provision once again requiring ADOT to report on its fee retention revenue. The July 2020 and 2021 reports will help us determine ADOT's proper level of State Highway Fund monies for operations in FY 2021 and FY 2022.

As a reminder from the June 2019 meeting, under ADOT's modified agreement with the vendor, for the 18 months following the MvM solution implementation, the ServiceArizona vendor will keep 30% of AZ MVD Now retention for its own use and will deposit the remaining 70% into the ADOT Technology Reserve Fund, an ADOT-dedicated ServiceArizona vendor account for ADOT IT projects.

From the end of the 18-month period following implementation, the ServiceArizona vendor will keep 15% of AZ MVD Now retention for its own use and deposit the remaining 85% into the ADOT Technology Reserve Fund. The vendor will continue to keep 45% of ServiceArizona retention and deposit 55% into the ADOT Technology Reserve Fund for the length of the modified agreement (December 31, 2021), consistent with the original agreement.

The agreement also eliminates the ADOT-dedicated ServiceArizona vendor account, the ADOT Portal Enhancement Fund, after the MvM solution is implemented. This account receives 3% off the top of all the ServiceArizona vendor's retention and was used specifically for ServiceArizona enhancements. With the account eliminated, monies that otherwise would have gone to the account now flow to the ServiceArizona vendor portion of retention and the ADOT Technology Reserve Fund.

Third-Party Review
A General Appropriation Act footnote requires ADOT to contract with an independent third-party consultant to annually evaluate and assess the MvM Project. Gartner Consulting (Gartner), the contracted consultant, presented its FY 2020 assessment in early March 2020.

Gartner's methodology identifies areas of risk and early signs of potential failure in IT enterprise projects during 4 stages: strategy, planning, execution, and product support. The report assesses the project as a well-planned and executed initiative, and evaluates it as having low-medium risk. Gartner found no high-risk areas, 5 medium-risk areas, and 13 low-risk areas. *Table 1* below delineates the risk assessments over the fiscal years since the inception of the MvM project. As shown in the table, the number of risk areas has declined as the project has moved toward completion.

Table 1					
Risk Rating Summary for Assessments					
	Initial	FY 2017	FY 2018	FY 2019	FY 2020
Overall Risk Rating	Medium	Low-Medium	Low-Medium	Low-Medium	Low-Medium
High-Risk Areas	0	0	1	0	0
Medium-Risk Areas	14	11	6	6	5
Low-Risk Areas	10	25	35	27	13

Report on Spending after MvM Project Completion
The same General Appropriation Act footnote further requires ADOT to submit a proposal for how to spend the ADOT-dedicated portion of the ServiceArizona vendor's fee retention upon completion of the MvM Project in FY 2020. ADOT has identified 4 different areas of spending for their portion of the ServiceArizona vendor's fee retention: maintenance and operations of the MvM solution and mainframe processing and support, stabilization and enhancements, continued interface modernization, and long-term enhancements and opportunities.

Maintenance and Operations of the MvM Solution and Mainframe Processing and Support
The department stated the mainframe processing and support capability will continue to be funded from ADOT's State Highway Fund operating budget. The ongoing maintenance and operations cost for the MvM solution is anticipated to be about $3 million annually. The department plans to fund a portion (of an unspecified amount) of the $3 million MvM solution maintenance and operations with their portion of the ServiceArizona vendor's fee retention until the mainframe is no longer needed.

(Continued)

Stabilization and Enhancements
Over the 6 months following the rollout of the first major update, ADOT stated they expect to spend about $3.5 million on operational stabilization and enhancement activities using the ServiceArizona retention fee. In addition, the department indicated they will look at larger enhancements that will require a Project Investment Justification (PIJ); the cost for these larger enhancements are not developed at this time.

Continued Interface Modernization
ADOT plans to continue to spend a portion of the ServiceArizona vendor's fee retention on interface modernization, which is an area of risk identified by the third-party consulting company (Gartner). The department did not specify how much the interface modernization would cost. The department stated this modernization will not be completed by the end of the project in June 2020, which means ADOT will continue to operate some portions of the old system alongside the new one.

Long-Term Enhancements and Opportunities
The department plans to continue enhancements to the MvM solution beyond the completion of the project using the ServiceArizona retention fee. ADOT did not specify how much the long-term enhancements would cost. The department stated that given the complete redesign of the MVD's system, many enhancements will be needed that the department will not be aware of until the new system is in use. At this point in time, ADOT has identified 8-10 smaller systems or sub-systems that must be prioritized and proposed for modernization. These include systems for motor carrier management, aircraft registration, commercial permitting, in-office kiosks and self-service device expansion, and the development of new online services of MAX to include ServiceArizona business suite applications used by commercial organizations to access MVD services.

JJ:kp

ADOT

Motor Vehicle Division

One ADOT In service to all

Douglas A. Ducey, Governor
John S. Halikowski, Director
Eric R. Jorgensen, Division Director

March 20, 2020

David M. Gowan
Chairman, Joint Legislative Budget Committee
Arizona Senate
1700 West Washington
Phoenix, AZ 85007

RECEIVED
MAR 2 0 2020
JOINT BUDGET COMMITTEE

Subject: Follow-up to February report on the Independent Assessment of Motor Vehicle Division Motor Vehicle Modernization Project

A footnote in Laws 2019, Chapter 263 requires the Department of Transportation (ADOT) Motor Vehicle Division (MVD) to contract with an independent third-party consultant for the duration of the MVD Legacy System Replacement project. The project is now known as the Motor Vehicle Modernization (MvM) project. The Chapter 263 footnote has three requirements:

1. A progress report evaluating and assessing the project's success in meeting and incorporating the tenets of the Project Investment Justification (PIJ).
2. An assessment of any potential project deficiencies and the incorporation of the Auditor General's April 2015 recommendations.
3. Updated plans for the spending for the department-dedicated portion of the authorized third-party electronic service partner's fee retention on completion of the MvM project in fiscal year 2020, including any amounts for stabilization, maintenance, ongoing operations, support and enhancements for the MvM solution, maintenance of legacy mainframe processing and support capability, and other system projects outside the scope of the MvM project.

The third-party consultant's report on the overall status of the project identifies five suggested focus areas where risk may exist for the project. These risks are similar to those identified in prior years, and they are identified as either proactively managed or manageable.

The project's success in meeting PIJ goals and the incorporation of the Auditor General's April 2015 recommendations has not changed since our 2017 report. This report is also attached.

The JLBC also asked ADOT to report on how it proposes to spend the ADOT-dedicated portion of the vendor's fee retention upon completion of the MvM project in fiscal year 2020. The MvM solution will go live on April 20, 2020, and the project will continue until June 30, 2020, when the first major update to the system will be rolled out. Beyond the completion of the MvM project in 2020, ADOT anticipates various needs for the ADOT-dedicated portion of the vendor's fee retention once the MvM project is complete.

Maintenance and Operations of the MvM Solution and Mainframe Processing and Support
Mainframe processing and support capability will continue to be funded from ADOT's Highway Fund operating budget. ADOT plans for these costs to decline significantly once the MvM solution is deployed. Maintenance and operations expenditures for the MvM solution are expected to be about $3 million per year, which is close to the amount currently budgeted for supporting the existing system. Ideally all of these costs would be covered by the Highway Fund budget as mainframe support costs decline; however, we do anticipate that some mainframe support costs will remain, and expect that a small portion of the MvM solution maintenance and operations will need to continue to be funded from the department-dedicated portion of the retention fees until the mainframe is no longer needed.

Stabilization and Enhancements
Over the six months following the rollout of that first major update, ADOT also expects to spend approximately $3.5 million on operational stabilization and enhancement activities. Beyond that timeframe, ADOT will be looking at larger enhancements that will require Project Investment Justifications and further planning activities, and the costs for these potential activities are not developed at this time.

Continued Interface Modernization
While we have plans to modernize all interfaces, we recognize that this is an area of risk and that all interfaces will not be modernized by the end of the project. As a result and as noted above, we anticipate that we will need to maintain some mainframe processing and support capability, even once the MvM project is complete and the MAX system is deployed using a modern, cloud-based architecture. This means that until those interfaces are modernized, ADOT will need to continue to operate some portions of the old system alongside the new one.

Long Term Enhancements and Opportunities
This project is a complete redesign of MVD's system, and many enhancements will need to be made that the division is not aware of yet, and ultimately cannot be until the new system is in use. For example, the new system will go live with limited electronic title functionality and capacity and growing that functionality over time will take continued investment of resources.

The MVD modernization project was intentionally architected to support expansion and extension. Since the underlying Intellectual Property is state owned, future activities can eliminate siloed, disparate systems from multiple external vendors providing efficiencies, cost savings and other improvements.

In addition to the items noted above, there are various other ADOT systems that are in need of modernization. These include systems for motor carrier management, aircraft registration, commercial permitting as well as initiatives like in-office kiosks and self-service device expansion and the development and delivery of new online services and the expansion of MAX to include Service Arizona business suite applications used by commercial organizations to access MVD services.

At this point, ADOT has identified 8-10 smaller systems or sub-systems that must be prioritized and proposed for modernization. ADOT plans to set aside whatever remaining ADOT-dedicated vendor retention fees are available for these modernization projects. The amount available for these projects will depend on customer adoption rates of services provided through AZMVDNow.gov versus the traditional ServiceArizona.com site, which will continue to support a handful of customer transactions outside of the new system.

Sincerely,

Eric Jorgensen
Director, Motor Vehicle Division
Arizona Department of Transportation

Cc: The Honorable Regina E. Cobb, Vice-Chairman, JLBC
        Matthew Gress, Director, Office of Strategic Planning and Budgeting
        Richard Stavneak, JLBC Director
        Jordan Johnston, JLBC Analyst
        Zachary Harris, OSPB Analyst

Go-Live Readiness Assessment Services for Motor Vehicle Modernization (MvM) Project

Engagement: 330062742
March 2, 2020

ADOT

Gartner.

Table of Contents

Gartner

Executive Summary

Gartner

Assessment Background and Objectives

- The Arizona Department of Transportation (ADOT) Motor Vehicle Division (MVD) provides services that impact nearly every Arizona citizen as well as thousands of organizations, including:
    - Vehicle registration and titling
    - Driver licensing
    - Motor carrier regulation
    - Dealer services and licensing

- To help improve delivery of these services, the MVD has undertaken a multi-year Motor Vehicle Modernization (MvM) project to replace its core legacy system with a more contemporary, secure, user friendly and innovative custom solution (MAX). The initial release of MAX is scheduled to go-live in April 2020, followed by a second release in June 2020. Subsequent releases are anticipated to continually improve MAX functionality and performance.

- To meet oversight requirements and recommendations of the State of Arizona Information Technology Authorization Committee (ITAC) and the Arizona Strategic Enterprise Technology organization (ADOA-ASET), ADOT has engaged Gartner to provide Independent Assessment (IA) services of the MvM Project.

- The State's objective in conducting these reviews is to objectively determine if the MAX development project is on track to be completed within the estimated schedule and cost, and that the delivered system will meet the needs of ADOT/MVD employees and customers. A key outcome of these IA services is the identification and quantification of issues and risks affecting the MvM Project.

Gartner

Independent Assessment Background and Objectives (continued)

- Gartner's Independent Assessments for the MvM Project also provides an additional source of oversight for stakeholders, validating that work is progressing as planned. Results of the Independent Assessment will be communicated to ITAC, ADOA-ASET and related stakeholders.

- Gartner's engagement activities are designed to provide an objective, third-party assessment of project management and control practices for the MvM Project. Our assessment activities do not focus on software code, development practices, technical approaches, or other software quality practices.

- This report summarizes results from Gartner's forth recurring Independent Assessment of the MvM Project. Previous assessments include:
    - Initial Baseline Assessment, Final Report submitted December 2015
    - First Recurring Assessment, Final Report submitted November 2016
    - Second Recurring Assessment, Final Report submitted January 2018
    - Third Recurring Assessment, Final Report submitted December 2018

Gartner

Assessment Focus Areas and Approach

This focus of this assessment of the MvM project is to evaluate the planned April 2020 Go-Live Readiness for Release 1 of the MAX solution, with a focus on the following potential risk areas:

- Executive Support
- Deployment Planning
- Training
- Communication
- Testing

- Data Conversion/Migration
- Integration/Interfaces
- Technical Infrastructure
- Operational Transition Planning

Gartner's approach in conducting this assessment consists of the following activities:

- Review relevant project artifacts, work products and documentation.
- Conduct onsite fact-finding interviews with the project team and selected key stakeholders.
- Develop draft MAX Go-Live Readiness Assessment Findings and Recommendations Report and validate with MvM Project and MVD Executive Leadership.
- Present final version of the MAX Go-Live Readiness Assessment Findings and Recommendations Report to project leadership and selected stakeholders.

Gartner

Assessment Focus Areas and Approach
MvM Project Interviews

Gartner interviewed the following ADOT and MvM project personnel as part of this assessment:

Project Personnel	Date of Interview
Eric Jorgensen – MVD Director and MvM Project Sponsor	Wednesday, January 15, 2020
Steve West – CIO, ADOT	Thursday, January 16, 2020
David Knigge – MvM Project Director	Wednesday, January 15, 2020 & Friday, January 17, 2020
Jeff Kearns – MvM Project Team Foundation Server Lead	Thursday, January 16, 2020
Heather Franek – MvM Project Business Product Owner	Wednesday, January 15, 2020
Sandy Dolson– MvM Project Organizational Change Management/Training Lead	Wednesday, January 15, 2020
Craig Stender – MvM Project Functional Manager	Friday, January 17, 2020
Stefano Esposito – MvM Project Technical Manager	Thursday, January 16, 2020
Bronco Briggs – Implementation, Testing, and Conversion Manager	Wednesday, January 15, 2020
Mike Keeling – MvM Project Security Lead/SME	Friday, January 17, 2020
Maureen Otto – MvM Project Solution Architect	Friday, January 17, 2020
Leti Navarro– CSR Lead	Thursday, January 16, 2020
Nancy Lopez– CSR Lead	Thursday, January 16, 2020
Mark Zimmerman – Product Specialist/Finance	Thursday, January 23, 2020
Rashmi Shah - Product Specialist/Finance	Thursday, January 23, 2020

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Assessment Focus Areas and Approach
MvM Project Artifact Review

Gartner also received and reviewed the following supporting documentation:

- MvM Azure Security Center Overview

- Social Security Administration Presentation

- ADOT MvM IT Contingency Plan

- Cutover Weekend Plan (Project Plan)

- MAX CSR Training Participant Guide

- MAX Deployment (Project Plan)

- MAX Disaster Recovery Plan

- MvM Test Case Data and Results

- Direct Customer Max Go-Live

- MvM2 Project List

- eGov Modernization Strategy 2020-02-10

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Assessment Focus Areas and Approach
Risk Assessment Framework and Rating Levels

Gartner applied the risk ratings/definitions shown below in assessing selected risk areas relevant to Go-Live preparedness.

Risk Levels	Risk Rating Definitions
Low	**Green** – Risk area is being managed according to best practices and there is no material impact from this risk area on Project success at this time.
Medium	**Yellow** – Risk area is being managed according to some best practices, but others are missing. There is a potential material impact from this risk area on Project success that needs to be addressed proactively at this time. Recommendations for risk areas assigned this rating are important to ensure optimal Project operation.
High	**Red** – Risk area is in need of best practices mitigation to avoid downstream ramifications. There is a definite material impact from this risk area on Project success if this area is not addressed now. Recommendations for risk areas assigned this rating are essential for mitigating Project risk.
Gray	**Gray** – Risk area was not considered as part of this assessment.

Areas identified as yellow or red in the specific findings will include recommendations for improvement and risk mitigation. Areas identified as green may include recommendations.

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Assessment Focus Areas and Approach
Readiness Assessment Dashboard

1. Strategy	2. Planning	3. Execute	4. Production Support
Origination & Initiation	Planning & Prelim Design	Build/Test/Deploy	Post-Implementation Transition

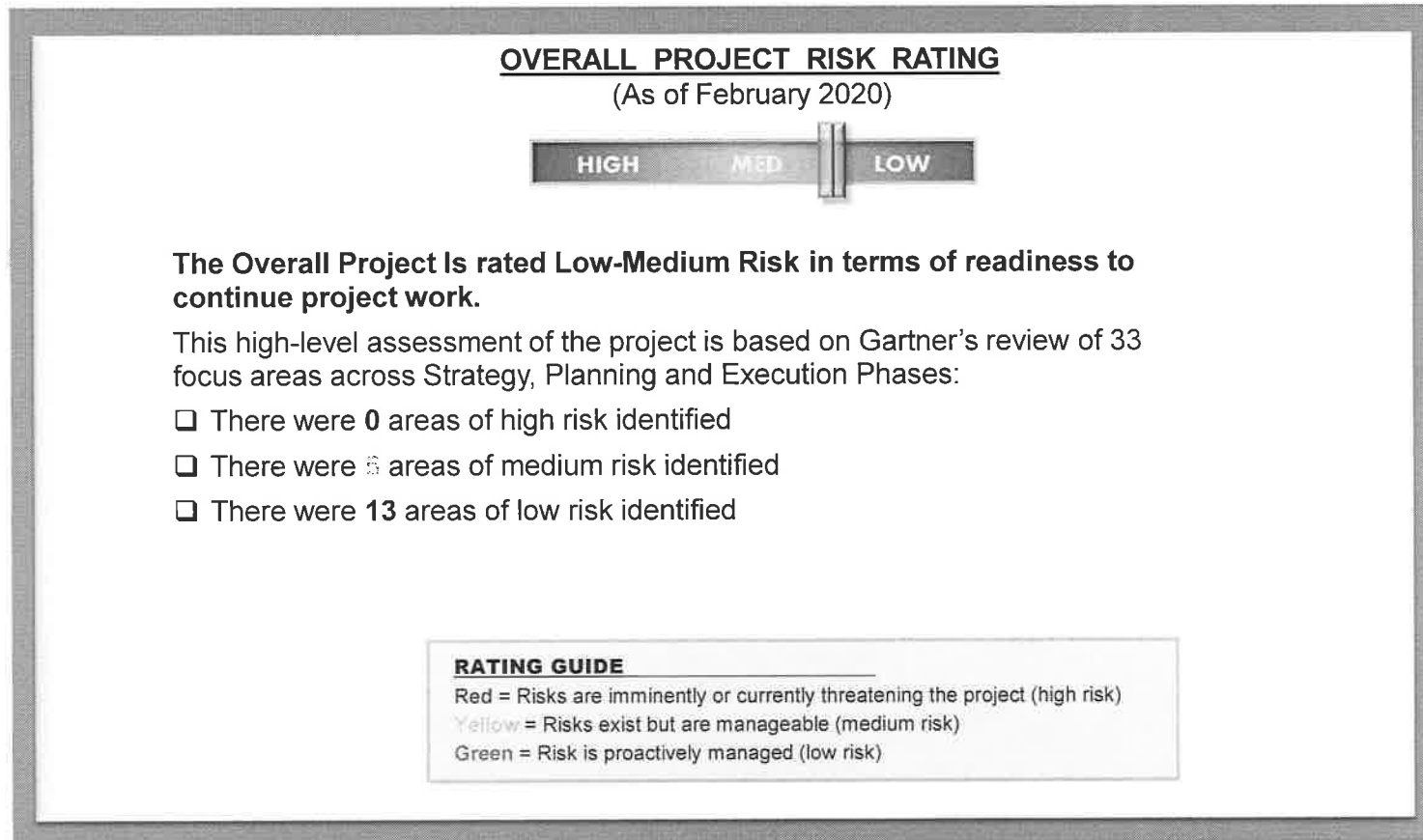| 1. Strategy	2. Planning	3. Execute	4. Production Support
1.1 Program/Project Governance	2.1 Program/Project Governance	3.1 Program/Project Governance	4.1 Governance Transition
1.2 Business Case	2.2 Risk Management	3.2 Risk Management	4.2 Operational Budget Transition
1.3 Risk Mitigation Strategy	2.3 Schedule Management	3.3 Schedule Management	4.3 IT Operations Transition
1.4 Executive Support	2.4 Budget Planning	3.4 Budget Management	4.4 Bus Ops Support Transition
1.5 Scope Definition	2.5 Scope Refinement	3.5 Scope Management	4.5 Vendor Maintenance Support Transiton
1.6 Sourcing Strategy	2.6 Resource Planning	3.6 Resource Management	4.6 Ongoing Business Value Management
1.7 Project Management Capabilities	2.7 Communication Planning	3.7 Communication Management	4.7 Technical Infra Support
1.8 Technology Infra Procurement Strategy	2.8 OCM Planning	3.8 OCM Execution	4.8 Disaster Recovery / Business Continuity Support
	2.9 Vendor Support Planning	3.9 Vendor Implementation Support	4.9 Benefits Harvesting
	2.10 Security Planning	3.10 Requirements Management	
	2.11 Development Planning	3.11 Security Execution	
	2.12 Overall Test Planning	3.12 Development Execution	
	2.13 Data Conversion Planning	3.13 Overall Test Management	
	2.14 Training Strategy & Planning	3.14 Data Conversion Execution	
	2.15 Deployment Planning	3.15 Training Design & Delivery	
	2.16 Integration/Interface Planning	3.16 Deployment Execution	
	2.17 Reporting & BI Planning	3.17 Integration/Interface Implementation	
	2.18 Portal Planning	3.18 Legacy Decommission Exec	
	2.19 Benefit Realization Planning	3.19 Reporting & BI Implementation	
	2.20 Tech Infra & Process Planning	3.20 Benefits Delivery & Tracking	
		3.21 Operational Transition Planning	

Risk Level

- = High
- = Medium
- = Low

Other Status

- = Element not applicable for this assessment

See the Detailed Findings section for Best Practices, Key Findings, and Observations and Recommendations for each assessed risk area.

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Overall Go-Live Readiness Rating

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OVERALL PROJECT RISK RATING
(As of February 2020)

HIGH	MED	LOW

The Overall Project Is rated Low-Medium Risk in terms of readiness to continue project work.

This high-level assessment of the project is based on Gartner's review of 33 focus areas across Strategy, Planning and Execution Phases:

❑ There were **0** areas of high risk identified

❑ There were ☐ areas of medium risk identified

❑ There were **13** areas of low risk identified

RATING GUIDE

Red = Risks are imminently or currently threatening the project (high risk)

Yellow = Risks exist but are manageable (medium risk)

Green = Risk is proactively managed (low risk)

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Key Assessment Findings
Strengths

- All ADOT and MvM team members interviewed as part of this assessment felt they were well-prepared for the original January 2020 Go-Live – and most expressed disappointment that Go-Live was postponed until April 2020.

- The customer database and core infrastructure for the portal has been live for the past two years with initial MAX functionality already deployed to the field offices.

- Communication and involvement in the MvM project by MVD executive staff continues to be responsive and hands on, with a consistent onsite presence. Project team members have direct access to executive leadership, streamlining the decision making process and keeping the project on track.

- On the second Tuesday of each month, MVD field offices close for the morning hours for an "Inservice Day", providing staff the opportunity to work with the MAX system using test data to simulate actual customer transactions and other use cases.

- The MvM team has used the additional time from delaying Go-Live (from January to April 2020) to continue training users and testing the system.

- ADOT is meeting with 42 key external partners (AADA, ADOA and others) to gauge their respective readiness for the new April 20, 2020 Go-Live date and identify and remedy any gaps or issues.

- The use of Microsoft Azure has helped the MvM team to effectively manage many infrastructure needs for the project (e.g., servers, disaster recovery)

- Microsoft has been consulting with members of the MvM team regularly to support its Azure hosting of the MAX solution – including load testing, penetration testing and deployment preparation.

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Key Assessment Findings
Suggested Focus Areas

- Use MvM Project Communications and OCM frameworks to provide regular updates on project status… and assure users and internal stakeholders that ADOT leadership is committed to taking all measures possible to ensure the April 20 Go-Live date is maintained.

- Address key Deployment Planning Items:
  - Update and complete the MAX Deployment and Cutover Weekend project plans
  - Define Go/No-Go criteria
  - Use project communication channels and governance framework to ensure that all roles are assigned and each individual understands his/her responsibility during Go-Live

- Designate a Project Manager who will take the lead in developing and implementing an Operational Transition Plan:
  - Work with ADOT ITG, the MvM Project Team and MVD leadership to draft and negotiate an equitable Plan for MAX
  - Work with all parties to execute the agreed Plan

- Assess the effectiveness of ATP training and the potential impacts on ATP Go-Live Readiness as well as MvM Go-Live support

- Address any interface issues identified in ADOT/MvM project team consultations with the 42 external integration partners

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Detailed Findings, Observations, and Recommendations

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2.7/2.8 & 3.7/3.8: Communication and OCM Planning and Management

Best Practices

- A dedicated organizational change management (OCM) lead with sufficient knowledge and experience to guide the OCM process is assigned to the project.
- An effective OCM plan and process is in place and the OCM team and project team fully understand the change methodology.
- Key personnel (change champions) have been identified for all work streams.
- Communication both about and within the project provide those involved with a proper idea of the nature of the project and realistic expectations.
- The organization's readiness for the project has been assessed and is being addressed through the OCM plan.

Recommendations

- Use MvM Project Communications and OCM frameworks to provide regular updates on project status... and assure users and internal stakeholders that ADOT leadership is committed to taking all measures possible to ensure the April 20 Go-Live date is maintained.

Major Risk Imminent or Present

Manageable Risk

Risk

Key Findings & Observations

- Communication and involvement in the MvM project by MVD executive staff is responsive and hands on. Project team members have direct access to executive leadership, streamlining the decision making process and keeping the project on track.
- MAX Advocates (over 60 MVD staff from field and central offices) and TRAILS Guides (ADOT Finance) continue to serve as change champions for the new system. As super users of the new system, MAX Advocates and TRAILS Guides are well-prepared to support all ADOT users during go-live.
- On the second Tuesday of each month, MVD field offices close for the morning hours for an "Inservice Day", providing staff the opportunity to work with the MAX system using test data to simulate actual customer transactions and other use cases.
- When a field agent is unable, or unsure of how to perform a task in MAX, they can access the following sequence of support options:
  1. Use MVD OneSource – an on-line, "plain English" set of self-help guides on a range of topics.
  2. Contact a local MAX Advocate, or escalate to a MAX Advocate Chat Group
  3. Have the issue/question directed to one of 5 "war rooms" that have been set up to support Go-Live planning and execution.
- Delaying Go-Live past the current April 20, 2020 date may negatively impact user morale and confidence in the project as most MVD staff were reportedly motivated to transition over to the new MAX system and disappointed with the current Go-Live delay. Additionally, may key resources may elect to leave the project if they sense an actual Go-Live will continue to be delayed.

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2.10/3.11: Security Planning and Execution

Best Practices

- Ownership/ accountability being fulfilled.
- Team capabilities/ capacity sufficient.
- Role-mapping activities effective.
- Security changes accomplished with minimal requirements.
- Industry compliance requirements traceability.
- Adherence to enterprise security standards.
- Utilization of enterprise security tools and best practices.

- Security design supports efficient process flows.
- Focused security role testing executed.
- Internal/ external audit involved.
- Knowledge transfer to security administration.
- Cloud-specific security controls implemented (specifically for data).

Recommendations

- No recommendations proposed

Major Risk Imminent or Present

Manageable Risk

Managed Risk

Key Findings & Observations

- Penetration testing conducted in December 2020 on MAX interfaces identified four areas of security risk:
  - Two risk concerns have been accepted (and will be monitored)
  - Two risk areas have been mitigated:
    - Resolving potential data leakage via AAMVA's SSN Verification interface
    - Allowing only authenticated users to approve documents uploaded online by ADOT customers to MAX after a quarantine review limits exposure
- ADOT will be using the Azure Government Security Center to harden the MAX network and secure MAX services as appropriate to meet State and Federal security requirements. Details related to the use of Security Center were provided to Gartner in Mike Keeling's "MAX Azure Security Center Overview" document.
- The US Social Security Administration (SSA) had initial concerns/questions regarding MAX hosting in Azure Government – but, gave verbal approval of SSA's interface to the system after MvM and ADOT staff walked through a presentation/overview of MAX system security ("SSA/DCS Onsite SEQ Review").
- A separate "war room" has been set up and staffed to immediately address any security concerns/issues identified at go live.

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2.12/3.13: Overall Test Planning and Management

Best Practices

- A Testing and Quality Assurance Plan and organizational structure has been developed and implemented for the Project to be leveraged during all testing phases
- Standards and criteria regarding early identification and categorization by degree of severity and prioritization of defects identified during testing have been developed, documented and approved.
- Processes and standards are being used to manage early identification, categorization and prioritization of defects in project deliverables.
- The vendor is utilizing prescribed standards and processes to manage early identification and remediation of defects in project deliverables.

Recommendations

- No recommendations proposed.

Major Risk Imminent or Present

Manageable Risk

Managed RISK

Key Findings & Observations

- All required testing for the MAX system had been completed in preparation for the original January 2020 Release 1 Go-Live date. The team has since used the Go-Live extension to conduct further UAT (for new functions), regression and performance testing for the system. The TRAILS Team will utilize the additional time from the delayed Go-Live to test financial distribution rules.

- Performance testing has been conducted in coordination with monthly In-Service Day exercises since December 2019 using automated processes to simulate transaction volumes that far exceed actual workloads. These stress test results have been positive.

- A group of MAX super users continues to run test scripts as part of on ongoing user acceptance testing (UAT) for both revised and new code. Bugs/issues identified during UAT, as well as those escalated from In-Service Day exercises are logged and managed via a UAT tracker (Google Sheets). Authorized Third Party (ATP) providers were invited to be part of UAT for MAX but this participation is voluntary and ATP UAT has not been as robust as for MVD offices.

- Regression testing has been conducted as new functionality is added to MAX (up to the January 31 code freeze date) and as bugs/issues are resolved. Regression testing will also be conducted as part-of end-to-end system testing just prior to Go-Live

- ADOA-ASET policy requires penetration testing for all application interfaces to MAX. testing was conducted in December 2019 and identified four key risks to address. All four risks can either be mitigated or accepted (and monitored) and will not negatively impact the April 2020 Go-Live.

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2.13/3.14: Data Conversion Planning and Execution

Best Practices

- Data conversion strategy and plan documented and approved.
- Data conversion methodology and tools clearly defined.
- Ownership and accountability established, team capabilities and capacity sufficient.
- Data governance and stewardship is defined.
- Scope clear; aligns with system retirement strategy.
- Data cleansing risks and mitigations defined.
- Historical data archiving strategy defined.
- Schedule is realistic; dependencies clear.
- Clear inventory exists by end of design phase.

Recommendations

- No recommendations proposed.

Major Risk Imminent or Present

Manageable Risk

Managed Risk

Key Findings & Observations

- Cleanup and conversion for nearly all critical legacy data is complete (an estimated 95-99 percent of all data). All conversions have been mapped to user stories via spreadsheets and Team Foundation Server.

- Converted data quality is good, based on feedback from MVD staff involved directly in UAT

- Workarounds have been defined for legacy data items that have not yet been converted; these instances comprise a small percentage of all data (1 to 5 percent) and reportedly do not impact mission critical business functions.

- MVD will still be able to access older archived data for a while via UI or Mainframe (e.g., snapshots of title information), which will help address document retention requirements.

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2.14/3.15: Training Planning, Design and Delivery

Best Practices

The project has developed and executed a comprehensive training plan that introduces the following at a minimum:

- Training objectives and results.
- Identification of training groups and resources.
- Types of training to be provided (e.g., instructor lead, computer-based training (CBT), etc.).
- Training curriculum development and approval process.
- Training logistics (locations, timeframes, equipment, instructors and facilitators, etc.).
- Training materials development, review and approval process.
- Post-training assessment and evaluation process and tools.

Recommendations

- No recommendations proposed

| Major Risk Imminent or Present |
| Manageable Risk |
| Managed Risk |

Key Findings & Observations

- Beginning in July 2019, the MvM team began conducting core training of MVD staff statewide. Curriculum included 5 days of classroom sessions supported by materials available via Google Classroom as the learning management system.

- To reinforce and maintain MVD staff understanding of how the MAX system works, the MvM team began conducting In-Service Days exercises in all MVD field offices. On the second Tuesday of each month, every MVD field office closes for the morning to allow staff the ability to practice using MAX to run scripted customer transactions.

- MVD In-Service Days have also provided another venue for testing MAX, while allowing staff to become more familiar and comfortable with the system as Go-Live approaches.

- The Arizona Automobile Dealers Association (AADA) was selected to provide MAX training to Authorized Third Party (ATP) providers. MvM trainers provided AADA staff with classroom training and materials. In turn, AADA offered MAX training to ATP staff via an abridged 4-hour webinar course.

  - As training for ATP staff was abbreviated and voluntary, it's not clear how prepared these stakeholders will be once MAX goes live. If this ATP training has not been effective, the number of calls to the MAX Help Desk at Go-Live could be significant.

  - The MvM project team anticipates a higher call volume from ATPs at Go-Live and plans to overstaff the MAX help desk to accommodate this demand and provide ATPs with a dedicated call-in line.

  - ATPs have also been advised to access OneSource for support on common transaction questions

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2.15/3.16: Deployment Planning and Execution

Best Practices

- The project team has worked collaboratively with the organization to clearly define the deployment strategy/plan for the new system, including
  - An overall deployment approach and system turnover-to-production plan.
  - Identification of all critical resources and a process to ensure that they are available to support deployment activities
  - A process to ensure that all critical or new technology has been fully tested and key resources have been identified to provide needed support.
  - An approved governance structure and communication plan that defines the implementation decision process and go/no-go events and criteria

Recommendations

- Update and complete the MAX Deployment and Cutover Weekend project plans
- Define Go/No-Go criteria
- Use project communication channels and governance framework to ensure that all roles are assigned and each individual understands his/her responsibility during Go-Live

Major Risk Imminent or Present

Manageable Risk

Managed Risk

Key Findings & Observations

- All ADOT and MvM team members interviewed as part of this assessment felt they were well-prepared for the original January 2020 Go-Live – and most expressed disappointment that Go-Live was postponed until April 2020.
- The MvM team is working with ADOT Leadership (MVD and FMS) to ensure all resources needed to support deployment and system cutover activities are confirmed and assigned and understand their respective roles/responsibilities.
- Go/No-Go criteria for Go-Live has not yet been defined.
- Separate MS Project Plans for Release 1 MAX Deployment and Cutover Weekend have been developed – however, each plan appears to be a work-in-progress (e.g., some tasks are missing start/finish dates, resource assignments, status of work complete for past dates).
- Separate "war rooms" (e.g., network/infrastructure, data conversion, security) have been set up and staffed to quickly address issues that arise during Go-Live.

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2.16/3.17: Integration/Interface Planning and Implementation

Best Practices

- Integration strategy & plan documented and approved, methodology & tools clearly defined.
- All internal and external system interfaces have been identified and have been tested and fully validated in terms:
  - Functionality
  - Performance
  - Data accuracy
  - Security compliance
- Agreements have been established with agencies/organizations providing or receiving data via interfaces external to the MVD

Recommendations

- Continue with ADOT leadership's plan to have Steve West (CIO) and Mike Keeling (MvM Project Security Lead/SME) proactively meet with potential at-risk external integration partners to identify any outstanding business or technology issues to resolve prior to Go-Live.

Major Risk Imminent or Present

Manageable Risk

Managed Risk

Key Findings & Observations

- The MAX system interfaces with over 100 internal and external partners – most of these partners appeared ready for the original January 2020 Go-Live date...but some were not.
  - A small group of key partners expressed readiness concerns to ADOT and some of interfaces required additional testing (e.g., Social Security, AADA, Lexis-Nexis).
  - Still other partners (e.g., Insurance companies, Arizona DPS) were disappointed when the original Go-Live date was deferred as these partners were ready and the change impacted their own business and technology priorities
- The MvM project team had been working mostly with technical counterparts for each integration partner to ensure interfaces were properly designed and tested. However, business stakeholders for selected key external partners may not have been properly consulted prior to the original January 2020 Go-Live, leading to concerns that their organization was not adequately prepared.
- ADOT has been meeting with 42 key external partners (AADA, ADOA and others) to gauge their respective readiness for the new April 20, 2020 Go-Live date and identify and remedy any gaps or issues. The MvM project team has also agreed to freeze the MAX system code on January 31, 2020 to address concerns by some external partners that their interface to MAX would require additional testing should new functionality be added.

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2.20: Technical Infrastructure and Process Planning

Best Practices

- Server or cloud technologies are appropriate to new solution, storage capable of supporting new solution
- Plans in place for appropriate backup/recovery, DR/BC to satisfy solution requirements.
- Plans in place for new end user devices and/or upgrades as well as communication and collaboration services capable of meeting new solution requirements.
- Networks are capable or extensible to support new solution; network access is supported in the environment.
- Help desk services planned to support new solution and surges in support request demand during deployment.

Recommendations

- No recommendations.

Key Findings & Observations

- The use of Microsoft Azure has helped the MvM team to effectively manage many infrastructure needs for the project (e.g., servers, disaster recovery)
- Microsoft has been consulting with members of the MvM team regularly to support its Azure hosting of the MAX solution – including load testing, penetration testing and deployment preparation.
- Four Site-to-Site VPNs have been set up from Azure to core ADOT switches – the VPNs provide for dual route redundancy and the connections have been successfully tested for failover.
- AZNet limits the stability of ADOT's network. However, ADOT has been monitoring its network to assess variation and response time for each MAX transaction and has the system is operating well within defined SLAs.
- Separate "war rooms" have been established to support Go-Live network or security issues that may arise; Microsoft representatives plans to be on site for Go-Live to assist in addressing any specific Azure related issues that may arise.

Major Risk Imminent or Present

Manageable Risk

Managed Risk

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3.21: Operational Transition Planning

Best Practices

An Operational Transition Plan has been developed and approved by the organization, defining an approach to transitioning responsibility for maintaining and supporting the solution as it is deployed to production, including:

- Quantification of the skills and responsibilities of personnel required to assume full maintenance and operations support
- Staffing plan and approach for acquiring and retaining any contract resources
- Operational budget requirements
- Knowledge transfer plan (for preparing existing staff resources)
- Transition schedule, including key activities, milestones
- Assumptions and contingencies
- Identification of system documentation, files, etc. to be transferred

Recommendations

- Designate a Project Manager who will be responsible for:
  - Working with ADOT ITG, the MvM Project Team and MVD leadership to draft and negotiate an equitable Operational Transition Plan for MAX
  - Work with all parties to execute the agreed Plan

Major Risk Imminent or Present

Manageable Risk

Managed Risk

Key Findings & Observations

- After Release 1 of MAX goes live and is in production, ADOT will need to assume day-to-day responsibility for maintaining and supporting the solution. However, ADOT ITG does not have skills/staff to maintain MAX after Go-Live today (presently, all Tier 3 calls related to MAX are passed on to the MvM team).

- The exact timing of a transition of operational responsibilities for MAX to ADOT ITG may be somewhat negotiable as the MvM team will remain on-site for subsequent releases (beginning in June 2020) and can continue to assume maintenance and support until an Operational Transition Plan is defined.

- An ADOT Strategic Initiatives Team will identify future enhancements to MAX as well as new system functionality for MVD and other ADOT units. The MvM Operations and Support Team will work with ITG to operate and maintain MAX and other new applications implemented for other ADOT units. Staffing targets (including FTE headcounts and budget/per named resource) are being outlined in ADOT's eGov Modernization Strategy.

- The MAX Operations Transition Plan should be defined and formally documented immediately to ensure a clear and equitable transfer of responsibility -- and at a minimum should include the items detailed in the Best Practices section (at left).

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Appendix A – Risk Category Definitions

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Risk Category Definitions – Planning Phase

Risk Category	Definition
Planning – Communication Planning	The extent to which program leadership has established focused accountability for the communications effort and that the accountable team has established a network of resources and a plan to engage those resources to build and execute an effective communications program.
Planning – Organizational Change Management Planning	The extent to which program leadership has established focused accountability for the change management effort and that the accountable team has established a network of resources and a plan to engage those resources to build and execute an effective change program.
Planning – Security Planning	The extent to which program leadership has established focused accountability for security and compliance controls design, build, and test activities and that the implementation methodologies explicitly support integrated, role-based security design.
Planning – Overall Test Planning	The extent to which program leadership has developed a test strategy that defines the types of tests, tools/methods to leverage, the accountability for tests, and considers the schedule and participation needed to ensure high quality test results when executed.
Planning – Data Conversion Planning	The extent to which program leadership has developed a data conversion strategy and plan that defines the types of conversions, the conversion options, tools/methods to leverage, the accountability for conversions, the data cleanup approach, and considers the schedule and participation needed to ensure high quality data conversion results when executed. Also examines the explicit communication of legacy systems being retired.
Planning – Training Strategy & Planning	The extent to which program leadership has developed a training strategy that defines the types of training, tools/methods to leverage, the accountability for training, and considers the schedule and participation needed to ensure the end-users are self-sufficient in the operation and the maintenance of the software after go-live.

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Risk Category Definitions – Planning Phase (cont'd)

Risk Category	Definition
Planning – Deployment Planning	The extent to which program leadership has articulated a set of deployment options, an examination of the trade-offs of each option, and a rational recommendation for the desired option along with a risk and contingency plan for the chosen option. This also examines how well the team has articulated what kind of deployment team will be utilized before, during, and immediately after deployment. People, process, and technology deployment activities and risk should be considered.
Planning – Integration/ Interface Planning	The extent to which program leadership has developed an integration/interface plan that will define the schedule and strategy for inter-process communications and subsystem (i.e., 3rd party or legacy bolt-on, shadow system interaction, etc.). The plan should also consider the participation needed to build/test the interfaces as per proven best practices as well as the ability to create a stable integration environment.
Planning – Technology Infrastructure & Processes Planning	The plans to update the organizations data center and distributed infrastructure to support the new solution.

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Risk Category Definitions – Execution Phase

Risk Category	Definition
Execution – Communication Management	The extent to which program leadership and the accountable team is executing an effective communications program . Examines upward, downward, and cross-team communications as well as communications to extended team and other external parties required for success.
Execution – Organizational Change Management Execution	The extent to which program leadership is working with the focused Change Management team to communicate and prepare the organization for specific change impact items that are crucial to achieving optimal solution usage and business case realization.
Execution – Requirements Management	Examines the ability to document and trace requirements through Design, Build/Test, Deploy, and Post-Implementation phases and to link requirements to scope and business case management activities. Also assesses how well shadow system requirements are considered in the overall implementation activities.
Execution - Overall Test Management	Examines the team's ability to manage the overall test process, specifically looking at the movement of modules from development to each successive type of testing, the leveraging of appropriate resources across test activities and the sharing of testing tools and scripts.
Execution – Data Conversion Execution	The extent to which accountable, business-led teams execute the Data Conversion Strategy & Plan. This includes the ability to cleanse the legacy data and successfully test (unit test and full mock migration) and prepare for final data conversion at cutover. Roll-back plans are also assessed. Data archiving execution is also examined. Also examines the ability to fully realize the planned retired legacy systems once conversion is completed.
Execution – Training Development and Delivery	Examines the team's ability to develop and deliver effective training to end users prior to go-live. Also examines the ability to provide ongoing and stable training environments that allow easy access for refresher and self-service training.

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Risk Category Definitions – Execution Phase (cont'd)

Risk Category	Definition
Execution – Deployment Execution	The extent to which program leadership prepares the deployment locations for subsequent rollouts as per the Deployment Plan. Examines how well the program has staffed for an effective deployment team that considers the challenge of multiple (and possibly concurrent) deployments. The ability to obtain location readiness signoff and document unresolved issues and post-production support handling is also examined. This also includes clear definition of and acceptance of business data stewardship and data governance responsibilities.
Execution – Integration / Interface Implementation	Examines the team's ability to develop and utilize a true end-to-end integration environment that is stable and provides true interoperability to all 3rd party and legacy systems and data. Also examines the supportability of the developed interfaces with respect to SOA and efficient maintenance capabilities (i.e., avoidance of point-to-point to realize configurable interfaces that can effectively scale and take advantage of external services).
Execution – Operational Transition Planning	The extent to which program leadership has developed a transition plan that defines the operational structure, processes, and staffing required to provide operations support as per proposed service levels. As a priority, examines governance planning, IT operations planning, and business support planning

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