State of Arizona

Master List of
State Government Programs

State Agencies'
Five Year Strategic Plans

And

CABINET AGENCIES
STRATEGIC PLAN SUMMARIES

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GOVERNOR

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About This Publication

The Strategic and Operational Plans of State Government Agencies are Critical Components of Program Budgeting and Transparency and the Operation of State Agencies

There are three components that display strategic planning for agencies in this document:

The *Master List of State Government Programs* provides monitoring and tracking of the functions of each state agency (no exceptions). For each function (in this document referred to as programs and subprograms) that is mandated by the legislature or a court decision, the agency provides:

- A mission statement
- A description of the function
- Goals for accomplishing the function
- Performance measures to determine how well the function is being accomplished
- The cost and staffing needed to accomplish the function

The Five-Year Strategic Plans are required of all Executive agencies (does not include universities or legislative or judicial agencies) and are required to show:

- The strategic issues confronting the agency
- The agency's strategies for overcoming each strategic issue
- A five-year estimate of the resources needed to operate the agency

All cabinet agencies provide a two-page summary of their Strategic Plans, which display their:

- Strategic priorities
- Annual objectives to achieving the strategic priorities
- Performance metrics for evaluating the success of the objectives
- Annual initiatives used to meet the objectives
- Summary of the progress being made

Cabinet agencies have aligned their strategic plan, budget, and performance measures to track specific agency performance measures, identify areas for continuous improvement, and ensure accountability for results.

Combined, all three provide transparency and understanding of the functions of state agencies and what they are trying to do. These planning and budgeting mechanisms were enacted or implemented in a way that allows citizens and policy makers to track the operational goals and performance measures of each mandated function of state government, as well as the revenues and expenditures for each.

On the pages that follow, for each cabinet agency, the strategic plan summary is displayed first, followed by the detailed information for each agency's programs and subprograms.

For each non-cabinet agency, the *Five Year Plan* is displayed first and contains strategic issues facing the agency, along with the agency's strategies for managing the issues. It also contains resource

assumptions projected through fiscal year 2024. Following the Five-Year Plan is detailed program information, which contains performance and resource information through fiscal year 2021.

State Agencies submitted their Five Year Plans and program information on September 1, 2019, prior to the creation of the Governor's Executive Budget that was released in January 2020. The two-page summaries of the cabinet agencies' strategic plans was completed in July 2019 in preparation of operations in FY 2020.

When first developed in 1994, each mandated function of state government was isolated within a discrete program or subprogram, to the extent possible. At that time, the Master List contained 1,267 programs. Shortly thereafter, the number of programs was consolidated to 528, the effect being that any single program may now contain several related functions. Currently, *The Master List* is the most complete list of State government programs available.

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About the Master List

The Governors' Office of Strategic Planning and Budgeting compiles *The Master List of State Government Programs*, *State Agencies' Five Year Strategic Plans*, and *Cabinet Agencies' Strategic Plan Summaries* with information provided by state agencies in July, August, and September of each year. In the interest of faithfully communicating the intentions of the agencies, OSPB only edits content to the extent necessary for clarity and makes no changes to the funding or performance data provided by agencies. Funding amounts for current and future years include all monies the agency is requesting, or plans to request, and is not related to the recommendations made in the Executive Budget.

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Agency Summary

BOARD OF ACCOUNTANCY

Monica L. Petersen, Executive Director
Phone: (602) 364-0804
A.R.S. § 32-701

Mission:

To protect the public from unlawful, incompetent, unqualified, or unprofessional certified public accountants through certification, regulation, and rehabilitation.

Description:

The Arizona State Board of Accountancy consists of five certified public accountants (CPAs) and two public members, all of whom are residents of the state and are appointed by the Governor. The Board also has six advisory committees consisting of 46 members appointed by the Board whose work directly supports the Board's mission. The advisory committees are Accounting and Auditing, Tax Practice, Peer Review, Certification, Continuing Professional Education, and Law Review. The Board and its committees qualify candidates for the Uniform CPA Examination, certify individuals to practice as CPAs, register accounting firms owned by CPAs, and biennially renew certificates for CPAs and registered accounting firms. The Board and its committees also receive and investigate complaints, take enforcement action against licensees for violation of statutes and regulations, monitor compliance with continuing education requirements, and review the work product of CPAs to ensure adherence to professional standards through the Board's peer review program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,537.6	2,045.3	2,045.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,537.6**	**2,045.3**	**2,045.3**
FTE Positions	**14.0**	**14.0**	**14.0**

5 Year Plan

Issue 1 Records Retention

Description To simplify the Board's retention schedule and ensure consistent adherence for all public records regardless of medium. The Board's retention schedule is onerous, not properly followed and requires archiving of records longer than they are of administrative value which comes at an unnecessary expense.

The records maintained by the Board as well as other state and local governments are among the most valuable resources in their care. They are essential for the conduct of ongoing operations and the official documentation of legally binding decisions and actions of the government. Records allow the public to understand civic issues and they are the community's memory. Records need to be adequately preserved because:

- Officials use them to administer and monitor government operations
- Records document the conduct of public business
- Records ensure and measure government accountability
- Records contain information that is used by researchers from within and from outside government
- Historians and other researchers use government records for information on individuals, groups and the communication, on the development of the government and its operations, and on the life of the community itself.

Solutions:

1.Perform analysis on existing records retention schedule and determine business need for both onsite and offsite retention and revise retention accordingly and submit to Library and Archives for approval

1.1.Exam files
1.2.Certification files
1.3.Registrant (CPA) files
1.4.Registrant (firm) files
1.5.Compliance Files
1.6.Disciplinary Actions
1.7.Board and Committee Meetings

2.Evaluate the following general records retention schedules that apply to all public bodies and determine current compliance/noncompliance.

2.1.Administrative records
2.2.Audit records
2.3.Bond records
2.4.Copy center and mail room records
2.5.Election records
2.6.Electronic Communications, Social Networking and Website Records
2.7.Environmental Quality Management and Sustainability Records
2.8.Equipment/Vehicle Services Records
2.9.Facilities/Grounds Management Records
2.10.Financial Records
2.11.Human Resources/ Personnel Records
2.12.Information Technology (IT) Records
2.13.Law Enforcement Records
2.14.Library Records
2.15.Management Records
2.16.Medical Records
2.17.Official Records
2.18.Public Health Records
2.19.Public Information and Marketing Records
2.20.Purchasing/Procurement Records
2.21.Warehouse/Supply Records
2.22.Historic Preservation Records
2.23.Civic, Convention, and Cultural Facilities and Visitors' Bureau Records
2.24.Parks and Recreation Records

3.Develop records retention policies and procedures

4.Train staff on records retention policies and procedures

5.Archive or dispose of records as necessary to ensure compliance with the following:

5.1.New records retention schedule approved by Library and Archives for Board specific records

5.2.Areas of non-compliance identified in strategy 2.

Issue 2 Five-Year Rule Review and Rulemaking

Description Statute requires agencies to regularly review each rule to determine whether the rule still meets the criteria in A.R.S. § 41-1056(A) and A.A.C. R1-6-301. If a rule fails to meet these criteria, the rule can be amended or repealed. In the process of reviewing its rules for compliance with A.R.S. § 41-1056(A), the agency may discover issues with its rules, ranging from inconsistencies with applicable statutes to outdated language. The agency then develops a proposed course of action to address any issues identified in the report. This proposed course of action guides the agency's future rulemaking activity. If an agency determines that the rule is no longer necessary, the agency can complete a rulemaking to repeal the rule or choose to allow the rule to expire by not including the rule in the scheduled report.

Solutions:

1.Complete and submit Five-Year Review Report to the Governor's Regulatory Review Council (GRRC)

2. Draft proposed rules and economic impact statement

3. Seek exemption from Executive Order 2019-01 regarding rulemaking moratorium

4. Begin rulemaking process
4.1 File Notice of Docket Opening and a Notice of Proposed Rulemaking with the Secretary of State for publication in the Administrative Register
4.2. Conduct an oral proceeding and close the rulemaking record
4.3 Based on feedback, make technical corrections and non-substantial amendments
4.4 Submit proposed rules economic impact statement to GRRC for approval
4.5 If approved by GRRC, file a Notice of Final Rulemaking with the Secretary of State for publication in the Administrative Register

5 Operationalize new rules
5.1 Update website content
5.2 Update letter, applications, forms, etc.
5.3 Send communication to registrants to educate them about rule changes

Issue 3 Digitize Paper Documents

Description In the digital age, we all know paper is a temporary medium for information. Large quantities of paper are expensive to maintain, difficult to store and fraught with risk from deterioration, loss, water, and fire. Scanning paper documents is a business decision that can reduce costs, improve security and help the environment. The following are some valuable reasons to work toward digitizing paper documents.

1. Secure document storage - scanning offers improved security for sensitive documents. Scanned documents can be securely stored in an online document management system, with security access at a user or role level. Documents can be shared and accessed by multiple users at the same time.

2. Increase office space - Document scanning reduces the volume of paper to be filed, thus eliminating the need for filing cabinets, which frees up office space, recaptures floor space, and reduces cluttered office environment

3. Improves customer service - Searching paper documents is time-consuming which can affect the response time to your customer. Digital documents can be found quickly and easily using a simple keyword search.

4. Better for the environment - Scanning documents can help any organizations in its move to become more environmentally friendly. The use of less paper and toner are not only good for the environment but also reduces business costs.

5. Reduce costs - Storing and maintaining records is an expensive business, including office square footage and costs associated with misfiled or lost documents.

6. Risk mitigation and business continuity - Documents, records, and reports are vital to the Board's daily operations. That is why it’s so important to safeguard them from theft, fire, severe weather, sprinkler damage, mold, and mildew or any other type of hazard that might occur in the workplace. Protecting business records ensures the information they contain is available anytime it is needed and also speeds recovery from an unplanned disruption.

Solutions:

1. Beginning in FY 2020, the Board's regulatory and compliance team will only maintain files digitally.

2. Digitize historical exam scores

2.1 Hire temporary service to enter paper exam scores into the Board's database.

2.2 Work with the National Association of State Boards of Accountancy (NASBA) to get exam scores from the Gateway program from 2004, when the Uniform CPA exam became a national computerized-based exam, to date in an FTP format that can be uploaded in the Board's database.

2.3 Work with NASBA to get exam scores on a regular basis via FTP that can be uploaded in the Board's database.

3. Complete records retention initiative

4. Convert registrant files to a document management system

4.1 Design system to determine requirements and software needs

4.2 Evaluate document management software available on state contract or develop RFP and hire vendor

4.3 Train team on new tools

4.4 Plan implementation

5. Implement the system

6. Test the system

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	14.0	14.0	14.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,045.3	2,045.3	2,045.3
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To assist candidates in applying for the Uniform CPA examination so that the candidate can successfully complete the exam.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of exam candidates approved by Board to sit for the Uniform CPA exam	727	460	793	420	420

Explanation: FY 2020 and FY 2021 estimates reflect a reduction in foreign applications due to a rule change regarding foreign transcript evaluators effective February 4, 2019.

◆ **Goal** 2 To certify and register persons who meet the statutory requirements as certified public accountants and to register firms that meet the statutory requirements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of certificates issued	480	452	489	485	485
Biennial renewal of certificates	5573	5706	5768	5657	5602
Number of firms registered	77	70	60	60	60

Explanation: Laws 2018, Ch. 236 (SB 1443) effective August 3, 2018 reduced firm registration requirements, which is why the FY 2019 actual is lower than the FY 2018 actual of 77.

Number of firms renewed (excluding sole practitioners)	666	600	491	484	484

Explanation: Laws 2018, Ch. 236 (SB 1443) reduces firm registration requirements, which is why the FY 2019 actual is lower than the FY 2018 actual of 666.

Percent of applicants reporting very good or excellent service	85	90	98	95	95

◆ **Goal** 3 To process complaints and provide enforcement of statutes and rules to protect the public from incompetent, unethical and/or unprofessional conduct by registrants.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of revocations and relinquishments	19	15	19	15	15
Number of compliance files established	190	185	222	190	190

Explanation: FY 2019 actuals are higher due to the number of accounting and auditing complaints the Board received from a single complainant.

Number of compliance files that resulted in discipline	86	90	73	85	85
Number of compliance files that resulted in administrative letters of concern	10	10	1	5	5

Explanation: Letters of concerns have reduced from the FY 2018 actual of 10 due to the elimination of Educational Enhancement Reviews.

Agency Summary

ACUPUNCTURE BOARD OF EXAMINERS

David Geriminsky, Executive Director
Phone: (602) 364-0145
A.R.S. § 32-3901

Mission:

To protect the health, safety, and welfare of the public by regulating and maintaining standards of practice in the field of acupuncture.

Description:

The Acupuncture Board of Examiners licenses and regulates acupuncturists and certifies auricular (ear) acupuncturists for detoxification or substance abuse programs. The Board also oversees the licensing and certification of acupuncture training, continuing education programs, and visiting professors. The Board evaluates professional competency, investigates complaints, and enforces the standards of practice for the acupuncture profession. The Board regulates the educational, clinical, and clean needle technique programs approved to teach the practice of acupuncture in the State.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	135.7	176.0	176.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**135.7**	**176.0**	**176.0**
FTE Positions	**1.0**	**1.0**	**1.0**

5 Year Plan

Issue 1 Technology and operational upgrades.

Description Description: As the Board plans for the future, the need to explore technology advances that will assist the Board in fulfilling its obligations is becoming critically important. The general public and licensed professionals are requesting the Board to update its information delivery systems.

Solutions:

Strategy: The Board has recently taken part in an E-Licensing project with 12 other agencies. While this system is an improvement on what was available to licensees in the past as they are able to file and pay for renewal and initial applications online there are several opportunities for improvement or enhancement. These would include making available to licensees the ability to conduct all business with the Board online including license verifications, payement of Civil Penalties etc.

However, continuing costs for the E-licensing system are becoming prohibitive and the Board is researching alternative platforms or restructuring how salesforce is used.

Issue 2 Health and Safety Challenges.

Description Description: As part of the Board's role in protecting the safety and welfare of the general public, the Board continues to review its statutes and rules to ensure the profession is regulated in concert with the changes taking place at the state and national level.

Solutions:

Strategy:

The Board is considering changes that may be necessary in statute to reduce regulatory burdens. For instance, the Board is planning to introduce a bill in this upcoming session to remove the requirement that Auricular Acupuncturists operate only in approved chemical dependency programs.

Further, the Board is considering expanding auricular acupuncture to include the treatment of trauma.

Additionally, the Board will seek to clarify the definition of Acupuncture in order to provide more clear direction to the public and practitioner.

Lastly, the Board has filed proposed rules with the Secretary of States Office that will resolve many of the audit recommendations, increase opportunity for licensees to obtain Continuing Education, streamline the Complaint Process, and makie other changes to reduce the regulatory burden on the licensee.

Issue 3 Health care profession and provider changes.

Description Description:

The Board is aware of and concerned about the growing opiod epidemic and the need to find alternative treatments to successfully help patients find relief from their medical ailments and as well as chemical dependency.

Solutions:

Strategy:

The Board has approved a Substantive Policy Statement which will provide structure for Chemical dependency programs to be approved by the Board as allowed by statute. The Board will seek a rule change to clarify its position and amend the language in the existing rule regarding the requirements for Board-approval of alcoholism, substance abuse, or chemical dependency programs. Additionally the Board will seek legislation to remove the requirement that Auricular Acupuncturists operate only in chemical dependency programs so that rural areas may be served and to conform to the example of other states.

The Board will continue to approve any alcoholism, substance abuse, or chemical dependency program that is approved by the State of Arizona (including DHS) or the federal government, pursuant to A.A.C. R4-8-302, and will use the criteria as found in the Substantive Policy Statement to evaluate any other alcoholism, substance abuse, or chemical dependency program that seek approval.

This will have the effect of creating additional avenues for employment for Auricular Acupuncturists while simultaniously making this therapy designed to assist those with Chemical Dependency issues more available. The Board is considering what can be done with its rules and statutes to make auricular acupuncture available to those mose in need including those who are incarcerated or living in underserved areas.

The Board has approved additional training programs for auricular acupuncturists and hopes this will increase the number of qualified individuals providing Auricular Acpuncture to those in need.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	1.0	1.0	1.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	176.0	176.0	176.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To handle consumer complaints in an efficient manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of complaints received.	4	10	5	10	10
Unlicensed individuals or institutions identified.	2	3	1	3	3
Total complaints.	4	10	4	6	6
Average time from receipt of complaint until resolution	90	100	206	100	100

Explanation: Once complaint was extended for a long period of time at the request of the respondent leading to longer average times to adjudicate complaints.

Number of complaints resolved from prior year.	0	1	1	1	1

◆ **Goal** 2 To ensure that investigations are handled in an efficient manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of investigations conducted	4	10	5	10	10
Licensees with greater than one investigation.	0	1	0	0	0
Percent of unlicensed practitioners brought into compliance.	0	100	100	100	100
Percent of investigations resulting in disciplinary enforcement	25	25	0	25	25

Explanation: no disciplinary actios were taken fy19

◆ **Goal** 3 To ensure that all applications are handled in an efficient manner. Beginning FY 2012, continuing education applications were included.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of applications received	67	87	87	107	127

Explanation: FY 19: 64 acupuncture license applications, 13 auricular acupuncture certificate applications and 10 continuing education applications.

Number of renewals issued	0	625	560	580	600
Auricular Acupuncture Certificates Issued	0	15	13	20	25
Total number of licensees	623	630	664	684	704
Total number of auricular acupuncture certificate holders	32	55	30	45	55

Agency Summary

DEPARTMENT OF ADMINISTRATION

Andy Tobin, Director
Phone: (602) 542-1500
A.R.S. § 41-701,41-1051,41-2501

Mission:

To deliver effective and efficient enterprise support services to agencies, allowing them to focus more on their unique missions.

Description:

The Department of Administration (DOA) supports the operation of State government in Arizona by providing centralized services, enabling State agencies to focus their efforts on their unique missions. DOA processes accounting transactions statewide, purchases goods and services needed to conduct business, provides medical and other health benefits to State employees, manages insurance claims for property losses and workers' compensation, maintains and operates office buildings, provides information technology and telecommunication services for employees, and oversees human resources functions statewide.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	38,119.2	64,165.8	27,450.7
➢ GENERAL ACCOUNTING	14,538.5	15,596.2	15,596.2
➢ STATE PROCUREMENT	6,314.6	7,117.1	7,117.1
➢ BENEFITS SERVICES DIVISION	928,674.6	956,782.8	981,941.7
➢ HUMAN RESOURCES DIVISION	11,806.9	12,888.8	12,888.8
➢ ARIZONA STRATEGIC ENTERPRISE TECHNOLOGY OFFICE	33,067.8	47,071.1	47,071.1
➢ RISK MANAGEMENT	80,087.9	98,728.7	121,360.3
➢ GENERAL SERVICES DIVISION	29,211.8	57,005.2	47,727.3
Agency Total:	**1,141,821.3**	**1,259,355.7**	**1,261,153.2**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,590.4	8,147.6	8,147.6
Other Appropriated Funds	161,077.0	204,836.5	219,539.3
Other Non Appropriated Funds	973,153.9	1,046,371.6	1,033,466.3
Total Funding	**1,141,821.3**	**1,259,355.7**	**1,261,153.2**
FTE Positions	**501.2**	**551.7**	**553.8**

Department of Administration

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Andy Tobin
Strategic Planner: Thorson/DiCiccio
Last modified: 06/11/2019

Vision: Excellence in Arizona government with leading-edge enterprise support

Mission: To deliver effective and efficient enterprise support services to our agency customers, allowing them to focus more on their unique missions.

Agency Description: As the administrative and business operations hub of state government, ADOA provides medical and other health benefits to state employees, administers the state personnel system, protects employees and mitigates hazards, maintains office buildings for employees to work in, purchases goods and services needed to conduct business, provides information technology and telecommunication services for employees, and much more. These centralized support services enable state agencies to focus their efforts on their own unique missions.

Executive Summary: ADOA's customer-centric support creates strong agency partnerships which lead to the adoption of Enterprise standards while utilizing continuous improvement methodologies. Key areas for the Strategic Plan year are outlined below.

1. **Transform the Employee Experience**: Ensure ADOA's workforce is inspired and enabled to function at the highest level.
2. **Drive Innovative IT Solutions**: Maximize the deployment of innovative technologies while enhancing the security of those networks and information.
3. **Optimize State Data**: Deploy impactful solutions that create value and meet statewide needs in real time.
4. **Strengthen State Capital Infrastructure**:Increase efficient buildings to ensure responsible use of tax dollars.
5. **Enhance Customer Service**: Create a customer value proposition to improve customer experience

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Boldly Transform the Employee Experience	2019	Improved **ADOA AMS Maturity** score from 2.06 to 3.4 (March 2019) Improved **ADOA Employee Engagement** score from 5.9 (2018) to 6.1 (2019) **ADOA Voluntary Turnover** from 23.4% (Jul'18) to 16.6% (Apr'19)
2	Drive Innovative IT Solutions	2019	**HRIS Migration**: On track. Project recalibrated in April 2019. **Google Migrations:** 81 agencies/27K mailboxes migrated. Phase 3 tracking for completion 6/30 **Enterprise security controls:** Deployed 2 new cyber controls focusing on *Insider Threats* to Executive Branch agencies, targeting end of FY19 for full completion. 3rd control scheduled to be completed for deployment by 12/31/19. **Cyber insurance legislation** was not approved in FY19. Efforts to secure Executive and Legislative approval to implement will continue in FY20.
3	Optimize State Data Analytics & Management	2020	
4	Strengthen & Stabilize State Capital Infrastructure	2019	Reduced **energy usage** by 10% Reduced **water usage** by 5% Reduced **Work Orders/Preventative Maintenance ratio** by 9%
5	Enhance Customer Experience	2020	

Department of Administration

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Improve Total Worker Health	AZ Safety Management System Agency Score Percent of completed milestones Medical Loss ratio	Increase Safety Management System (SMS) agency scores RFP medical and pharmacy Health Insurance Trust Fund (HITF) Structural Balance
1	Optimize Recruitment and Retention	Voluntary Turnover Rate User experience satisfaction survey Voluntary Turnover Rate	Develop statewide recruitment & retention strategies Redesign Job Board Develop and rollout Enterprise wide 30,60,and 90 day state interview process
1	Create an Intentional Continuous Improvement ADOA Culture	Agency Arizona Management System (AMS) Assessment Score	Achieve ADOA AMS sustainability- Reset Leader Standard Work
2	Modernize & Secure IT Infrastructure	% completion of agency data center migrations Statewide cyber score (RiskSense) % completion of cyber insurance roadmap # of 911 text activations Human Resources Information Solution (HRIS) Completed Roadmap	Complete at least 80% of agency data center migrations Sustain statewide cyber security score of 725 Develop cyber insurance program Deploy text to 911 Develop 3-5 year HRIS strategy/roadmap- Explore intra-agency solutions (University system)
3	Improve Enterprise Data Analysis & Reporting Capability	# of data utilization options Percent of completed milestones **# of enterprise wide consolidated contracts** **% of savings to statewide target**	Expand usability of data tools (Qualtrics) Implement enterprise financial reporting & data analytics (Tableau) **Leverage the Arizona Procurement Portal (APP) reporting function to track statewide procurement savings and efficiencies**
4	Explore the State's Next-Generation Capital Infrastructure Needs	Breakdown of deferred maintenance with impact overview Create focus group for Capital Marketing Plan	Develop & Implement Capital Infrastructure Communications Strategies for Capitol Mall revitalization plan
5	Understand Customer Expectations and Values	Increase in customer satisfaction (to be based on new customer satisfaction index calculation) Percent of completed milestones	Develop strategies and standard work for engaging ADOA customers **Develop standard work for interaction and fiduciary oversight of APF projects** **Implement APF systems enhancements for increased visibility across initiatives**
5	Deliver on ADOA Commitments	Percent of APP roadmap milestones completed Percent of Completed upgrade milestones # of Google migrations and enhancements	Stabilize, Optimize & Enhance the Arizona Procurement Portal Complete HRIS v10 upgrade Increase Google adoption and performance
5	Increase Online Services	**Percent of completed milestones to plan** # of services live in mobile application	**Complete Business One Stop Portal Feasibility Study and initial System Design** Deploy 18 mobile app services

5 Year Plan

Issue 1 Develop and Retain a 2020+ Workforce

Description The Arizona State Personnel System has over 33,000 state employees. This workforce is comprised of very broad and diverse career fields such as, information technology, healthcare, law enforcement, social services, legal services, administration, engineering, and finance. Like many employers, Arizona is facing leaner staffing levels and tighter budgets and the needs to have the right expertise is more critical today than ever. Demographic shifts and competition for talent are expected to be the biggest influence on our workforce over the next five years, as increasing numbers of experienced employees leave or retire. We will continue to focus on implementing strategies to mitigate anticipated departures of our valuable employees, implementing recruitment measures to attract top talent, and ensuring our compensation system includes salary ranges consistent with market pricing of jobs.

Solution-
The Arizona Department of Administrations' Human Resources Division's (HRD) priority is to attract and retain a highly qualified 2020+ workforce that supports an efficient accountable government.

Solutions:

Objectives-

Strengthen Core HR across the state enterprise by:

- Develop an SPS HR Professional Development Program and Toolkit for full implementation by 6/30/2018.
- Complete HR Governance Model work to leverage HR efforts across the state by 06/30/2018.
- Implement and/or upgrade a human capital management modernization solution (HRIS) and incorporate leading-edge technologies to enable faster decisions and better employee performance measurement and accountability.

Reinforce statewide employee engagement by:

- Design and implement an SPS enterprise wide Employee Onboarding Program by 6/30/2018.
- Design and implement an SPS enterprise wide Succession Planning Guide/Toolkit by 6/30/2018.
- Implement a statewide program to build workforce planning into agency strategic planning process, ensuring that each agency has a workforce plan by end of calendar year 2019.
- Implement at least 1 strategy from the ADOA Employee Engagement Toolkit in each Chief Human Resources Officer (CHRO) led agency by 12/31/2017.
- Deploy a dual career path in 10 cabinet agencies by 6/30/2018.

Reinforce our competitiveness in the job market by:

- Develop and implement an SPS enterprise wide Exit Interview/Survey Program by 10/31/2017.
- Develop and implement an SPS Stay Interview Program by 6/30/2018.
- Perform a comprehensive analysis of the current salary structures, including salaries governed by statute.
- Develop recommendations that are consistent with the spirit of an accountable public service.
- Complete the SPS Classification Reform Project by 6/30/2018.

Issue 2 Make Procurement a Value Center

Description The Arizona Department of Administration (ADOA) State Procurement Office (SPO) is responsible for negotiating rates and terms for more than $1 billion in statewide contracts. The SPO team will utilize a number of proven tools in order to maximize the value the state receives for every dollar spent. A new negotiation focused strategy launched in November 2015. This method employs private-sector practices and is already generating significant negotiated savings.

Cost control is an important shared responsibility between SPO and the state agencies that utilize these contracts. Many factors impact how the state realizes savings, especially the increase or decrease in demand/volume for goods or services measured on a year-over-year basis. This complexity aside, SPO's goal is to negotiate the lowest total cost on behalf of the contract user that will ultimately translate into a reduction of expenses incurred by the state.

Statewide procurement tools are inadequate to support the new mission and are being review for upgrade.

Solutions:
•Data driven analysis of spend and competitive benchmarks by category/major contracts to define and prioritize saving opportunities
•Develop and deploy a Strategic Sourcing Process (SSP) to set cost reduction goals as well as monitor progress
•Accomplish goals set and proliferate process throughout the State Procurement Network (SPN)
•Automate the processes to facilitate usage as part of operations and continuously improve
•Supply base optimization and segmented procurement decisions aligned with the state budget

Solutions:
Objectives:
•Accomplish annual rate of Year Over Year (YOY) contract cost savings across the SPN
•Increase Co-op usage of statewide contracts annually.
•Develop and proliferate capabilities and tools for Supply Chain Management across the SPN
•Upskill SPN employees through advanced training and define create competency level menus
•Source advanced procurement platform for improved data quality and speed of decision making.
Strategies:
•Develop best in class negotiation tools
•Train other state agency procurement employees to become proficient in negotiation strategies
•Leverage technology to provide better data analysis
•Continuously improve SPN capabilities and reduce the number of suppliers in each category while expanding portfolios
•Develop and maintain healthy partnerships with State Agencies and key external organizations
•Assess and implement improved procurement tools to improve supplier payments and RFQ speed and quality.
Performance Measures:
•Year-Over-Year Negotiated Contract Savings
•Year-Over-Year Co-op Contract Utilization

Issue 3 Optimize Physical Assets

Description ADOA manages or supports operational services for 3.8 million square feet (GSF) in the Governmental Mall, Phoenix Metro, Tucson, and Kingman, including office space, parking garages, mechanical structures, labs, and data centers. The Legislature fully funded the Building System's Building Renewal Formula (for annual major maintenance) in only two of the last 31 fiscal years. Full funding of the Formula is a reference to the cumulative amount of annual appropriation required to sustain a given year's current facilities conditions, assuming all prior annual major maintenance requirements are completed. The 30+ years of funding shortfalls has resulted in an $531.9M of accumulated deferred capital maintenance of the ADOA Building System. The postponed major maintenance requirements have created expensive utility, repair, maintenance, and replacement expenditures in deteriorating and poorly performing facilities.

In FY 2016, a Facility Condition Assessment (FCA) of 3 million GSF of ADOA owned and/or managed buildings in the Governmental Mall and Tucson indicated that over 36% of the structures assessed were in "below average," "poor," or "replacement" condition. The analysis of the overall conditions shows a higher than normal percentage of buildings in a below average condition. Most, if not all, renewable building system components have exceeded their statistical life cycle of 20-30 years of service. Some buildings are in such poor condition that the FCA recommends total replacement. Arizona is facing the inevitable long-term consequences of under investment in major maintenance requirements.

Solutions:

Objectives:

- Achieve savings and general GF revenues to offset cost of renovations and new capital
- Reduce ADOA operating costs
- Improve preventative maintenance performance
- Make highest and best use of facilities
- Renovate facilities to improve employee morale and increase retention

Strategies:

- Increase the COSF rental rate to facilitate increased funding for building renewal and large scale capital maintenance and renovations to outdated and aging work spaces;
- Sell underutilized ADOA managed buildings
- Use FCA's to make targeted improvements to salvageable capital infrastructure to improve energy consumption, prolong useful lives of building systems, and improve working environments for state employees.
- Procure and implement unique financing opportunities for new capital outlay with private/public partners; and
- Apply space standards to renovated spaces to improve efficiency of space utilization

Issue 4 Drive Innovative IT Solutions

Description Description:

The State of Arizona delivers hundreds of services to citizens each year, but the majority of those services are being requested, processed and completed the same way they were 30 years ago – through paper forms, walk-up windows and postal mail. We want to move many more state's services online, enabling Arizona to move at the speed of business. The goal of this project is to migrate agency services to an online experience for the citizen where they can request services without a pen, paper or stamp. Instead, the desired citizen experience will be on an internet-connected device of their choice where they can fill out online forms, use electronic signatures and submit directly from their laptop, tablet or smartphone. By giving citizens the ability to request any service, at anytime from anywhere, we will move Arizona's government to be more in line with what our customers expect in 2016 and beyond. There is potential for Arizona to show $100M+ savings after the services are modernized and broadly adopted by agency customers.

Solutions:

•ADOA-ASET has previewed a variety of software solutions that can help with this initiative, depending on readiness of the service, complexity and budget. Some services have already been migrated online by agencies themselves, as well as ADOA-ASET, so we will seek to learn from the processes that have already been automated, and use that to inform us about what works and doesn't work for the future services.

Solutions:

Objectives:

•24 New Online Services Statewide in FY18
•Identify agencies with citizen-facing services.
•Work with agencies who are ready and willing to participate.
•Document the process workflow, and make sure it's been optimized using Lean methods.
•Identify the best software solution(s) to automate the process.
•Determine the cost to modernize the service.
•Identify funding sources to pay for the modernization.
•Identify cost savings by service after implementation.
•Track progress on services automated and deliver regular reports to EAG5 and stakeholders.

Strategies:

•The Business Engineering team, along with members of our Web Portal and Web Design teams will work directly with the agencies who choose to participate, to determine the size and scope of modernizing their processes to an online experience.

Performance Measures:

•Number of services currently online, according to new definition: citizen needs no printer, pen or stamp to request the service.
•Average net cost reduction to take a service from current delivery method to online
•Number of services taken on-line over time
•Adoption rates by agencies

Issue 5 Ensure Fiscal Responsibility

Description The Benefit Services Division manages the Health Insurance Trust Fund and is responsible for the benefits provided to its 130,000+ members. Programs administered include self-funded medical, pharmacy and dental plans; fully insured dental HMO, vision, basic life, supplemental life, dependent life, short-term disability, long term-disability, flex spending accounts, home-owners and auto insurance plans, computer purchase and employee discount programs. In addition, the Division manages the statewide wellness program, as well as, an Employee Assistance Program.

Benefit costs are projected to continue to rise. Application of strong performance guarantees, on-going management of vendors and audit controls have aided efforts to maintain costs. In addition, the introduction of a health incentive program in 2014 and its continuation should assist in managing costs. Also, the purchase of a health care analytics tool will provide additional information to make better decisions regarding expenditures.

Solutions:
•Increase knowledge of employees, agencies and legislature regarding self-insurance.
•Improve health of members.
•Reduce costs through plan design changes.

Solutions:

Objectives:
•Contain per member per month medical/pharmacy costs to </= 3.5% year over year, based on Plan Year 2015 per member/per month cost.

Strategies:
•Educate employees, agencies and legislature on plan design and self-insurance.
•Increase participation in Health Impact Program (HIP).
•Plan design changes.

Performance Measures:
•Year over year per member/per month costs </= 3.5% by 2019
•HIP participation increased by 20% by 2019

Issue 6 Manage Risk and Ensure Business Continuity

Description The State of Arizona is experiencing substantial levels of cyber attack attempts to compromise our systems and our data. Many of the agencies, boards and commissions do not have the level of expertise to identify and stop sophisticated attacks. The agencies, boards and commissions also do not have the budget to invest in and maintain separate security systems to ensure the integrity and availability of their data.

Over the course of the past year, ADOA has strengthened cybersecurity and privacy operations to reduce enterprise risk. Employees participated in statewide training sessions and exercises to increase the awareness of cybersecurity threats, as well as to share best practices in preventing security or privacy incidents. ADOA leadership also established and strengthened cyber-relationships with critical infrastructure partners for collaboration regarding the state of cybersecurity at all levels of government.

In addition to education and outreach, ADOA will continue to invest in multiple layers of security to detect potential vulnerabilities in state technology systems and implement solutions to prevent intrusions. Through the adoption of security policies and standards, such as those outlined by the National Institute of Standards and Technology (NIST), ADOA will strive for the highest level of recommended technology security and privacy controls across all systems and drive those standards statewide.

Solutions:
•We are recommending the State of Arizona should standardize on 16 security products that establish a risk profile for the state and help to defend the state from the latest cyber-attack tactics. These 16 controls cover 14 of the top 20 CIS critical security controls for effective cyber defense.
•The CIS Critical Security Controls are a recommended set of actions for cyber defense that provide specific and actionable ways to stop today's most pervasive and dangerous attacks. The Controls are effective because they are derived from the most common attack patterns highlighted in the leading threat reports and vetted across a very broad community of government and industry practitioners.

Solutions:
Objectives:
•Build business requirements and create standardized product contracts for the following 16 security controls: Data Loss Prevention, Distributed Denial of Service, Application Penetration Testing, Vulnerability Assessments, Security Information Event Management, Vulnerability Management, Directory Auditing, Spam Filter, Web Application Firewall, Web Content Filtering, Advanced Endpoint Protection, File Integrity Monitoring, Security Monitoring, Device Hardening, Security Awareness, Multi Factor Authentication

•Save money with economies of scale of implementation.
Strategies:
•Enterprise contracts for 16 security controls, and implement those controls or have a plan to replace those controls into 80% of the state agencies, boards and commissions.

Performance Measures:
•Number of agencies using CSC framework
•Number of attacks identified by CSC framework
•Number of attacks not captured by CSC framework

Issue 7 Execute the Arizona Management System (AMS)

Description The Arizona Management System is a statewide intentional, results-driven system of management that engages employees, focuses on customers and drives continuous improvement in pursuit of desired results. There will be three phases to the journey: Setting the Foundation, Building the Muscle to Improve and Delivering Transformative Results.

Employee responsibilities will include understanding customer needs, identify problems, improve processes and measure results in order to do more good. Three core values held by employees are: Do the Right Thing, Commit to Excellence and Care About One Another. The intention is to demonstrate through measurable results that Arizona is the best state in the nation!

Solutions:

Objectives:

100% of Work Units Score 3 or Better by FY 19; 65% in FY18

100% of New and Existing Employees Receive Introductory AMS Training in FY18

Strategies:

- Communication Cascading Measures in place to share learning and expectations.
- Problem Solving skill building is provided to all levels of employees
- Standard Work is in place for all levels of employees
- Recognition Plan established for improvement activities
- People Systems designed and in alignment with AMS
- Agency Scorecard established
- Business Reviews launched
- Leader Standard Work Routines established and audited
- Huddle Boards implemented, HB meetings scheduled, held, and audited
- Breakthrough projects completed
- Daily Kaizen activity increased

Performance Measures: By EOY 2018

- Establish OCI standard for each AMS element and create standard work.
- Create plan and deploy system the supports successful AMS rollout; train and deploy though on-the-job training.
- 100% of teams trained in each of the element buckets.
- Maintain 100% compliance with all new hire training through quarterly classes, bootcamps, and/or AMS 101 online training.
- 1.5 % improvement annually in Employee Engagement Survey scores (for the 6 lean related questions) until reach the 9:1 ratio

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	551.7	551.7	551.7
General Fund	8,147.6	8,147.6	8,147.8
Other Appropriated Funds	219,539.3	219,539.3	219,539.3
Non-Appropriated Funds	1,030,499.5	1,030,499.5	1,030,499.5
Federal Funds	2,966.8	2,966.8	2,966.8

Program Summary

ADMINISTRATION

Andy Tobin, Director
Phone: (602) 542-1500
A.R.S. § 41-701, 41-1051, 41-2501

Mission:

To deliver results that matter by providing best in class support services.

Description:

The Director's Office formulates and advocates agency policy, compliance with all statutory requirements and administers ADOA operations in a cost-effective and efficient manner that is responsive to our customer's needs. Additionally, the Director's Office also includes the Communications Office, Budget Office, Government Transformation Office, Arizona Office for Grants and Federal Resources, Travel Reduction Office, Office of the General Counsel, and the Governor's Regulatory Review Council.

This Program Contains the following Subprograms:

- Administration
- Governor's Regulatory Review Council (GRRC)
- Government Transformation Office
- Travel Reduction

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	973.1	1,305.5	1,305.5
Other Appropriated Funds	1,623.5	2,935.6	2,935.6
Other Non Appropriated Funds	35,522.6	59,924.7	23,209.6
Total Funding	**38,119.2**	**64,165.8**	**27,450.7**
FTE Positions	**34.5**	**43.5**	**43.5**

Subprogram Summary

ADMINISTRATION

Andy Tobin, Director
Phone: (602) 542-1500
A.R.S. § 41-701, 41-1051, 41-2501

Mission:

To deliver effective and efficient enterprise support services to agencies allowing them to focus more on their unique missions.

Description:

The Director's Office formulates and advocates agency policy, compliance with all statutory requirements and administers ADOA operations in a cost-effective and efficient manner that is responsive to our customer's needs. Additionally, the Director's Office also includes the Communications Office, Budget Office, Government Transformation Office, Arizona Office for Grants and Federal Resources, Travel Reduction Office, Office of the General Counsel, and the Governor's Regulatory Review Council.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	700.3	949.4	949.4
Other Appropriated Funds	655.3	927.3	927.3
Other Non Appropriated Funds	35,352.1	59,924.7	23,209.6
Total Funding	**36,707.7**	**61,801.4**	**25,086.3**
FTE Positions	**25.5**	**28.5**	**28.5**

◆ **Goal** 1 To Attract and Retain a 2020+ Workforce

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Voluntary Turnover in ADOA will be at or less than 12% by 6/30/2019	13.13	12.0	0	11.0	0
Explanation: ADOA Employee Voluntary Turnover					
Agency Compliance to Engagement Plan (All Divisions)	0	.98	0	.98	0

◆ **Goal** 2 To Make Arizona the Best State in the Nation

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
% AMS Deployment in Agency	98	100	100	100	100
AMS Implementation Score	2.86	3.15	3.75	4	0

Subprogram Summary

GOVERNOR'S REGULATORY REVIEW COUNCIL (GRRC)

Nicole Sornsin, ADOA General Counsel
Phone: (602) 542-2181
A.R.S. § 41-1001

Mission:

To deliver effective and efficient enterprise support services to agencies allowing them to focus more on their unique missions.

Description:

The Council is composed of seven members and, while tasked with several responsibilities, has two primary functions. First, the Council is the final step in the rulemaking process for most state agencies. The Council staff reviews rules, unless exempted from Council review by statute, to ensure that the rules are necessary and to avoid duplication and adverse impact on the public. The Council assesses whether a rule is clear, concise, and understandable, legal, consistent with legislative intent and within the agency's statutory authority, and whether the benefits of a rule outweigh the cost. If a rule does not meet these criteria, the Council returns it to the agency for further consideration.

Secondly, the Council is responsible for reviewing five-year review reports. Arizona law requires an agency to review its rules every five years to determine whether the rules need to be amended or repealed. After doing this review, the agency is required to submit a report of its findings to the Council, which will approve the report or return it to the agency for additional work. (NOTE: With regards to new rules, the agencies determine whether to complete a rulemaking action, and if not exempt from the rulemaking moratorium, must request an exception from the Governor’s Office before beginning the process.)

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	272.8	356.1	356.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**272.8**	**356.1**	**356.1**
FTE Positions	**3.0**	**3.0**	**3.0**

Subprogram Summary

GOVERNMENT TRANSFORMATION OFFICE

Robert Woods, Administrator
Phone: (602) 692-5896
EO 2012-07

Mission:

To deliver results that matter by providing best in class support services.

Description:

The Government Transformation Office (GTO) provides consulting services in support of an enterprise wide lean management system. GTO leads hgh impact projects that improve people, service, quality, and cost.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	968.2	2,008.3	2,008.3
Other Non Appropriated Funds	170.5	0.0	0.0
Total Funding	**1,138.7**	**2,008.3**	**2,008.3**
FTE Positions	**6.0**	**12.0**	**12.0**

Subprogram Summary

TRAVEL REDUCTION

Matthew Hanson, Director, GFR
Phone: (602) 542-3630
A.R.S. § 49-588

Mission:

To deliver effective and efficient enterprise support services to agencies allowing them to focus more on their unique missions.

Description:

The sub program has moved under Administration. Through promotion, education and incentives, the Travel Reduction Program encourages non-university state employees in Maricopa County to carpool, vanpool, ride transit, bicycle or walk to work. Other forms of travel reduction such as telecommuting and virtual office are also pursued. A.R.S. § 49-588, which mandates this program, is a committed transportation control measure in several EPA-approved air quality plans. Failure to implement these legally binding commitments could lead to federal sanctions. Annual surveys are administered by this program to measure conformance. (NOTE:
Customer satisfaction measures, unless otherwise noted, are based on an annual survey using a scale of 1-8 with 8 being the best rating.)

◆ **Goal** 1 To Maximize the Value of the State's Assets

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Decrease Single Occupancy Commutes	76.45	77	0	78	0

Explanation: Numbers represent single occupancy forecasts

Program Summary

GENERAL ACCOUNTING

Clark Partridge, State Comptroller
Phone: (602) 542-5405
A.R.S. § 35-101 et. seq.

Mission:

To deliver results that matter by providing best in class support services.

Description:

The General Accounting Office provides financial information to state and federal government agencies, financial institutions, and other interested public or private entities. Key areas of responsibility include
- operating the Arizona Financial Information System (AFIS) and the statewide payroll portion of the Human Resources Information Solution (HRIS) to provide appropriate financial management information;
- enhancing the State's financial systems to reduce cost, increase efficiency, and meet new needs and requirements of the State;
- providing adequate AFIS system security;
- maintaining and monitoring budgetary controls;
- resolving systems-related problems and other financial and accounting issues in a timely, cost-effective manner;
- providing statewide accounting policies and procedures;
- reconciling and distributing State warrants;
- preparing cash basis (AFR) and accrual basis (CAFR) financial reports designed to provide an accurate recording of the financial condition of the State;
- performing internal audits, reviews, and investigations;
- providing a variety of accounting and financial processing services for ADOA divisions and other State agencies;
- providing various types of technical assistance on governmental accounting and financial matters.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,808.6	4,983.5	4,983.5
Other Appropriated Funds	9,592.5	10,587.7	10,587.7
Other Non Appropriated Funds	137.4	25.0	25.0
Total Funding	**14,538.5**	**15,596.2**	**15,596.2**
FTE Positions	**99.0**	**99.0**	**99.0**

◆ **Goal** 1 To Improve Customer Service/ Go Faster

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Statewide electronic fund transfers (ACH/EFT) payment percentage (without ADOT license plate and Game & Fish Hunting license)	49	55	59	57	0

◆ **Goal** 2 To Increase Quality (Complaince/Customer Satisfaction)

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of Scheduled Up time that AFIS is available	99.8	99.5	99.6	0	0
Number of days after fiscal year end to issue the CAFR	215	190	217	0	0

Program Summary

STATE PROCUREMENT

Ed Jimenez, State Procurement Administrator
Phone: (602) 542-1268
A.R.S. § 41-2501

Mission:

To actively partner with our State Agency customers and Suppliers to reduce costs and increase the overall value to the State of Arizona while increasing the quality of the product, the level of service and performance visibility.

Description:

The State Procurement Office (SPO) serves as the central procurement authority for the State of Arizona. In doing so, SPO focuses on providing procurement leadership, procurement delegation, policy development, technical assistance, and maximizing strategic sourcing opportunities. The SPO conducts strategic sourcing for statewide non-programmatic specific contracts including: office supplies and equipment, temporary services, information technology equipment, software and telecommunication equipment and services. SPO also conducts specialized procurements for a large number of small agencies with limited procurement authority. Additionally, SPO provides and supports a central e-procurement system for state agencies and cooperative members (ie., counties, cities, schools) to use in conducting their procurements.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,606.9	1,651.4	1,651.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	4,707.7	5,465.7	5,465.7
Total Funding	**6,314.6**	**7,117.1**	**7,117.1**
FTE Positions	**36.0**	**44.0**	**44.0**

◆ **Goal** 1 To actively partner with State Agency customers and Suppliers to reduce costs and increase the overall value to the State of Arizona while increasing the quality of the product, the level of service and performance visibility.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
% of APP Roadmap Completed	0	0	0	100	0
# of enterprise wide consolidated contracts	0	0	0	3	3
% of savings to statewide target	0	0	0	100	100

Program Summary

BENEFITS SERVICES DIVISION

Paul Shannon, Assistant Director
Phone: (602) 542-7367
A.R.S. § 41-702, 38-651 to 38-654

Mission:

To deliver results that matter by providing best in class support services.

Description:

Benefit Services administers the group benefit programs for state employees and their dependents. These programs currently include self-funded medical and dental plans; fully insured dental HMO, vision, basic life, supplemental life, dependent life, short-term disability, long-term disability, home-owners and auto insurance plans; flexible spending accounts; and computer purchase and employee discount programs. ADOA is legislatively mandated to offer continuation of health and dental insurance coverage to state retirees and their dependents. This section also manages the statewide wellness program.

The Benefit Services Division manages the Health Insurance Trust Fund and is responsible for the benefits provided to its 130,000+ members. Members include active state and university employees, retirees, COBRA members and qualified dependents. Programs administered include self-funded medical, pharmacy and dental plans; fully insured dental HMO, vision, basic life, supplemental life, dependent life, short-term disability, long term-disability, flex spending accounts, home-owners and auto insurance plans, and computer purchase and employee discount programs. The Division manages the statewide wellness program offering numerous health enhancement and preventive services, as well as, an Employee Assistance Program. ADOA is legislatively mandated to offer continuation of health and dental insurance coverage to COBRA members, state retirees, and their qualified dependents.

This Program Contains the following Subprograms:

- Benefits Services Operations
- Benefits Vendor Payments

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	5,056.2	5,291.9	5,291.9
Other Non Appropriated Funds	923,618.4	951,490.9	976,649.8
Total Funding	**928,674.6**	**956,782.8**	**981,941.7**
FTE Positions	**29.0**	**31.0**	**31.0**

◆ **Goal** 1 To Improve Operational Effectiveness

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Manage Medical and Pharmacy cost per member	499	499	0	0	0

Explanation: Dollars per member

Subprogram Summary

BENEFITS SERVICES OPERATIONS

Paul Shannon, Interim Assistant Director
Phone: (602) 542-7367
A.R.S. § 41-702, 38-651 to 38-671

Mission:

To deliver results that matter by providing best in class support services.

Description:

The Benefit Services Division manages the Health Insurance Trust Fund and is responsible for the benefits provided to its 130,000+ members. Members include active state and university employees, retirees, COBRA members and qualified dependents. Programs administered include self-funded medical, pharmacy and dental plans; fully insured dental HMO, vision, basic life, supplemental life, dependent life, short-term disability, long term-disability, flex spending accounts, home-owners and auto insurance plans, and computer purchase and employee discount programs. The Division manages the statewide wellness program offering numerous health enhancement and preventive services, as well as, an Employee Assistance Program. ADOA is legislatively mandated to offer continuation of health and dental insurance coverage to COBRA members, state retirees, and their qualified dependents.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	5,056.2	5,291.9	5,291.9
Other Non Appropriated Funds	320.8	256.7	256.7
Total Funding	**5,377.0**	**5,548.6**	**5,548.6**
FTE Positions	**29.0**	**31.0**	**31.0**

◆ **Goal** 1 To Attract and Retain a 2020+ Workforce

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Achieve structural balance in the HITF and maintenance of IBNR (Target is .99 or less)	107.3	.99	0	.99	.99

Subprogram Summary

BENEFITS VENDOR PAYMENTS

Paul Shannon, Interim Assistant Director
Phone: (602) 542-7367
A.R.S. § 41-702, 38-651 to 38-671

Mission:

To deliver results that matter by providing best in class support services.

Description:

The Benefit Services Division manages the Health Insurance Trust Fund and is responsible for the benefits provided to its 130,000+ members. Members include active state and university employees, retirees, COBRA members and qualified dependents. Programs administered include self-funded medical, pharmacy and dental plans; fully insured dental HMO, vision, basic life, supplemental life, dependent life, short-term disability, long term-disability, flex spending accounts, home-owners and auto insurance plans, and computer purchase and employee discount programs. The Division manages the statewide wellness program offering numerous health enhancement and preventive services, as well as, an Employee Assistance Program. ADOA is legislatively mandated to offer continuation of health and dental insurance coverage to COBRA members, state retirees, and their qualified dependents.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	923,297.6	951,234.2	976,393.1
Total Funding	**923,297.6**	**951,234.2**	**976,393.1**
FTE Positions	**0.0**	**0.0**	**0.0**

Program Summary

HUMAN RESOURCES DIVISION

Nancy Gomez, Assistant Director
Phone: (602) 542-8378
A.R.S. § 41-702

Mission:

To deliver results that matter by providing best in class support services.

Description:

TThe Human Resources Division (HRD) is responsible for administering the State Personnel System (SPS) which has nearly 34,000 employees in 92 state agencies, boards, and commissions. The Human Resources Program includes the following areas of focus: classification and compensation, employment, operations, consulting and quality assurance, and the Human Resources Information Solution (HRIS).

- Classification and compensation administers and oversees annual surveys to evaluate market position of state jobs to ensure competitiveness; analyzes and evaluates salary ranges and job classifications to ensure internal equity.
- Recruitment/Employment administers an integrated automated recruiting and hiring system for use by hiring supervisors to fill positions; coordinate and host job fairs, community events and outreach programs to recruit new talent; administers an internship program in partnership with several universities and colleges.
- Operations
- Consulting and Quality Assurance offers consulting services to provide human resources expertise in such areas as employment laws and Arizona state government rules, policies and practices; provides guidance on employee relations issues; assists in the administration of reductions in force; investigates and prepares responses to complaints; employee development, recognition, workforce planning and analysis and operational support.
- Human Resources Information Solution (HRIS) maintains an integrated system used to administer payroll, personnel and employee benefits processing for all branches, departments, and agencies in State government. HRIS also provides the infrastructure for personnel administration including the centralized job board (azstatejobs.gov), the hiring system (Talent Acquisition), and the State's centralized employee's self-service website-Your Employee Services (YES).

This Program Contains the following Subprograms:

- Human Resource Operations

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	11,806.5	12,723.8	12,723.8
Other Non Appropriated Funds	0.4	165.0	165.0
Total Funding	**11,806.9**	**12,888.8**	**12,888.8**
FTE Positions	**63.0**	**75.5**	**75.5**

Subprogram Summary

HUMAN RESOURCE OPERATIONS

Nancy Gomez, Assistant Director
Phone: (602) 542-8378
A.R.S. § 41-702

Mission:

To deliver results that matter by providing best in class support services.

Description:

The Human Resources Program includes classification and compensation, employment, operations, planning and quality assurance, and the Human Resources Information Solution (HRIS). The program administers an automated recruiting and hiring system for use by hiring supervisors to fill positions; coordinate and hosts job fairs, community events and outreach programs to recruit new talent; administers an internship program in partnership with several universities and colleges, offers consulting services to provide human resources expertise in such areas as employment laws and Arizona state government rules, policies, and practices; administers and oversees annual surveys to evaluate market position of state jobs to ensure external competitiveness; analyzes and evaluates salary ranges and job classifications to ensure internal equity; provides guidance on employee relations issues; assists in administer reductions in force; investigates and prepares responses to complaints; and maintains HRIS-an integrated system used to administer payroll, personnel and employee benefits processing for all branches, departments, and agencies in State government.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	11,806.5	12,723.8	12,723.8
Other Non Appropriated Funds	0.4	165.0	165.0
Total Funding	**11,806.9**	**12,888.8**	**12,888.8**
FTE Positions	**63.0**	**75.5**	**75.5**

◆ **Goal** 1 To Improve Operational Effectiveness

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
% of HRIS V.10 Project Completion	N/A	N/A	N/A	100	0
HRIS Strategy (3-5 year plan) - % project completion	N/A	N/A	N/A	100	100
% of Project Completion for Job Board Redesign	N/A	N/A	N/A	100	100
% of Project Completion Stay Interview Process (30,60,90 day)	N/A	N/A	N/A	100	100

Program Summary

ARIZONA STRATEGIC ENTERPRISE TECHNOLOGY OFFICE

JR Sloan, Interim Assistant Driector, State CIO
Phone: (602) 364-4770
A.R.S. §§ 41-711, 41-712, 41-713, 41-704

Mission:

To deliver results that matter by providing best in class support services.

Description:

The Arizona Strategic Enterprise Technology (ASET) Office is comprised of the State Data Center and Enterprise Capabilities and Delivery (both formerly ISD), Enterprise Infrastructure and Communications (formerly TPO) and Strategic Transformation and Innovation (formerly GITA). The Enterprise Infrastructure and Communications Office is responsible for overseeing AZNet, the statewide telecommunications network. AZNet provides state agencies a scalable, centralized, statewide converged voice, video and data solution to streamline state agency communications. The State Data Center and Enterprise Capabilities and Delivery Office is responsible for providing information technology services to state agencies. These services include transaction processing; application development and maintenance; system and technical support; and relevant security assessments, evaluation, provisioning, and consulting. Services are charged back to the customer through monthly billing processes. The State 9-1-1 Office is a subprogram of STI, responsible for oversight of the 9-1-1 program throughout the State. Revenue is generated through the Emergency Telecommunications Excise Tax and is used for capital upgrades and remedial costs associated with the service delivery of emergency 9-1-1 calls.

This Program Contains the following Subprograms:

- ASET Operations
- 911 Emergency Services
- Enterprise Infrastructure and Communications
- Strategic Transformation and Innovation

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	31,530.9	45,966.1	45,966.1
Other Non Appropriated Funds	1,536.9	1,105.0	1,105.0
Total Funding	**33,067.8**	**47,071.1**	**47,071.1**
FTE Positions	**102.0**	**104.0**	**104.0**

◆ **Goal** 1 To Go Faster (Respond/Decide/Resolve)

Subprogram Summary

ASET OPERATIONS

Gary Hensley, Chief Operations Officer
Phone: (602) 771-6401
A.R.S. § 41-711, 41-712, 41-713, 41-704

Mission:

To deliver results that matter by providing best in class support services

Description:

The State Data Center and Enterprise Capabilities and Delivery are responsible for providing information technology services to state agencies. These services include transaction processing; application development and maintenance; system and technical support; and relevant security assessments, evaluation, provisioning, and consulting. Services are charged back to the customer through monthly billing processes. (NOTE: Customer satisfaction measures, unless otherwise noted, are based on an annual survey using a scale of 1-8 with 8 being the best rating).

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	21,529.8	31,040.9	31,040.9
Other Non Appropriated Funds	1,536.9	1,105.0	1,105.0
Total Funding	**23,066.7**	**32,145.9**	**32,145.9**
FTE Positions	**65.0**	**65.0**	**65.0**

Subprogram Summary

911 EMERGENCY SERVICES

Matthew Hanson, Director, GFR
Phone: (602) 542-0911
A.R.S § 41-704, 42-5251

Mission:

To deliver results that matter by providing best in class support services.

Description:

The 9-1-1 program is charged with providing guidance and direction, as well as acting as liaison to ensure that when a citizen dials 9-1-1, the call goes to the correct 9-1-1 center the first time. Funding oversight is done on a statewide basis. Monies in each FY are necessary to meet the operational requirements of more than eighty-five 9-1-1 centers statewide and to continue deployment of location-based technology through Next Generation 911 (NG911) Managed Services.

Subprogram Summary

ENTERPRISE INFRASTRUCTURE AND COMMUNICATIONS

Suzan Tasvibi-Tanha, Chief of Managed Services Operations
Phone: (602) 542-1111
A.R.S. § 41-712, 41-713

Mission:

To deliver results that matter by providing best in class support services.

Description:

The Enterprise Infrastructure and Communications oversees AZNet, the statewide telecommunications network providing voice and data communications services, including the installation and maintenance of telecommunication systems. Each office, department and agency of the State contracts with the primary contractor through the Enterprise Infrastructure and Communications and makes payment directly to the primary contractor for its telecommunications needs. The Enterprise Infrastructure and Communications is charged with ensuring that its contractor acts as the State's agent for all carrier services to the offices, departments and agencies within AZNet.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,591.7	1,645.6	1,645.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,591.7**	**1,645.6**	**1,645.6**
FTE Positions	**10.0**	**10.0**	**10.0**

Subprogram Summary

STRATEGIC TRANSFORMATION AND INNOVATION

Doug Lange, Chief Strategy Officer
Phone: (602) 542-8947
A.R.S. § 41-711, 41-712, 41-713, 41-704

Mission:

To deliver results that matter by providing best in class support services.

Description:

Strategic Transformation and Innovation (STI) sets the technology, security, privacy, and communication strategies, policies, and procedures for the State of Arizona. In addition, it is the body responsible for monitoring and overseeing high-risk technology projects across all state agencies. Lastly, it manages several large, state-wide programs and initiatives such as Digital Government.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	8,409.4	13,279.6	13,279.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**8,409.4**	**13,279.6**	**13,279.6**
FTE Positions	**27.0**	**29.0**	**29.0**

Program Summary

RISK MANAGEMENT

Elizabeth Pence, Risk Manager
Phone: (602) 542-1791
A.R.S. § 41-621 et. seq.

Mission:

To deliver results that matter by providing best in class support services

Description:

Risk Management provides statewide (including the three universities) insurance administration and management services for the following subprograms:
- Indemnification, legal defense, investigation, negotiation, and mitigation services for liability claims and lawsuits filed against the State, its agencies, and employees acting within the course and scope of their employment;
-Property coverage for damage or theft of State-owned property,
- Environmental remediation of State property involving an immediate health and safety impact,
- Workers' compensation benefits for injured State employees,
- Agency monitoring, training, and assistance in the development of employee health and safety programs,
- Support in the development of indemnification and insurance provisions in State contracts, and
- Post-offer employment physicals for job classifications that have a high exposure to occupational injuries.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	78,424.3	94,579.9	117,885.5
Other Non Appropriated Funds	1,663.6	4,148.8	3,474.8
Total Funding	**80,087.9**	**98,728.7**	**121,360.3**
FTE Positions	**41.0**	**51.0**	**55.0**

◆ **Goal** 1 To Implement State Cyber Risk Master Program

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
% Progress to Self Insured Cyber Risk Program	0	65	53	90	0

Program Summary

GENERAL SERVICES DIVISION

Nola Barnes, Assistant Director
Phone: (602) 542-1954
A.R.S. § 31-253, 35-193, 41-701, 41-791, 41-803, 41-2606(B)

Mission:

To deliver results that matter by providing best in class support services.

Description:

The General Services Division (GSD) is responsible for the ADOA Building System, which includes 4,211 state-owned structures. GSD provides facility operations and maintenance including custodial, maintenance, heating and air conditioning and landscaping services to 4 million square feet in Phoenix, Tucson, Metro Phoenix area, and Kingman. In addition, the division is responsible for the allocation of the Building System's building renewal appropriations, capital construction and tenant improvement project management, real property disposals and acquisitions, private sector office space leasing, capital and space allocation planning and management, fleet services, surplus property management, and mail services to state agencies.

This Program Contains the following Subprograms:

- Planning & Construction Services and FOAM
- Mail Services & Screening
- Surplus Property
- Motor Pool

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	201.8	207.2	207.2
Other Appropriated Funds	23,043.1	32,751.5	24,148.7
Other Non Appropriated Funds	5,966.9	24,046.5	23,371.4
Total Funding	**29,211.8**	**57,005.2**	**47,727.3**
FTE Positions	**96.7**	**103.7**	**101.8**

Subprogram Summary

PLANNING & CONSTRUCTION SERVICES AND FOAM

John Hauptman and Matt Halstead, General Manager
Phone: (602) 542-1768
A.R.S. § 41-701

Mission:

To deliver results that matter by providing best in class support services.

Description:

The Building, Planning, and Facilities Operations and Maintenance (FOAM) subprogram provides facility management services for state-owned buildings in the ADOA Building System including capital planning, new construction and quadrennial building inspections, review of capital construction plans and specifications, land acquisition, space allocations, and tenant improvements. The FOAM subprogram provides routine repair and maintenance of ADOA owned and managed facilities in the Governmental Mall, Tucson State Office Complex, Metro Phoenix, and Kingman. This subprogram prepares the annual ADOA Building System Capital Improvement Plan (CIP) for 22 State agencies that includes recommendations to the Executive and the Legislature for capital spending, including land acquisitions, building renewal, and new capital construction. Additionally, the subprogram plans and manages state-owned office space allocations for the efficient and effective use of state-owned buildings. This subprogram also reviews, approves and maintains all agency private sector leases of office space; plans and administers agency relocations for orderly transitions to maximize efficiency; directs and regulates parking, contracts for and project manages design and construction of new capital and building renewal major maintenance projects for ADOA Building System agencies, and provides physical security services (locks and badge access).

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	15,040.9	19,117.3	20,705.7
Other Non Appropriated Funds	4,707.1	22,461.4	22,461.4
Total Funding	**19,748.0**	**41,578.7**	**43,167.1**
FTE Positions	**80.2**	**88.6**	**88.6**

◆ **Goal** 1 To Maximize the Value of Assets

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Capital Infrastructure Communications Strategies	0	0	0	100	100

Subprogram Summary

MAIL SERVICES & SCREENING

Kerry Suson, Administrator
Phone: (602) 542-0796
A.R.S. § 41-101.03, 41-701

Mission:

To deliver results that matter by providing best in class support services.

Description:

The Other Support Services subprogram is responsible for the ADOA Interagency Mail Rooml which provides mail service including screening services, interagency route service, U.S. mail processing, and parcel mail service.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	201.8	207.2	207.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	782.2	910.0	910.0
Total Funding	**984.0**	**1,117.2**	**1,117.2**
FTE Positions	**4.2**	**4.3**	**4.3**

Subprogram Summary

SURPLUS PROPERTY

Kerry Suson, Administrator
Phone: (602) 542-0796
A.R.S. § 41-2606(B)

Mission:

To deliver results that matter by providing best in class support services.

Description:

The Surplus Property Program is responsible for determining the fair market value of all excess and surplus property and for determining the method of disposal by approving trade-in, direct transfer or distribution, cannibalization, condemn by scrap, or disposal through the use of competitive sealed bids, auctions, established markets, and/or posted price sales. Other functions include advertising through printed and electronic media; determining and assessing proper service and handling fees for the acquisition, receipt, warehousing, rehabilitation, delivery, distribution or transfer of surplus materials; allocating proceeds from direct transfer or disposal through sale of surplus materials to authorized reimbursable funds; preparing and filing a State Plan of Operation with United States General Service Administration; acting on behalf of the State with any federal agencies or other surplus agencies regarding federal surplus materials; determining eligibility for the acquisition and distribution of state and federal surplus materials in accordance with federal laws; and ensuring that the federal and state surplus revolving funds are being maintained in accordance with the State Plan of Operation and applicable Arizona Administrative Codes.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,327.1	3,443.0	3,443.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,327.1**	**3,443.0**	**3,443.0**
FTE Positions	**8.9**	**8.9**	**8.9**

Subprogram Summary

MOTOR POOL

Kerry Suson, Administrator
Phone: (602) 542-4375
A.R.S. § 41-803

Mission:

To deliver results that matter by providing best in class support services.

Description:

The functions of the Fleet Management Program include providing dispatching for the taxi fleet; managing the procurement, assignment, and utilization of the entire fleet; managing the outsourcing of maintenance and repairs of the fleet; managing the record keeping for vehicles during their life in the fleet; providing a refueling site and car wash facilities; providing replacement vehicles for those meeting required criteria; and managing the disposition of replaced vehicles.

Pursuant to Laws 2019, Chapter 267, administration of the State motor pool will transfer to the Department of Transportation in FY 2021.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	5,675.1	10,191.2	0.0
Other Non Appropriated Funds	477.6	675.1	0.0
Total Funding	**6,152.7**	**10,866.3**	**0.0**
FTE Positions	**3.4**	**1.9**	**0.0**

- **Goal** 1 To improve efficient delivery of service to Motor Pool subprogram customers.

Agency Summary

OFFICE OF ADMINISTRATIVE HEARINGS

Greg Hanchett, Acting Director
Phone: (602) 542-9853
A.R.S. § 41-1092.01

Mission:

To contribute to the quality of life in Arizona by fairly and impartially hearing contested matters arising out of State regulation.

Description:

The Office of Administrative Hearings is the main venue for administrative law hearings in Arizona, in which administrative law judges preside over contested cases.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	868.8	889.8	889.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	753.2	793.9	793.9
Total Funding	**1,622.0**	**1,683.7**	**1,683.7**
FTE Positions	**14.0**	**14.0**	**14.0**

5 Year Plan

Issue 1 Strategic Issue 1:
Statement: Stay up-to-date and enhance technological resources available to the OAH

Description Discussion: The OAH is technically sophisticated, and its efficiencies depend on developing, maintaining, and expanding automated technology.

Challenge: Technology is constantly changing with new possibilities being presented. In addition, software must be up-dated and equipment replaced in regular rotations.

Solutions:
Strategies:
a. OAH will continue to enhance efficiency and productivity by utilizing automation (through AI programs) to complete routine clerical tasks such as filing documents in docketing system and forwarding notice of the filing of such documents. To this end, OAH has developed a proprietary automated system to docket the tens of thousands of motions and other documents filed by parties each year which will virtually eliminate time and costs associated with staff manually docketing such entries.

b. OAH will continue to refine and enhance its utilization of Google Email and Google Calendaring in conformity with ADOA requirements. To this end, OAH has developed proprietary methodologies to make Google compatible with OAH's existing docketing system, saving tens of thousands of dollars that would have otherwise been required to purchase and deploy new docketing system software.

c. OAH will continue to regularly survey technological advances through relevant literature in order to stay abreast of and implement time and cost saving technologies.

d. OAH will consult with other central panel directors regarding technological approaches to the delivery of efficient administrative hearing services.

e. OAH will replace aging equipment and update software.

Expected Outcome: OAH will ensure business efficiency and continuity.

Issue 2 Strategic Issue 2
Statement: To have all state agencies and superior courts exchange documents with OAH electronically.

Description Discussion: All agencies save one for which OAH provides hearing services currently exchange requests for hearings, final agency actions, agency records, and decisions electronically. In addition, OAH has implemented electronic record exchange with the Maricopa County Superior Court for judicial appeals from final agency decisions.

Challenge: While all agencies save one have now converted to electronic documents, electronic exchange of documents with some of the superior courts in Arizona is still not available to OAH.

Solutions:
Strategies:
a. OAH will continue to work with the agency that has not yet converted to electronic documentation to accomplish that goal.

b. OAH will continue to foster relationships among client agencies with differing technological capabilities to ensure that efficient and up to date methodologies are utilized for electronic filing.

c. OAH will look for ways to implement, increase and enhance electronic filing for matters appealed to superior courts outside of Maricopa County. In the past fiscal year, several superior courts in Arizona have begun electronic filing through the E Courts filing system. OAH will work to obtain the ability to electronically file appeals records with those courts.

Expected Outcome: Both OAH and agencies will experience increased efficiency and lower costs.

Issue 3 Strategic Issue 3
Statement: To provide parties with options for mediation and other means of alternative dispute resolution.

Description Discussion: Within the last ten years, alternative dispute resolution, and in particular, mediation, has become widespread as an alternative to expensive litigation. Mediation has been used not only to resolve judicial matters but administrative matters as well and has seen widespread acceptance among administrative agencies in several states. Mediation offers parties the ability to settle their disputes at a fraction of the cost that administrative litigation would otherwise entail. In addition, mediation offers state agencies the ability to reduce demands on already overburdened state resources which in turn reduces agency expenditures.

Challenge: Until FY 2016, OAH had not looked at utilizing mediation as a means of dispute resolution. In 2016, that focus changed and OAH began to offer mediation services to a limited number of agencies.

Solutions:
Strategies:

a. OAH has fully implemented mediation for several state agencies which send cases to OAH.

b. OAH will continue to educate agencies and the public about the benefits of mediation. OAH will continue to encourage agencies and the public to explore mediation and alternative dispute resolution to litigation.

c. All OAH judges are trained mediators. In total, OAH has 7 trained mediators, thus permitting OAH to expand the availability of mediation to parties seeking mediation. OAH will continue to offer parties and agencies expanded mediation resources.

Expected Outcome: OAH's expanding mediation resources will save parties time, effort, money and anxiety and conserve precious state resources. In turn, this will ultimately reduce state expenditures associated with protracted litigation in administrative proceedings.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	14.0	14.0	14.0
General Fund	889.8	889.8	889.8
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	793.9	793.9	793.9
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To conduct hearings in a timely fashion.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of days from hearing request to hearing scheduling	1.72	1.72	2.62	2.62	2.62
Average number of days from hearing scheduling to first scheduled hearing	49.66	49.66	46.31	46.31	46.31
Average number of days from the first scheduled hearing to the conclusion of the hearing	12.52	12.52	19.28	19.28	19.28
Average number of days from the conclusion of the hearing to transmission of the decision to the agency	13.56	13.56	14.53	14.53	14.53
Average length of delay (in days) from first hearing date to conclusion of the case due to continuances	46.43	46.43	59.40	59.40	59.40
Average length of a single continuance [measured by first continuances only] (in days)	92.07	43.39	48.18	48.18	48.18
Cases docketed	5798	5798	4926	4926	4926
Number of hearings held	1,769	1,769	1,821	1,821	1,821
New cases docketed to cases concluded	1:96.3	1:96.3	1:106	1:106	1:106
Hearings conducted by contract administrative law judges	354	354	362	362	362
Average days from request for hearing to first date of hearing	51.38	51.38	48.92	48.92	48.92

◆ **Goal** 2 To increase client satisfaction in the hearing process.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of agency acceptance of findings of fact and conclusions of law (excluding recommended order) without modification	89.34	89.34	87.48	87.48	87.48
Percent of agency acceptance of findings of fact and conclusions of law (including recommended order) without modification	86.12	86.12	85.04	85.04	85.04
Percent of OAH decisions contrary to original agency position	15.99	15.99	14.58	14.58	14.58
Percent of agency acceptance of contrary Office of Administrative Hearings decision	90.57	90.57	93.88	93.88	93.88
Percent of agency rejection of OAH decisions	3.08	3.08	1.99	1.99	1.99
Percent of cases reheard	2.15	2.15	1.42	1.42	1.42
Percent of cases appealed to Superior Court	2.72	2.72	2.92	2.92	2.92
Percent of evaluations rating the administrative law judge excellent or good in attentiveness	97.23	97.23	93.18	93.18	93.18
Percent of evaluations rating the administrative law judge excellent or good in explaining the hearing process	96.84	96.84	94.89	94.89	94.89
Percent of evaluations rating the administrative law judge excellent or good in the use of clear and neutral language	97.65	97.65	93.22	93.22	93.22
Percent of evaluations rating the administrative law judge excellent or good in impartiality	95.65	95.65	90.40	90.40	90.40
Percent of evaluations rating the administrative law judge excellent or good in dealing with the issues of the case	93.98	93.98	90.56	90.56	90.56
Percent of evaluations rating the office excellent or good in sufficient space	92.89	92.89	94.38	94.38	94.38
Percent of evaluations rating the office excellent or good in providing freedom from distractions	95.62	95.62	95.45	95.45	95.45
Percent of evaluations rating the staff excellent or good in responding promptly and completely to questions	94.38	94.38	93.45	93.45	93.45
Percent of evaluations rating the staff excellent or good in courteous treatment	96.28	96.28	93.29	93.29	93.29

◆ **Goal** 3 To serve the parties by providing at will access to information.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of monthly hits to website.	46,964	46,964	24,389	24,389	24,389
Average number of unique visitors accessing the website per month.	3,310	3,310	869	869	869
Average number of daily visits.	208	208	204	204	204
Average number of monthly hits on information page to enter agency portal.	1140	1140	1072	1072	1072
Average number of text searches of administrative law judge decisions per month.	308	308	236	236	236

Agency Summary

AFRICAN-AMERICAN AFFAIRS

Cloves Campbell, Director
Phone: (602) 542-5484
A.R.S. § 41-531

Mission:

To address challenges facing the African-American community.

Description:

The Commission of African-American Affairs advises State and federal agencies on policies, legislation, and rules that affect the African-American Community. The Commission develops, reviews, and recommends policies that affect the areas of health and human services, housing, education, employment, business formation and development, public accommodations and contracting, and procedures to ensure that programs affecting African-Americans are effectively implemented with input from members of the African-American community.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	118.2	128.1	132.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	7.1	20.0	20.0
Total Funding	**125.3**	**148.1**	**152.6**
FTE Positions	**3.0**	**3.0**	**3.0**

◆ **Goal** 1 To facilitate communication between the African-American community with elected officials and other state agencies.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of events that the African-American Commission participates in, including Legislative Conference and additional town hall meetings and summits throughout the State of Arizona.	0	15	11	15	15
Increase the number of participants and attendees at the African-American Legislative Conference.	0	1000	450	550	600

◆ **Goal** 2 To increase the number of African-American Elected Officals.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of African-American Elected Officials in Arizona.	0	25	22	30	30

Agency Summary

ARIZONA DEPARTMENT OF AGRICULTURE

Mark W. Killian, Director
Phone: (602) 542-0990
A.R.S. §§ 3-101 et seq.

Mission:

To support and promote Arizona agriculture in a manner that encourages farming, ranching, and agribusiness; protects the well-being of people, plants, animals, and the environment; and safeguarding commerce, consumers, and natural resources.

Description:

The Arizona Department of Agriculture (AZDA), often in cooperation with federal entities, regulates facets of the agriculture industry to promote the general welfare of the agricultural community, inform consumers, and protect public health and safety.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ FOOD SAFETY AND QUALITY ASSURANCE	8,596.3	8,906.1	8,906.1
➢ NON-FOOD PRODUCT QUALITY ASSURANCE	852.3	1,050.8	1,050.8
➢ ANIMAL DISEASE, OWNERSHIP AND WELFARE PROTECTION	2,784.3	3,041.2	3,041.2
➢ PEST EXCLUSION AND EXPORT SERVICES	4,939.4	4,924.6	5,913.6
➢ NATIVE PLANT AND CULTURAL RESOURCES PROTECTION	177.3	181.7	181.7
➢ PESTICIDE COMPLIANCE AND WORKER SAFETY	634.4	648.9	648.9
➢ ADMINISTRATIVE SERVICES	1,837.4	1,813.8	1,792.9
➢ STATE AGRICULTURAL LABORATORY	1,552.6	1,884.6	1,599.6
➢ AGRICULTURAL CONSULTATION AND TRAINING	2,498.2	2,424.2	2,424.2
➢ COMMODITY DEVELOPMENT AND PROMOTION	3,758.5	3,688.5	3,688.5
➢ WEIGHTS AND MEASURES	2,329.1	2,363.3	2,363.3
➢ PEST MANAGEMENT	1,771.9	1,806.0	1,806.0
Agency Total:	**31,731.7**	**32,733.7**	**33,416.8**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,470.3	10,865.5	11,102.9
Other Appropriated Funds	1,703.4	1,750.2	1,729.3
Other Non Appropriated Funds	20,558.0	20,118.0	20,584.6
Total Funding	**31,731.7**	**32,733.7**	**33,416.8**
FTE Positions	**339.9**	**336.9**	**337.9**

Department of Agriculture

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Mark W. Killian
Strategic Planner: Louise Houseworth
Last modified: 08/12/2019

Vision: To be recognized as a global leader in enhancing and protecting agricultural commerce, championing consumer awareness and protection while fostering and promoting an understanding of Arizona agricultural products and producers.

Mission: To support and promote Arizona agriculture in a way that encourages farming, ranching and agribusiness, protects the well-being of people, plants, animals and the environment while safeguarding commerce, consumers and natural resources.

Agency Description: AZDA facilitates commerce and safeguards market access both domestically and internationally. AZDA conducts food quality and safety inspections of meat, dairy, vegetable, citrus, fruit and egg products; licenses and samples feed, fertilizer, seed and pesticide use; trains and certifies pesticide applicators; protects native plants; guards against the risks associated with the entry and spread of plant pests and diseases; licenses produce dealers and shippers; provides education on pesticide safety and air quality; provides forensic agricultural laboratory analysis, identification, certification and training services; inspects, tests and licenses commercial weighing and measuring devices; and regulates pest management services.

Executive Summary: The Arizona Department of Agriculture (AZDA) identified four strategic priorities to reach our vision:
Attract, Develop and Retain Talented Employees - Crucial to providing exceptional customer service and succession planning.
Modernize Processes, Services, Information Technology, Equipment and Administrative Rules - AZDA will modernize administrative rules and information technology.
Safeguard Agricultural Products While Expanding and Creating New Markets - AZDA will continue to maintain phytosanitary/sanitary status for Arizona commodities (plant and animal), safeguard agricultural products through the implementation of the Food Safety Modernization Act (FSMA) and implement the Industrial Hemp Program which began May 31, 2019.
Achieve Awareness of the Importance of Agriculture to Society - AZDA will begin quarterly meetings in participation with the Western United States Agricultural Trade Association (WUSATA) to educate Arizona agricultural companies on the benefits of participating in WUSATA and U.S. Department of Agriculture trade promotion and market development activities.

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Attract, Develop and Retain Talented Employees	2018	AZDA's engagement score average continues to increase over the 2.9 in 2016. Additional General Funds of $200,000 were appropriated for salary increases for Livestock Officers and Inspectors in FY 2019, and $29,900 for Livestock Officer salary increases and $137,000 for an additional Dairy Inspector and Dairy Inspector salary increases in FY 2020.
2	Modernize Processes, Services, Information Technology, Equipment and Administrative Rules	2018	In response to stakeholder input, 150 licenses and renewals were put online. In FY 2020, $200,000 is appropriated to the Arizona Department of Administration (ADOA) to conduct a feasibility study to replace or upgrade computer systems at AZDA.
3	Safeguard Agricultural Products While Expanding and Creating New Markets	2018	AZDA is in the process of implementing the Food Safety Modernization Act (FSMA) Produce Safety Rule (PSR). The Industrial Hemp Program began May 31, 2019. The State Agricultural Laboratory was relocated to the Chandler facility to allow for the demolition of the 1520 W. Adams location.
4	Achieve Awareness of the Importance of Agriculture to Society	2018	AZDA increased its social media presence. The Director began recording and posting on the website podcasts highlighting the agricultural industry. An effort was made to invite agricultural companies to participate in Western United States Agricultural Trade Association (WUSATA) and U.S. Department of Agriculture trade promotion and market development activities.

Department of Agriculture

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase staff retention	Average years of staff service Regrettable attrition	Explore retention efforts to include: succession planning, training, flex schedules, career path, progressive salary schedule, reinstatement of tuition reimbursement, spot incentive program and strategic stipends
2	Modernize administrative rules	Number of rules eliminated or improved	Conduct rulemakings related to plant and animal industries and public protection
2	Modernize information technology (IT)	IT security score Complete IT assessment of AZDA by March 2020	Achieve and maintain acceptable IT security score Coordinate with the Arizona Department of Administration (ADOA) on feasibility study to replace or update computer systems at AZDA
2	Replace equipment at the State Agricultural Laboratory	Average age of instrumentation	Develop five year plan to fund replacement of equipment at the State Agricultural Laboratory, beginning with instrumentation used to conduct tests of industrial hemp
3	Update the State's farm inventory by 109 to be in compliance with FSMA PSR	Number of verified farms subject to FSMA PSR training, enforcement and compliance requirements	Verify farms under Food Safety Modernization Act (FSMA) Produce Safety Rule (PSR) through questionnaires, registry, presentations, training, social media and in-person visits
3	Implement and operate successful Industrial Hemp Program	Percent of complete applications approved within 15 days	Implement plan for regulatory oversight of industrial hemp growers, harvesters, transporters and processors to include: processing applications, issuing licenses and compliance testing.
4	Promote awareness of Arizona agricultural products domestically and internationally	Number of meetings held Number of companies represented at meetings	Hold quarterly meetings with agricultural producers and companies to explain the benefits of participation in Western United States Agricultural Trade Association (WUSATA) and U.S. Department of Agriculture trade promotion and market development activities

Program Summary

FOOD SAFETY AND QUALITY ASSURANCE

Chris McCormack, Associate Director
Phone: (602) 542-7186
A.R.S. §§ 3-101 et seq

Mission:

To ensure that the public food supply meets established standards for quality and safety.

Description:

This program provides inspections for the safety and/or quality of meat, poultry, milk, eggs, and fresh produce.

This Program Contains the following Subprograms:

- Animal Products Food Safety and Quality Inspection
- Fresh Produce Standardization and Inspection

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,358.3	1,533.5	1,533.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	7,238.0	7,372.6	7,372.6
Total Funding	**8,596.3**	**8,906.1**	**8,906.1**
FTE Positions	**89.7**	**90.7**	**90.7**

Subprogram Summary

ANIMAL PRODUCTS FOOD SAFETY AND QUALITY INSPECTION

Chris McCormack, Associate Director
Phone: (602) 542-7186
A.R.S. §§ 3-101 et seq.

Mission:

To protect against the distribution of unsafe, unwholesome, and improperly labeled meat, poultry, milk, and eggs.

Description:

This subprogram is designed to help protect the public health and safety from microbiological, chemical, and physical food hazards or substandard quality resulting from the processing and packaging of meat, poultry, milk, and eggs. Slaughtering facilities and processors receive licensing and permitting services, on-site inspections, and testing of samples for microbiological, drug, and chemical residues. State and federal regulations are administered relating to the sale, packing, and movement of eggs and egg products. Inspection activities include egg products control, shell egg grading, dairy farm, dairy plant and milk tanker inspections. Poultry used in school lunch programs also is inspected for quality and safety.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,358.3	1,533.5	1,533.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	2,225.2	2,231.8	2,231.8
Total Funding	**3,583.5**	**3,765.3**	**3,765.3**
FTE Positions	**40.5**	**41.5**	**41.5**

◆ **Goal** 1 To maintain an effective regulatory system of animal food product inspections.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of meat and poultry in compliance with bacteria, drug and chemical residue requirements	100	100	99	100	100

Subprogram Summary

FRESH PRODUCE STANDARDIZATION AND INSPECTION

Ed Foster, Associate Director
Phone: (602) 542-0947
A.R.S. §§ 3-101 et seq.

Mission:

To inspect the quality of fresh produce in the marketing chain from farm to consumer through established standards of the Arizona or United States Department of Agriculture and applicable marketing orders.

Description:

This subprogram inspects the quality of fresh produce in accordance with standards established by the United States Department of Agriculture (USDA) and provides food safety audits under the Arizona Leafy Green Products Shipper Marketing Agreement (AZ LGMA). Under a cooperative agreement, USDA inspections are given by federal/state inspectors and take place primarily at the shipping point (point of origin), port of entry (Arizona-Mexico border), or the terminal market (point of destination). Inspections encompass several areas, including quality, maturity, processing, labeling, storage, handling, and refrigeration of products. USDA grade inspections are fee-based and given at the request of industry desiring either to market their produce under USDA quality grade standards, or to fulfill requirements for United States imports, exports, marketing orders, or military shipments. Food Safety Audits consist of an official review conducted by an auditor to verify and document that the best practices are adhered to and includes a physical visit to the farm or facility subject to audit while it is in operation, where practical. An audit represents a "snapshot in time" based on documentation review, persons interviewed, and operations observed and is intended to reflect past and ongoing activities. The Standardization Inspection Program has moved toward a food safety program versus a produce quality program. The Standardization Program statutes and rules, which have been updated to include food safety and still include licensing and labeling requirements, will remain in place to ensure industry uniformity.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	5,012.8	5,140.8	5,140.8
Total Funding	**5,012.8**	**5,140.8**	**5,140.8**
FTE Positions	**49.2**	**49.2**	**49.2**

◆ **Goal** 1 To safeguard agricultural products while expanding and creating new markets.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
FSMA verified farms	271	380	435	544	NA

Program Summary

NON-FOOD PRODUCT QUALITY ASSURANCE

Jack Peterson, Associate Director
Phone: (602) 542-3575
A.R.S. §§ 3-101 et seq.

Mission:

To protect the public's interest by ensuring the quality of feeds, fertilizers, pesticides and seed.

Description:

This program serves to assure public confidence in the quality of feed, fertilizer, pesticide and seed products. All of these products range from the envisioned agricultural products to those used in the urban setting for caring for your pets, tending a garden, cleaning a home, or controlling pests in and around the home. Regulation of the various industries is accomplished through two basic functions. First, regulatory processes are undertaken to register pesticides and fertilizers and to issue licenses to feed, fertilizer, and seed dealers and labelers. Secondly, enforcement activities are conducted by inspectors who confirm product registrations and company licensing, and who regularly sample feed, fertilizer, pesticide, and seed products to ensure that label statements, product guarantees, and applicable laws are adhered to. Inspectors also respond to individual consumer complaints regarding product quality concerns.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	852.3	1,050.8	1,050.8
Total Funding	**852.3**	**1,050.8**	**1,050.8**
FTE Positions	**8.1**	**8.1**	**8.1**

◆ **Goal** 1 To protect the interests of consumers by removing substandard non-food products from the market place.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Feed, Fertilizer, Pesticide and Seed Labels inspected in the market place	16,020	20,000	28,348	23,200	23,200

Program Summary

ANIMAL DISEASE, OWNERSHIP AND WELFARE PROTECTION

Chris McCormack, Associate Director
Phone: (602) 542-7186
A.R.S. §§ 3-101 et seq.

Mission:

To protect livestock from disease, abuse or theft.

Description:

This program regulates the importation of livestock, poultry, and live fish into Arizona to identify, diagnose, and prevent existing and emerging diseases that would threaten those industries and possibly compromise the supply of safe and wholesome animal products to the consuming public. It also monitors livestock ownership and movement, investigates cases of alleged livestock abuse and theft, and assists in containing livestock that endanger the public safety.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,060.2	2,242.8	2,242.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	724.1	798.4	798.4
Total Funding	**2,784.3**	**3,041.2**	**3,041.2**
FTE Positions	**29.0**	**29.0**	**29.0**

◆ **Goal** 1 To maintain an effective system of livestock and commercial fish disease surveillance and response.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Animal Services Division (ASD) Quarantine Containment (percent)	100	100	100	100	100

◆ **Goal** 2 To maintain an effective system of livestock ownership oversight.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Livestock Brands lag time (days)	52	65	52	55	55

Program Summary

PEST EXCLUSION AND EXPORT SERVICES

G. John Caravetta, Associate Director
Phone: (602) 542-0996
A.R.S. §§ 3-101 et seq.

Mission:

To ensure the provision of pest-free agricultural products and protect the public from agricultural pests through prevention, control, and eradication, thereby, maximizing domestic and international market access for Arizona produced commodities and maximizing product availability for the public.

Description:

The Pest Exclusion and Export Services program has moved to incorporate new technology, advance inspector training, update quarantine requirements and employ intensive pest trapping methods to meet the challenges of rapid urban development, increased global and domestic trade and expanded export opportunities for Arizona's agricultural commodities and value added products. The mission is executed through the concerted efforts within the division that incorporates a comprehensive survey and detection program. Arizona's "pest free" status for federally regulated pests evidences the synergy of these efforts. Pest detection, management, and eradication are a large part of the division's regulatory function. Division staff perform regular and systematic surveys to prevent the introduction, establishment, and spread of pests which pose a threat to Arizona's residents and plant industries and regulate the movement of commodities and facilitate imposition of in-state quarantines where pest eradication is required, or restricted movement of a commodity is necessary.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,646.6	3,055.5	3,577.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	2,292.8	1,869.1	2,335.7
Total Funding	**4,939.4**	**4,924.6**	**5,913.6**
FTE Positions	**84.0**	**83.0**	**84.0**

◆ **Goal** 1 To exclude and prevent the establishment of hazardous pests in Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Plant Services Division (PSD) Quarantine Containment (percent)	100	100	100	100	100

◆ **Goal** 2 To serve our customers in an accurate and efficient manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Special Nursery Certifications processed within 15 days of completed application (percent)	88	95	93	95	95
Percent of complete applications approved within 15 days of receipt	0	0	NA	95	95

Program Summary

NATIVE PLANT AND CULTURAL RESOURCES PROTECTION

Chris McCormack, Associate Director
Phone: (602) 542-7186
A.R.S. §§ 3-101 et seq.

Mission:

To protect and conserve Arizona's native plants, historical sites, and other natural resources for present and future generations to enjoy and appreciate.

Description:

This program regulates the harvesting, transporting, and sale of native plants; assists in protecting archaeological and paleontological sites, caves and caverns; and investigates and prosecutes unlawful natural resource theft and destruction.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	177.3	181.7	181.7
Total Funding	**177.3**	**181.7**	**181.7**
FTE Positions	**1.0**	**1.0**	**1.0**

◆ **Goal** 1 To serve the public and the agricultural community by protecting native plants.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Native Plant Tags Issued	39,745	40,000	43,522	40,000	40,000

Program Summary

PESTICIDE COMPLIANCE AND WORKER SAFETY

Jack Peterson, Associate Director
Phone: (602) 542-3575
A.R.S. §§ 3-101 et seq.

Mission:

To protect public health, agricultural workers, and the environment by ensuring the proper use of crop protection products.

Description:

This program seeks to ensure the proper use and application of crop protection products as well as the safety of field workers. Inspectors confirm compliance with the laws and rules by monitoring in the field ensuring proper pesticide use and appropriate precautions are being taken to protect workers. In addition, training and testing is provided to private and commercial pesticide applicators to ensure competency for certification.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	219.9	221.2	221.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	414.5	427.7	427.7
Total Funding	**634.4**	**648.9**	**648.9**
FTE Positions	**8.4**	**8.4**	**8.4**

◆ **Goal** 1 To protect the public from unlawful pesticide exposure.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Environmental Services Division (ESD) Rate of Compliance (percent)	96.38	99.27	95.24	95	95

Program Summary

ADMINISTRATIVE SERVICES

Jeffrey Grant, Deputy Director
Phone: (602) 542-0997
A.R.S. §§ 3-101 et seq.

Mission:

To provide leadership and ensure timely and efficient support services to all Department of Agriculture programs.

Description:

This program encompasses the Office of the Director and Administrative Services. The Office of the Director includes legislative services, public information, rules, legal services, and human resources. Administrative Services serves each departmental program with accounting, payroll, information technology, strategic planning, and budgeting.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,054.4	1,018.9	1,018.9
Other Appropriated Funds	274.7	301.4	280.5
Other Non Appropriated Funds	508.3	493.5	493.5
Total Funding	**1,837.4**	**1,813.8**	**1,792.9**
FTE Positions	**15.7**	**15.7**	**15.7**

◆ **Goal** 1 To achieve awareness of the importance of agriculture.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Public Engagement	12,483	14,980	59,452	95,452	NA

◆ **Goal** 2 To coordinate a statewide effort to connect programs designed to improve nutritious-food access.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Regional meetings facilitated	4	4	4	6	6

◆ **Goal** 3 To attract, develop and retain talented employees.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average years of staff service	0	0	8.5	NA	NA
Regrettable attrition	0	0	NA	36	36

◆ **Goal** 4 To modernize processes, services, information technology, equipment and administrative rules.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of rules eliminated or improved	0	0	NA	100	NA
IT security score	0	0	722	750	NA
Complete IT assessment of AZDA by March 2020	0	0	NA	1	NA

Program Summary

STATE AGRICULTURAL LABORATORY

Doug Marsh, Assistant Director
Phone: (602) 744-4924
A.R.S. §§ 3-101 et seq.

Mission:

To support the Department of Agriculture and other regulatory agencies in protecting consumers and natural resources through the provision of quality laboratory services.

Description:

This program provides scientific analyses of regulatory samples in areas such as meat and dairy products, fruits and vegetables, feeds, fertilizers, pesticides, insects, and plant diseases. Analyses determine if agricultural products meet labeling specifications and provide authoritative identification and detection of biological organisms and residue level contaminates that affect the public and the environment. The program also provides technical resource expertise and training to the Department of Agriculture and other agencies, including lab and sampling certification services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	896.3	1,611.2	1,326.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	656.3	273.4	273.4
Total Funding	**1,552.6**	**1,884.6**	**1,599.6**
FTE Positions	**12.5**	**12.5**	**12.5**

◆ **Goal** 1 To provide timely scientific analyses of regulatory samples.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Fertilizer samples processed within 28 days (percent)	100	100	100	100	100
Average age of instrumentation	0	0	16	16.2	17.2

Program Summary

AGRICULTURAL CONSULTATION AND TRAINING

Susan Chase, Assistant Director
Phone: (602) 542-0984
A.R.S. §§ 3-101 et seq.

Mission:

To guide the agricultural community in a non-enforcement posture on regulatory matters administered by the Arizona Department of Agriculture.

Description:

The Agricultural Consultation and Training (ACT) Program is an innovative compliance assistance program that guides the agricultural community in a non-enforcement posture on regulatory matters, and administers the Livestock and Crop Conservation and Specialty Crop Block Grant Programs. Through requested on-site visits (OSV), program staff provides non-regulatory advice to the agricultural community on how to comply with State statutes, regulations, policies, and federal mandates that the Arizona Department of Agriculture is responsible for directly administering or indirectly administering through contractual agreements. No regulatory actions may be taken as a result of the OSV, except in cases of imminent danger. This program was first established in FY 1995. The ACT Program oversees administrative support for the Arizona Citrus Research Council, Arizona Grain Research and Promotion Council, Arizona Iceberg Lettuce Research Council, and Agricultural Employment Relations Board.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	266.9	267.9	267.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	2,231.3	2,156.3	2,156.3
Total Funding	**2,498.2**	**2,424.2**	**2,424.2**
FTE Positions	**6.5**	**6.5**	**6.5**

◆ **Goal** 1 To fulfill the purpose of the USDA-Agricultural Marketing Service as authorized by the Specialty Crop Competitiveness Act 0f 2004.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Specialty Crop Block Grant Program (SCBGP) Sub-grantee Reimbursement Request Processing (days)	18	21	17.25	21	NA

Program Summary

COMMODITY DEVELOPMENT AND PROMOTION

Sharma Torrens, Marketing Manager
Phone: (602) 542-3191
A.R.S. §§ 3-101 et seq.

Mission:

To foster the domestic and international consumption of Arizona agricultural commodities and provide quality support services to contracted industry councils.

Description:

The Commodity Development and Promotion Program provides programs to stimulate, educate, encourage and foster the consumption of Arizona agricultural products. The Environmental Services Division oversees the issuance of certificates of free sale and the sale of merchandise with the Arizona Grown trademark. The funding provided to the Arizona Cotton Research and Protection Council through self-assessed fees paid by growers/producers is reflected in this Program.

*Note: FTE positions shown in this program reflect employees of the Arizona Cotton Research and Protection Council.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	67.3	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	3,691.2	3,688.5	3,688.5
Total Funding	**3,758.5**	**3,688.5**	**3,688.5**
FTE Positions	**40.0**	**37.0**	**37.0**

◆ **Goal** 1 To achieve awareness of the importance of agriculture to society.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of trade promotion meetings held	0	0	NA	4	4
Number of companies represented at trade promotion meetings	0	0	NA	40	NA

Program Summary

WEIGHTS AND MEASURES

Michelle Wison, Associate Director
Phone: (602) 771-4933
A.R.S. §§ 3-101 et seq.

Mission:

To promote equity and fairness of Arizona commerce involving weighing or measuring for commercial purposes by regulating and supporting businesses in a manner that protects both the buyers and sellers interests.

Description:

This program carries out its mission by maintaining the State standards of weight and measure based on national standards maintained by the Federal government, licensing weighing and measuring devices used in Arizona, conducting a wide variety of inspection programs to protect the marketplace, and auditing measuring devices and enforcing the statutes, rules, and regulations governing their use.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	900.4	914.5	914.5
Other Appropriated Funds	1,428.7	1,448.8	1,448.8
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,329.1**	**2,363.3**	**2,363.3**
FTE Positions	**25.0**	**25.0**	**25.0**

◆ **Goal** 1 To meet targeted compliance rates for all major inspection programs.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of WMSD underserved inspection market inspections	6,412	5,004	11,845	16,849	NA

◆ **Goal** 2 To modernize processes, services, technology, equipment and regulatory rules.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Core components of WMSD computer system completed	NA	4	4	NA	NA

Program Summary

PEST MANAGEMENT

Vince Craig, Associate Director
Phone: (602) 255-3663
A.R.S. §§ 3-101 et seq.

Mission:

To help ensure the safe application of pest control technologies, through education, training and enforcement. This results in the maximization of the health and safety of all Arizonans while at the same time ensuring the protection of property and the environment.

Description:

The Office of Pest Management (OPM) licenses and regulates pest control companies, qualifying parties, and applicators. The OPM provides education and training to applicants and licensees. The Office also provides education and information to the public regarding pest control activities in non-agricultural settings.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,771.9	1,806.0	1,806.0
Total Funding	**1,771.9**	**1,806.0**	**1,806.0**
FTE Positions	**20.0**	**20.0**	**20.0**

◆ **Goal** 1 To Monitor pesticide applications and ensure compliance with OPM Laws and Rules.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Pest Management Division (PMD) Unlicensed Case Writing (days to complete unlicensed cases)	41	45	32	30	30

Agency Summary

AHCCCS

Jami Snyder, Director
Phone: (602) 417-4458
A.R.S. §§ 36-2901 et seq.

Mission:

To provide comprehensive, quality health care for those in need.

Description:

The Arizona Health Care Cost Containment System (AHCCCS), the State's Medicaid Agency, uses federal, state, and county funds to provide health care coverage to eligible enrollees. Since 1982, when it became the first statewide Medicaid managed care system in the nation, AHCCCS has operated under a federal Research and Demonstration 1115 Waiver authority that allows for the operation of a statewide managed care model.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	208,039.4	219,507.4	223,409.1
➢ AZ LONG TERM CARE SYSTEM (ALTCS)	3,188,644.6	3,678,406.4	4,315,441.3
➢ ACUTE CARE	5,722,442.5	5,113,592.6	5,586,416.9
➢ PROPOSITION 204 - SENATOR ANDREW NICHOLS COMPREHENSIVE HEALTH INSURANCE COVERAGE ACT	3,933,981.9	4,226,757.4	3,973,834.9
➢ NON-TITLE XIX BEHAVIORAL HEALTH	248,777.1	273,925.2	269,333.7
➢ CHILDREN'S HEALTH INSURANCE (CHIP)	74,928.6	112,090.3	111,406.7
➢ DIRECT SERVICE CLAIMING (DSC)	61,758.8	70,038.5	80,504.4
➢ ACA ADULT EXPANSION	467,661.4	527,018.8	593,383.6
Agency Total:	**13,906,234.3**	**14,221,336.6**	**15,153,730.6**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,745,626.1	1,760,748.1	1,935,858.5
Other Appropriated Funds	314,884.7	339,302.4	324,643.1
Other Non Appropriated Funds	11,845,723.5	12,121,286.1	12,893,229.0
Total Funding	**13,906,234.3**	**14,221,336.6**	**15,153,730.6**
FTE Positions	**977.3**	**977.3**	**977.3**

AHCCCS

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Jami Snyder
Strategic Planner: Gloria Díaz
Last modified: 08/07/2019

Vision: Shaping tomorrow's managed health care…from today's experience, quality, and innovation.

Mission: Reaching across Arizona to provide comprehensive, quality health care for those in need

Agency Description: The Arizona Health Care Cost Containment System (AHCCCS), the State's Medicaid Agency, uses federal, state, and county funds to provide health care coverage to eligible enrollees. Since 1982, when it became the first statewide Medicaid managed care system in the nation, AHCCCS has operated under a federal Research and Demonstration 1115 Waiver authority that allows for the operation of a statewide managed care model.

Executive Summary: As a delivery system that serves nearly 1.9 million Arizonans and spends $38 million per day, it is critical that AHCCCS pursue a broad array of strategies that are focused on creating a sustainable program.

It is within this context that this plan was developed. The plan offers four overarching strategies which will guide the overall direction AHCCCS will take over the course of the new fiscal year. These four strategies build on previous accomplishments and represent the collaborative efforts of the AHCCCS leadership team.

Summary of Multi-Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Pursue and implement long-term strategies that bend the cost curve while improving member health outcomes.	2017	• 47% of health plan spend is in an alternative payment mode (APM) • 2 flexibilities were approved by the Centers for Medicare & Medicaid Services (CMS) • Disseminated funds to Managed Care Organizations (MCO)s to enhance provision of behavioral health (BH) services in schools and finalized inter-governmental agreement with AZ Department of Education to provide mental health awareness training in schools; following fiscal year will calculate increase in number of students receiving BH services in schools
2	Pursue continuous quality improvement	2017	• Included requirement in contract year-end (CYE)19 MCO contracts, detailing minimum performance standards for measures • 5 facilities have achieved medical home status • Following fiscal year (FY), will calculate reduction in number of opioids prescribed
3	Reduce fragmentation driving toward an integrated sustainable healthcare system	2017	• 98% of enrollees are now served in a fully integrated health plan • 95.6% of Targeted Investments (TI) participants have been retained • 615 provider organizations currently participate in the Health Information Exchange (HIE) • 77.34% of Comprehensive Medical & Dental Program (CMDP) enrollees received at least one BH service within six months of CMDP enrollment • 49.94% of pre-release inmates received a service within 3 months of release from incarceration
4	Maintain core organizational capacity, infrastructure and workforce planning that effectively serve AHCCCS operations	2017	• AHCCCS' engagement score for FY 19 is 7.4 • AHCCCS' security risk score is 764

AHCCCS

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy#	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
#	Annual Objectives:	Metrics	Annual Initiatives:
1	Incentivize performance-based contracting	Health plan spend in alternative payment models	Include requirement in MCO contract and AHCCCS policy
1	Enhance school safety by increasing access to BH services on school campuses	Medicaid-enrolled students receiving a BH service on campus	Disseminate funding to MCOs to enhance provision of co-located BH services in schools and expand school-based claiming program
1	Reduce cost and enhance health outcomes by addressing social determinants of health (SDOH)	Enrollees housed through the Healthcare and Housing program	Partner with Mercy Care Plan and Community Bridges to carry out Health Care and Housing program
2	Ensure provision of quality care to AHCCCS enrollees	Performance Measures, among 5 identified measures, that meet or exceed the national median	Alignment of quality strategy across various program initiatives; use of national performance measure data stewards for calculation
2	Address health disparities through care coordination and case management	Facilities achieving medical home status	Hold a summit with current American Indian Medical Homes (AIMHs) to share best practices; recruit facilities; partner with the Inter Tribal Council of Arizona (ITCA) & AZ Advisory Council on Indian Health Care (ACOIHC) to develop outreach strategies
2	Address opioid epidemic by appropriately decreasing access to addictive substances	Opioids prescribed	Ensure opioid grant funding is maximized to serve individuals with opioid use disorder (OUD), including specific outreach to targeted populations
2	Address recent increases in deaths of despair	Age-adjusted suicide mortality rate	Engage community stakeholders and supply information about available prevention resources within AZ communities
3	Promote integration at practice level/point of care	Retention rate among Targeted Investment (TI) participants	Partner with ASU to offer training assistance to TI participants; ensure timely payment of milestone funding
3	Promote interoperability	Provider organizations participating in the HIE	Incentivize HIE participation through TI program & differential adjusted payment program
3	Increase access to care for justice involved enrollees	Pre-release inmates who receive a service within 3 months of release	Co-locate parole/probation offices in integrated clinic sites; mandate MCO participation in reach-in program
3	Increase access to care for CMDP enrollees	CMDP enrollees accessing behavioral health services	Pursue a series of policy revisions & operational protocols aimed at enhancing access to behavioral health services
4	Increase employee engagement	Employee engagement ratio	Implement action plan addressing all measures rated at below 80%; monitor action on a bi-monthly basis
4	Enhance staff awareness of suicide prevention resources	Staff that complete mental health awareness training	Offer at least one mental health awareness training each quarter

5 Year Plan

Issue 1 Pursue and implement long-term strategies that bend the cost curve while improving member health outcomes

Description One of the biggest challenges facing health care today is that incentives are often not aligned for providers and payers. Even with significant managed care penetration in Arizona Medicaid, many providers still are reimbursed through fee-for-service mechanisms that reward volume over value.

Payment modernization is a critical policy strategy for moving to a financially sustainable and value-based healthcare delivery system, which rewards high quality care provided at an affordable cost. There are many value based approaches with varying degrees of breadth and depth within Medicaid, Medicare and commercial coverage. Reforms include outcome based care models, risk bearing models, population based payments and episodic payments that can lead to improved health and overall program savings. Many AHCCCS stakeholders are engaged in developing initiatives and arrangements that embrace the key features of alternative payment models.

AHCCCS remains committed to maximizing the efficiencies within its program as demonstrated by the multi-year contractual requirements for Managed Care contractors. AHCCCS has supported a market based approach that incentivizes payers and providers to establish new value based arrangements that align incentives to improve efficiency and member outcomes.
Additionally, AHCCCS has pursued adjustments in the fee-for-service payment schedule to incentivize certain value measures for providers. For example, AHCCCS recently created a program for first responders to provide for treatment and referrals instead of requiring transportation to an emergency room to receive payment. AHCCCS also created a model to incentivize providers to offer integrated care of both physical and behavioral health services.

Finally, as part of the efforts to bend the cost curve and ensure overall fiduciary oversight, AHCCCS continues to dedicate significant agency resources to Program Integrity efforts. The agency develops an annual strategic plan focused entirely on efforts to reduce fraud, waste and abuse along with improving coordination of benefits and other important initiatives.

Solutions:

STRATEGY 1.1
Incentivize performance-based contracting

PERFORMANCE MEASURE 1.1.1
Health Plan spend in alternative payment models

STRATEGY 1.2
Enhance school safety by increasing access to behavioral health services on school campuses

PERFORMANCE MEASURE 1.2.1
Medicaid-enrolled students receiving a behavioral health service on campus

STRATEGY 1.3
Reduce cost and enhance health outcomes by addressing social determinants of health (SODH)

PERFORMANCE MEASURE 1.3.1
Enrollees housed through the Healthcare and Housing Program

Issue 2 Pursue continuous quality improvement

Description AHCCCS has built its quality structure over time by continual review of applicable national standards and regional trends, collaboration with partners, and its own experiences. The Quality Strategy includes both the Medicaid and CHIP programs and encompasses all AHCCCS contractors. It also incorporates measures to improve the Agency's internal processes involving enrollee information, monitoring and evaluation.

AHCCCS regularly identifies key clinical and non-clinical areas on which to focus future quality improvement efforts. This is done through analyses of state and national trends and in consultation with other entities working to improve health care in Arizona, such as the Medicare Quality Improvement Organization (QIO), community leaders, other state agencies, and AHCCCS Contractors. In addition, AHCCCS utilizes the Consumer Assessment of Healthcare Providers and Systems (CAHPS). It is a survey tool created by the Agency for Healthcare Research and Quality (AHRQ) to support and promote the assessment of members' experiences with health care. The member data collected may be used to identify areas of program success and areas in need of targeted improvement.

AHCCCS also establishes performance measures based on the CMS Core Measure sets and the National Committee for Quality Assurance (NCQA) HEDIS measures, as well as measures unique to Arizona's Medicaid program. Over time, the number and content of CMS measure sets has grown significantly and shifted the focus to align more with outcomes and experiences of care. AHCCCS has adopted measures from these sets that are the most relevant for the AHCCCS population, when reliable data sources exist and where the results of measurement would yield actionable opportunities to improve outcomes and member satisfaction. To support the transition to and implementation of new measures, AHCCCS continues to expand its information technology and business analytics capabilities to support expanded data source opportunities.

AHCCCS also establishes minimum performance standards and goals for each performance measure that are based on national standards, such as the NCQA National Medicaid means, whenever possible. Contractors are expected to achieve the minimum performance standard for performance measures. Performance measure reports may compare the Contractors' results with one another and with national Medicaid and commercial health plan averages. Contractors are expected to develop methods to continuously increase the well-being of their respective populations through the removal of barriers to care and ongoing process improvement. AHCCCS also participates in national efforts focused on developing Medicaid and CHIP Core Measures to allow comparability across States' programs.

Care coordination is an important element of ensuring quality of care and positive outcomes for AHCCCS members. Quality management and quality improvement initiatives focused on communication and coordination for follow-up after discharge, medication management, receipt of chronic disease recommended care and services and data sharing among the care team are anticipated to result in improved outcomes, member satisfaction and more appropriate utilization of health care services. AHCCCS monitors the effectiveness of these activities through the measurement of inpatient, emergency department and re-admission rates.

AHCCCS Contractors are expected to conduct Performance Improvement Projects (PIPs) in clinical care and non-clinical areas that are anticipated to have a favorable impact on health outcomes and member satisfaction. Utilizing financial, population, and disease-specific data and input from the Contractors, AHCCCS selects an indicator of performance improvement to be measured across Contractors. Focused PIPs may also be assigned to individual Contractors when needs are identified. For each mandated PIP, AHCCCS develops a methodology to measure performance in a standardized way across Contractors and manages data collection and analysis. In this way, AHCCCS ensures that the project is implemented by Contractors in a consistent manner and yields results that can be analyzed on the individual Contractor level, as well as by other stratifications and for the program overall. In addition, Contractors are required to review their data and quality measures to determine Contractor-specific PIPs

The health and safety of AHCCCS members receiving covered services remains a focus for the Agency. AHCCCS utilizes a multi-Agency and Contractor approach in implementing oversight health and safety requirements.

Solutions:

STRATEGY 2.1

Ensure provision of quality care to AHCCCS enrollees

PERFORMANCE MEASURE 2.1.1

Performance measures, among 5 identified measures, that meet or exceed the national mean

STRATEGY 2.2
Address health disparities through care coordination and case management

PERFORMANCE MEASURE 2.2.1
Facilities achieving medical home status

STRATEGY 2.3
Address opioid epidemic by appropriately decreasing access to addictive substances

PERFORMANCE MEASURE 2.3.1
Opioids prescribed

STRATEGY 2.4
Address recent increases in deaths of despair

PERFORMANCE MEASURE 2.4.1
AHCCCS enrollees attempting suicide

Issue 3 Reduce fragmentation driving toward an integrated sustainable healthcare system

Description The definition of a system is an assemblage or combination of things or parts forming a complex or unitary whole. Unfortunately, health care delivery has become increasingly fragmented, leading to coordination and communication challenges for patients and clinicians. Ultimately, this fragmentation degrades the quality of health care due to disrupted relationships, poor coordination of care and communication within and across provider groups. In an effort to address this issue, the structure of the AHCCCS program is transforming. Integrated care delivery systems and the proper alignment of incentives efficiently improve health outcomes. Both are critical for reducing fragmentation.

AHCCCS has been engaged in a multi-year effort to reduce fragmentation at the provider, payer and policy level for AHCCCS members. Starting in 2013 AHCCCS has successfully integrated services for a number of populations. System design matters and AHCCCS has worked with a variety of important stakeholders to develop new delivery systems that are focused on whole person health integrating both physical and behavioral health services. These integration efforts include:

1.Children's Rehabilitative Services – Previously 17,000 children with complex medical needs were served by three different payers. These included an acute plan, RBHA and CRS plan. These members are now served by a single Integrated Contractor.

2.Individuals with Serious Mental Illness – In 2014 and 2015 almost 40,000 individuals with Serious Mental Illness went from potentially up to 4 different payers involved in covering select services to a single organization that was responsible for all services for that member.

3.General Mental Health and Substance Abuse services for dual eligible members – In 2015, AHCCCS integrated services for 80,000 dual eligible members.

4.American Indian members –In 2016, as a result of the DBHS merger, AHCCCS was able to streamline the requirements for TRBHA organizations creating an opportunity to integrate services and work more closely with Tribes on the delivery and coordination of services.

5.Dual Eligible members – AHCCCS continues to pursue strategies to better align services for members that are enrolled in both Medicare and Medicaid. In 2016, AHCCCS had approximately 48% of the population aligned which is the highest percentage ever.

6.AHCCCS/DBHS merger – In 2016 AHCCCS completed a merger with the Department of Health Services Division of Behavioral Health. This merger brings behavioral health and physical health together at the policy level that will ensure behavioral health and physical health policies and system requirements are established with a focus on whole person health.

Looking ahead the work around transformation through integration and reducing fragmentation will continue. AHCCCS will continue to look at opportunities to support providers that want to integrate services for members. This includes continuing to focus on value based opportunities that align incentives and reducing the administrative burden. In addition there will be further efforts to integrate services for Individuals with Developmental Disabilities and other AHCCCS populations.

Solutions:

STRATEGY 3.1
Promote integration at practice level/point of care

PERFORMANCE MEASURE 3.1.1
Retention rate among Targeted Investment (TI) participants

STRATEGY 3.2
Promote interoperability

PERFORMANCE MEASURE 3.2.1
Provider organizations participating in the Health Information Exchange (HIE)

STRATEGY 3.3
Increase access to care for justice involved enrollees

PERFORMANCE MEASURE 3.3.1
Pre-release inmates who receive a service within 3 months of release

STRATEGY 3.4
Increase access to care for CMDP enrollees

PERFORMANCE MEASURE 3.4.1
CMDP enrollees accessing behavioral health services

Issue 4 Maintain core organizational capacity, infrastructure and workforce planning that effectively serve AHCCCS operations

Description If the agency is going to be successful in pursuing these important delivery system transformations then there are a number of other important infrastructure capabilities that must be addressed over the next several years.

Workforce

In order for AHCCCS to achieve the established operational and strategic objectives, the organization must have a dedicated, professional staff that is committed to the mission. Based on the most recent state survey AHCCCS had 12 staff engaged for every staff member not engaged. This compares to the state government rate of 2.2 to 1. A few other important metrics include the fact that 97% of the AHCCCS staff believe in the mission, 97% respect and value team members and 94% understand what is expected.

However, there are challenges to sustaining the high level performance of the AHCCCS workforce. AHCCCS continues to operate with approximately twenty five percent less staff than prior to the start of the Great Recession. Turnover rates are, on the average, in the 19% range, while approximately 15% of the current AHCCCS workforce is eligible to retire

AHCCCS is pursuing several strategies to address these challenges.

1.Increasing AHCCCS' presence in the employment marketplace for purposes of enhancing our ability to attract the most qualified applicants;

2.Identifying and implementing relevant compensation strategies;

3.Maintaining an environment conducive to staff engagement;

4.Expanding innovative, low-cost professional development opportunities for existing employees;

5.Retaining critical staff;

6.Workforce and succession planning in order to ensure continuity of services and avoid leaving a significant gap in the Agency's knowledge base; and

7.Continuing to provide flexibility.

Approximately 22% of the AHCCCS workforce is Virtual Office with an even higher percentage on some variation of a flexible work schedule. This type of flexibility has proven essential to retention and assisting employees with striking a work-life balance.

Systems

System resources will continue to be a challenge and maintaining the appropriate infrastructure to manage and analyze the millions of records generated by the AHCCCS system requires appropriate investment.

Security

The AHCCCS Information Systems Division (ISD) must be ever vigilant regarding the security posture of the systems and important information contained within these systems. Proactive mitigation of security risks strengthens the ability to safeguard and protect Personally Identifiable Information (PII) and Protected Health Information (PHI) data entrusted to the Agency by our more than 1.9 million members. In addition to the AHCCCS mainframe system (PMMIS), ISD will continue to keep non-mainframe systems and applications running consistently and efficiently. This includes server based applications, network infrastructure, the data warehouse, and digital communication.

Leveraging Data Analytics

The availability of reliable and valid information and the capacity to make that information actionable is critical to the decision-making process. Data-driven decision-making is the best way for true reform to occur in the healthcare system. However, determining the most effective way to utilize data, and having the time and resources to effectively review or explore data can produce challenges. As a result, there is an increased value and emphasis being placed on

data analytics. The Office of Business Intelligence (OBI) is responsible for the AHCCCS Data Warehouse, which provides the Agency with information that is easily accessible and reliable. The information allows the organization to gain greater insight into its operations. AHCCCS will work with internal and external data analytics experts to develop the organization's capacity as a whole to turn solid information into effective actions.

Solutions:

STRATEGY 4.1
Increase employee engagement

PERFORMANCE MEASURE 4.1.1
Employee engagement ratio

STRATEGY 4.2
Enhance staff awareness of suicide prevention resources

PERFORMANCE MEASURE 4.2.1
Staff that complete mental health awareness trainng

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	2,339.3	2,339.3	2,339.3
General Fund	2,088,137.0	2,215,127.7	2,348,648.8
Other Appropriated Funds	326,171.5	330,626.9	335,286.1
Non-Appropriated Funds	1,851,165.6	1,915,224.6	1,982,497.7
Federal Funds	12,297,171.0	12,889,189.9	13,511,192.7

Program Summary

ADMINISTRATION

Jami Snyder, Director
Phone: (602) 417-4458
A.R.S. Title 36; Title XIX, SSA

Mission:

To provide comprehensive, quality health care for those in need.

Description:

The Administration contracts with health plans and program contractors that agree to accept a capitated monthly payment for the cost of providing medical care to enrolled members. Responsibilities of Administration that relate to health plans and program contractors include rate negotiations, financial and operational oversight of health plans and program contractors, and quality of care assessments. The Administration also manages a fee-for-service payment system that covers medical bills for IHS enrolled members and emergency services for qualified aliens.

Additional responsibilities of Administration include the development and maintenance of the management information system, coordination of provider or eligibility grievances, policy development and research, agency financing and accounting, agency development and monitoring, third party liability recovery, and eligibility determinations for the Arizona Long-Term Care System and KidsCare. Eligibility for the Acute Care program is conducted by the Department of Economic Security and the Social Security Administration.

This Program Contains the following Subprograms:

- Central Administration
- Pass-thru to Other State Agencies
- Division of Health Care Management
- Division of Fee-for-Service Management
- Division of Member Services

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	56,633.4	60,044.2	63,641.7
Other Appropriated Funds	2,548.1	2,888.8	820.8
Other Non Appropriated Funds	148,857.9	156,574.4	158,946.6
Total Funding	**208,039.4**	**219,507.4**	**223,409.1**
FTE Positions	**977.3**	**977.3**	**977.3**

Subprogram Summary

CENTRAL ADMINISTRATION

Jami Snyder, Director
Phone: (602) 417-4458
A.R.S. § 36-2901

Mission:

To provide strategic leadership, policy, technology, legal, and financial direction and coordination for AHCCCS.

Description:

Central Administration consists of six operating offices or divisions that provide the following services:

(1) The Office of the Director provides the overall policy direction for the agency, dedicating specific staff to public information, government relations, medical policy oversight, and strategic plan coordination;
(2) The Information Services Division develops, acquires, and maintains automation for the agency;
(3) The Division of Business and Finance oversees internal financial operations, third party liability, contracts, budget development and monitoring, purchasing, and facilities management;
(4) Human Resources and Development addresses training, personnel assistance, guidance on organizational development, recruitment, retention, and equal opportunity;
(5) The Office of Administrative Legal Services provides legal counsel for AHCCCS, manages contracted legal services, and offers members, contractors, and providers a fair, expeditious, and cost-effective process for informal grievance adjudication;
(6) The Office of Inspector General is responsible for the prevention, detection, and investigation of fraud and abuse by providers, health plans, and members in the AHCCCS program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	12,863.2	14,468.7	18,066.2
Other Appropriated Funds	-49.8	2,255.5	187.5
Other Non Appropriated Funds	39,881.3	43,265.0	45,637.2
Total Funding	**52,694.7**	**59,989.2**	**63,890.9**
FTE Positions	**370.3**	**370.3**	**370.3**

- **Goal** 1 To oversee the development of AHCCCS core competencies with an emphasis on enhancing employee knowledge and teamwork, and improving customer relations.

- **Goal** 2 To reduce fragmentation and drive towards an integrated sustainable healthcare system

Subprogram Summary

PASS-THRU TO OTHER STATE AGENCIES

Jami Snyder, Director
Phone: (602) 417-4458
A.R.S. Title 36, Title XIX, SSA

Mission:

To partner with other state agencies for administrative services to reach across Arizona to provide comprehensive quality health care for those in need.

Description:

The Department of Economic Security (DES), Department of Health Services (DHS), Office of Administrative Hearings (OAH) and the Department of Administration's Data Center (DOADC) coordinate with AHCCCS by providing administrative support for the program. DES performs eligibility determination for approximately three-fourths of the AHCCCS members, which include 1931(b) Eligibility (TANF), SOBRA pregnant women and children, Proposition 204, and other "medical assistance only" groups for families with minor children. AHCCCS passes through state and federal funds to DES to cover the costs of determining eligibility and automation of the eligibility systems. Preadmission screening and annual resident reviews are conducted by DES and DHS by conducting level II screenings for eligible patients in Title XIX certified nursing facilities. These residents have been identified through a level I screening process as potentially having a mental retardation or mental illness. The DES, Disability Determination Services, determines disability entitlement for the Arizona Long Term Care System's applicants, SSI/MAO, and SSI-related Federal Emergency Services applicants.

In addition, DHS, Nursing Facility Licensure, determines whether institutions and suppliers of service meet the requirements for participation in the Medicaid program as it applies to licensure, certification, or registration. DOA provides computer processing services, operating manuals, documentation services, and back-up support in case of equipment failure. And OAH provides legal hearings for providers and members, ensuring equitable treatment of all participants in the Arizona Health Care Cost Containment System. (Pass-Thru funding includes DES, DHS, OAH, DOADC and Trauma Center.)

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	29,601.3	31,406.6	31,406.6
Other Appropriated Funds	2,124.6	160.0	160.0
Other Non Appropriated Funds	72,300.9	76,633.7	76,633.7
Total Funding	**104,026.8**	**108,200.3**	**108,200.3**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To improve the timeliness of eligibility determinations

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Timeliness of eligibility determinations	16.91	20	0	20	0

Subprogram Summary

DIVISION OF HEALTH CARE MANAGEMENT

Virginia Rountree, Assistant Director
Phone: (602) 417-4122
A.R.S. Title 36; Title XIX, SSA

Mission:

To enhance the capability of the AHCCCS program to ensure the provision of quality health care services to its members, while obtaining full economic value for monetary resources expended.

Description:

The Division of Healthcare Management (DHCM) is the main contact with AHCCCS health plans and program contractors. It ensures that the health plans and program contractors continue to be viable economic entities while providing quality health care to members. In addition to regular on-site audits, health plans and program contractors have periodic reporting requirements to DHCM such as utilization of service, financial statements, network participants, and grievance and appeals. DHCM, with the assistance of actuaries, is responsible for developing and negotiating contracts with health plans and program contractors as well as rate setting and encounter reporting. DHCM also coordinates oversight of the delivery of behavioral health services through Arizona Long Term Care System (ALTCS) program contractors and through a contract with the Department of Health Services for acute care members. In addition, for purposes of monitoring performance and quality of care, there are sections for clinical research and data management, as well as clinical quality management.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,516.9	4,516.9	4,516.9
Other Appropriated Funds	233.3	233.3	233.3
Other Non Appropriated Funds	8,811.9	8,811.9	8,811.9
Total Funding	**13,562.1**	**13,562.1**	**13,562.1**
FTE Positions	**141.0**	**141.0**	**141.0**

- **Goal** 1 To ensure Acute Care health plans and Arizona Long Term Care System (ALTCS) program contractors (collectively referred to as health plans) comply with AHCCCS contract provisions.

- **Goal** 2 To improve the completeness and quality of encounter data collected from health plans, program contractors, and behavioral health.

Subprogram Summary

DIVISION OF FEE-FOR-SERVICE MANAGEMENT

Markay Adams, Assistant Director
Phone: (602) 417-4616
A.R.S. Title 36; Title XIX, SSA

Mission:

To place a greater emphasis on the health care of our fee-for-service members through oversight of provider registration, prior authorization, and claims administration.

Description:

The Division of Fee-for-Service Management (DFSM) consists of prior authorization and claims administration. The prior authorization unit ensures that proposed services are medically necessary, provided in the most appropriate setting, and within the scope of AHCCCS coverage for fee-for-service members. The accuracy of payment for services is carefully monitored.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	104.2	104.2	104.2
Other Appropriated Funds	112.6	112.6	112.6
Other Non Appropriated Funds	5,479.6	5,479.6	5,479.6
Total Funding	**5,696.4**	**5,696.4**	**5,696.4**
FTE Positions	**98.0**	**98.0**	**98.0**

◆ **Goal** 1 To streamline claims processing

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Fee-For-Service claims adjudicated within 30 days	99.33	95	0	95	0

◆ **Goal** 2 To increase care coordination for the fee for service population

Subprogram Summary

DIVISION OF MEMBER SERVICES

Joni Shipman, Assistant Director
Phone: (602) 417-7631
A.R.S. Title 36; Title XIX, SSA

Mission:

To assist AHCCCS-eligible members in accessing health care.

Description:

The Division of Member Services (DMS) is responsible for the determination of eligibility for the Arizona Long Term Care System (ALTCS) and for other SSI-related Medical Assistance Only (MAO) programs; the state's Children's Health Insurance Title XXI Program (KidsCare) as well as Families with Children Medicaid programs for households that have both KidsCare and Medicaid-eligible members, Freedom to Work (FTW), Breast and Cervical Cancer (BCC), and for three Medicare cost-sharing programs.

In addition, DMS is responsible for enrolling eligible acute care and ALTCS members, and for providing member eligibility and enrollment information. DMS maintains day-to-day liaison with, and oversight of, the Department of Economic Security in performing AHCCCS eligibility determinations.

DMS also conducts quality control targeted and statistically valid sample management evaluation reviews for these specific programs, in addition to predetermination quality control reviews.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,547.8	9,547.8	9,547.8
Other Appropriated Funds	127.4	127.4	127.4
Other Non Appropriated Funds	22,384.2	22,384.2	22,384.2
Total Funding	**32,059.4**	**32,059.4**	**32,059.4**
FTE Positions	**368.0**	**368.0**	**368.0**

◆ **Goal** 1 To administer eligibility processes in a timely manner for ALTCS, KidsCare, BCC, FTW, SSI-MAO, and three Medicare Cost Sharing programs.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of applications processed on time	73	97	0	97	0

Explanation: 2014 and 2015 measures were impacted by system changes to conform eligibility threshold calculations pursuant to modified adjusted gross income requirements.

◆ **Goal** 2 To provide accurate eligibility and enrollment information to providers and members in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Call center abandon rate	2.91	5.5	0	5.5	0

◆ **Goal** 3 To ensure compliance with federal Medicaid Eligibility Quality Control (MEQC) requirements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Cost avoidance from Predetermination Quality Control Program (in millions)	19.5	21.5	21.5	21.5	21.5

Program Summary

AZ LONG TERM CARE SYSTEM (ALTCS)

Virginia Rountree, Administrator
Phone: (602) 417-4122
A.R.S. Title 36; Title XIX, SSA

Mission:

To provide quality long-term care, acute care, behavioral health, and case management services to eligible Arizona Long Term Care System (ALTCS) members.

Description:

AHCCCS implemented the first phase of ALTCS for persons with developmental disabilities on December 19, 1988, and the second phase for the elderly and physically disabled persons on January 1, 1989. Eligibility is performed by AHCCCS. Available services include care in a nursing facility, Intermediate Care Facility for the Mentally Retarded, Residential Treatment Facility, alternative residential settings, and a wide range of home and community-based services. On October 1, 1992, behavioral health services were added for Early Periodic Screening, Diagnostic and Treatment (EPSDT) ALTCS children, under age 21. The remaining populations were phased in until October 1, 1995, when all Title XIX members became eligible for behavioral health services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	198,827.8	234,042.3	296,812.4
Other Appropriated Funds	7,578.4	7,578.4	7,578.4
Other Non Appropriated Funds	2,982,238.4	3,436,785.7	4,011,050.5
Total Funding	**3,188,644.6**	**3,678,406.4**	**4,315,441.3**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To ensure the management and delivery of quality, cost-effective ALTCS services to AHCCCS members in the least restrictive setting.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of members utilizing home and community based services	NA	87.51	0	0	0

Program Summary

ACUTE CARE

Virginia Rountree, Assistant Director
Phone: (602) 417-4122
A.R.S. Title 36; Title XIX, SSA

Mission:

To provide quality health care to eligible populations through contracted health plans.

Description:

Health plans receive a monthly capitation payment to cover the full range of approved services for AHCCCS enrollees. In addition to prospective capitation, health plans receive funding to pay for certain services provided to members prior to enrollment in a health plan. AHCCCS also maintains some populations in a fee-for-service environment, the largest segment being the Native American population served by or through Indian Health Services. AHCCCS also pays Medicare premiums for qualified low-income Medicare beneficiaries and special low-income Medicare beneficiaries, so that the federal Medicare program serves as a source of payment for some of AHCCCS' medical services. (Acute funding: county contributions are allocated to capitation programs proportionately, tobacco taxes are allocated between acute program lines proportionately, and third party liability is grouped into fee-for-service programs proportionately.)

This Program Contains the following Subprograms:

- Traditional Services
- Hospital Payments

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,269,438.4	1,240,518.0	1,333,951.8
Other Appropriated Funds	206,294.5	201,911.2	201,911.2
Other Non Appropriated Funds	4,246,709.6	3,671,163.4	4,050,553.9
Total Funding	**5,722,442.5**	**5,113,592.6**	**5,586,416.9**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

TRADITIONAL SERVICES

Penny Ellis, Assistant Director
Phone: (602) 417-4512
A.R.S. § 36-2901.4(b)

Mission:

To provide quality health care to families eligible for 1931(b) Medicaid for families with dependent children.

Description:

When the federal Personal Responsibility and Work Opportunity Reconciliation Act was enacted, it unlinked Medicaid benefits from the Aid to Families with Dependent Children (AFDC) cash assistance program. The Medicaid 1931 family coverage group was established to provide medical assistance to families who would have met the AFDC cash assistance eligibility criteria already in place on July 1996, and the requirements in Section 1931 of the Social Security Act. This coverage category includes parents or other adult relatives and their children under age 18; if 18, they must be students in a secondary school with the expectation of completing their education before they reach age 19; applicants who are in the last trimester of pregnancy and have no other children. When these persons become ineligible, due to excess income from employment, they qualify for transitional medical assistance for up to 12 months. If they become ineligible, due to receipt of child or spousal support income, they qualify for continued medical coverage for four consecutive months. (Breast and Cervical Cancer Treatment funding is included in this program.)

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,260,800.3	1,227,924.7	1,322,191.1
Other Appropriated Funds	206,294.5	201,911.2	201,911.2
Other Non Appropriated Funds	3,850,844.7	3,234,775.5	3,591,056.9
Total Funding	**5,317,939.5**	**4,664,611.4**	**5,115,159.2**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To provide increased Medicaid BH services in school settings

◆ **Goal** 2 To address the opioid epidemic and reduce the amount of opioids prescribed

Subprogram Summary

HOSPITAL PAYMENTS

Shelli Silver, Assistant Director
Phone: (602) 417-4647
A.R.S. § 36-2903.01(R)

Mission:

To allocate federal and state dollars to hospitals that serve a disproportionate share of low-income and Medicaid patients.

Description:

Disproportionate share (DSH) payments will be made to provide additional reimbursement to hospitals that serve a disproportionate share of low-income and Medicaid patients. Based on a formula established in federal and state law, payments may be made to the Arizona State Hospital and other public and private hospitals throughout Arizona. Funding Note: For Funding purposes, Safety Net Care Pool (SNCP) payments are included in DSH.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	8,638.1	12,593.3	11,760.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	395,864.9	436,387.9	459,497.0
Total Funding	**404,503.0**	**448,981.2**	**471,257.7**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To ensure disproportionate share (DSH) payments are correctly allocated to hospitals through consultation with the Governor's Office and the Legislature using established formulas.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of dollars recouped after distribution (DSH)	0	0	0	0	0

Explanation: May be adjusted after reconciliation

◆ **Goal** 2 To help support Graduate Medical Education (GME) through direct cost reimbursements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of timely payments made to hospitals with GME programs	100	100	0	100	0

Program Summary

PROPOSITION 204 - SENATOR ANDREW NICHOLS COMPREHENSIVE HEALTH INSURANCE COVERAGE ACT

Penny Ellis, Assistant Director
Phone: (602) 417-4512
A.R.S. Title 36, Title XIX, SSA

Mission:

To expand Medicaid coverage for persons with income at or below 100% of the Federal Poverty Level, per a voter mandate.

Description:

Laws 2001, Chapter 344, authorizes AHCCCS to streamline and simplify the expansion of Medicaid. This act expanded eligibility for persons with income at or below 100% of the Federal Poverty Level (FPL). Beginning in January 2001, the federal government has continued to approve Arizona's request to expand eligibility to provide Medicaid coverage to individuals with income at or below 100% of FPL, as well as to individuals who incur medical bills sufficient to reduce their income to a level at or below 40% of FPL.

On July 8, 2011, the program was placed on an enrollment freeze due to the economic downturn. On June 17, 2013, Governor Brewer signed into law the AHCCCS Restoration Plan. As a result, coverage will be restored for childless adults who are eligible for AHCCCS under the voter mandated Proposition 204 and will also include coverage for adults from 100-133% of the federal poverty level, beginning January 1, 2014.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	118,068.0	116,113.6	118,546.8
Other Appropriated Funds	21,286.3	20,183.6	20,183.6
Other Non Appropriated Funds	3,794,627.6	4,090,460.2	3,835,104.5
Total Funding	**3,933,981.9**	**4,226,757.4**	**3,973,834.9**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To ensure the management and delivery of quality acute care services are provided to AHCCCS members.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Senator Andrew Nichols Comprehensive Health Insurance Coverage Act monthly enrollment	487707	493168	0	498739	0

Program Summary

NON-TITLE XIX BEHAVIORAL HEALTH

Virginia Rountree, Assistant Director
Phone: (602) 417-4122
A.R.S. § 36-2912

Mission:

To provide behavioral health services to individuals not enrolled in Title XIX Medicaid coverage.

Description:

Effective July 1, 2016 the following Non-Title XIX behavioral health programs will transfer from the Arizona Department of Health Services (ADHS) to the Arizona Health Care Cost Containment System (AHCCCS):

The Seriously Mentally Ill (Non-Title XIX) program provides behavioral health services to adults with Serious Mental Illness (SMI) who are not eligible to received Medicaid Title XIX services. Specific covered services include mental health and substance abuse related treatment, rehabilitation, medical, support, crisis intervention, inpatient, residential, and day program services.

The Supported Housing program provides housing services that will enable individuals to live in the community. These funds may serve the Medicaid and 100% state funded recipients. Medicaid does not, however, provide federal matching funds for housing assistance.

The Crisis Services program provides emergency behavioral health assistance to persons in need, who are not eligible for the Medicaid Title XIX program. Services may include 24-hour crisis telephone lines, mobile crisis response teams, and facility-based crisis services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	96,195.8	97,112.8	97,112.8
Other Appropriated Funds	2,250.2	2,250.2	2,250.2
Other Non Appropriated Funds	150,331.1	174,562.2	169,970.7
Total Funding	**248,777.1**	**273,925.2**	**269,333.7**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To provide behavioral health services to individuals not enrolled in the Title XIX Medicaid program

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Non Title XIX Behavioral Health	27728	27728	0	27728	0

Program Summary

CHILDREN'S HEALTH INSURANCE (CHIP)

Penny Ellis, Assistant Director
Phone: (602) 417-4512
A.R.S. § 36-2982

Mission:

To provide comprehensive quality health care to individuals eligible for the Children's Health Insurance Program (KidsCare).

Description:

This Title XXI program (KidsCare) was implemented in November 1998, covering uninsured eligible children up to the age of 19 with a gross household income up to 200% of FPL. KidsCare eligibility was streamlined, with the benefit package remaining the same as the Title XIX services package. It is delivered through contracted AHCCCS health plans.

The program has been placed on an enrollment freeze since January 2010 due to lack of funding for the program. Families in this income group will have access to affrodbale healthcare coverage in the Markeplace beginning October 1, 2013.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1.4	7,523.8	19,145.7
Other Appropriated Funds	74,927.2	104,490.2	91,898.9
Other Non Appropriated Funds	0.0	76.3	362.1
Total Funding	**74,928.6**	**112,090.3**	**111,406.7**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To reduce the number of uninsured children under the age of 19 living in families with income not exceeding 200% of the federal poverty level through a simplified eligibility process.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of children with access to primary care provider	0	0	87	88	88

Explanation: *Due to the small population size, this data is no longer generated for the KidsCare population.

Program Summary

DIRECT SERVICE CLAIMING (DSC)

Markay Adams, Assistant Director
Phone: (602) 417-4616
34 CFR Part 300

Mission:

To fund specific medically-necessary Title XIX covered services furnished through public school special education programs with special needs children.

Description:

Through Direct Service Claiming (DSC), Medicaid-covered services are provided in the school setting in order to allow special needs children to obtain a public school education. Services and administration costs are reimbursed through federal Medicaid funds and Local Education Authority (LEA) matching funds. LEAs include participating school districts, charters schools not affiliated with a school district, and the Arizona School for the Deaf and Blind. AHCCCS-initiated school-based claiming began in January 2001 after contracting with a Third Party Administrator (TPA) to administer the program.

Public Consulting Group (PCG), our current TPA, is responsible for training, compliance monitoring, and claims processing. A handbook, website, and training materials are designed to assist the LEAs with program participation, and to ensure the availability of updated information regarding program requirements. Regular Regional Information Sessions have also been established to assist and inform the LEAs. Each LEA has a network of providers that offer services under DSC. Providers include therapists (occupational, physical, and speech), nurses, audiologists, health aides, psychologists and counselors, and transportation providers.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	61,758.8	70,038.5	80,504.4
Total Funding	**61,758.8**	**70,038.5**	**80,504.4**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To reduce the financial burden on schools providing mandated Medicaid services to special needs children by providing for matching federal funds through Direct Service Claiming.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of participating Local Education Authorities (LEAs)	97	97	0	97	0

Program Summary

CHILDREN'S REHABILITATIVE SERVICES

Virgina Rountree, Assistant Director
Phone: (602) 417-4122
A.R.S. § 36-263

Mission:

To provide health care to children with complex needs who require specialized services coordinated by a multi-disciplinary team.

Description:

Children's Rehabilitative Services (CRS) provides medical care, rehabilitation, and related support services to AHCCCS-enrolled children diagnosed with one or more of the qualifying chronic and disabling conditions defined in state statute. In 2008. following a competitive bid process, ADHS sub-contracted management of the entire CRS program to Arizona Physicians/IPA (AP/IPA). APIPA already served as a contractor for three AHCCCS programs: the Acute Care program, the Arizona Long Term Care System Division of Developmental Disabilities (ALTCS/DDD) program, and the Arizona Long Term Care System Elderly and Physically Disabled (ALTCS/EPD) program. The current APIPA-CRS contract expires in 2012.

Effective January 2011, a process was initiated to integrate CRS into AHCCCS. This offers a way to ensure access to specialty care and the opportunity to consider more efficient coordination of services. AHCCCS is working to create a CRS integrated plan, effective October 1, 2013, that would manage care, not only for CRS conditions, but for ALL other medical and behavioral health conditions as well.

◆ **Goal** 1 To ensure the management and delivery of quality acute care services to children with complex health care needs

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
CRS enrollment	0	0	0	0	0

Program Summary

ACA ADULT EXPANSION

Penny Ellis, Assistant Director
Phone: (602) 417-4512
ARS 36-2901.07(A)

Mission:

To expand Medicaid coverage for adults age 19-64 with income from 100-133% of the federal poverty level, per the Affordable Care Act

Description:

The Supreme Court ruling on the Affordable Care Act (ACA) provides states multiple and complex opportunities with respect to the future of their Medicaid programs. With these opportunities in mind, Governor Brewer signed into law the AHCCCS Restoration Plan which restores Medicaid coverage to thousands of Childless Adults and provides coverage for adults age 19-64 between 100-133% of the Federal Poverty Level, beginning January 1, 2014.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	6,461.3	5,393.4	6,647.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	461,200.1	521,625.4	586,736.3
Total Funding	**467,661.4**	**527,018.8**	**593,383.6**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To ensure the management and delivery of quality acute care services are provided to AHCCCS members.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
ACA Adult Expansion monthly enrollment	76,207	76,833	0	77,701	0

Explanation: Coverage for this population will begin on January 1, 2014 and includes estimates for Childless Adult FES.

Agency Summary

COMMISSION ON THE ARTS

Jaime Dempsey, Executive Director
Phone: (602) 771-6520
A.R.S. § 41-982

Mission:

To foster and stimulate a statewide environment in which everyone can participate in and experience the arts.

Description:

The Commission on the Arts, in collaboration with the National Endowment for the Arts, makes strategic investments of public dollars to support the statewide arts and culture sector, helping Arizona communities attract and retain skilled workers and creative businesses. This public investment leverages additional contributions from the private sector, increasing the sustainability of Arizona's arts and culture sector and promoting statewide economic growth.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,000.0	2,200.0	0.0
Other Non Appropriated Funds	2,563.5	2,265.2	2,265.2
Total Funding	**4,563.5**	**4,465.2**	**2,265.2**
FTE Positions	**11.0**	**12.0**	**12.0**

5 Year Plan

Issue 1 Arts and culture delivery agents lack capacity to sustain quality service to residents of Arizona and the taxpaying public.

Description PLAN METHODOLOGY:

-- This is a 5-year plan, for Fiscal Years 2016–2020.

-- Strategic Issues 1-5 briefly outline key challenges facing the arts and culture sector.

-- Goals/Desired Outcomes 1-5 are developed as ideal results for the Arizona arts and culture sector.

-- Strategies (numbered “a” through “e-g”) are developed as methods of action to address strategic issues.

Each Strategy is "coded" with any of the following which apply:

Leadership and Partnerships – LP

The Arizona Commission on the Arts is best known, statewide and nationally, as a leader in arts administration, a pacesetter in research and analysis, and as a catalyst for innovative partnerships in support of Arizona’s arts and culture sector. Leadership and Partnerships reflects the Arts Commission’s role as a leading arts policy and information source and as a catalyst brokering cross-sector and intra-sector partnerships.

Programs and Services – PS

The Arizona Commission on the Arts continually develops and offers professional development training and learning opportunities meant to enhance the skills of statewide delivery agents of arts and cultural programming, including individuals working in arts organizations, schools, and community service organizations as well as individual artists, educators, and arts patrons. Programs and Services support participation and learning in, through, and about the arts, meet identified needs, and positively impact agency grantmaking activities.

Strategic Funding – SF

The Arizona Commission on the Arts provides funding support to the Arizona arts industry through several established grantmaking processes. Grants are delivered to support applicant learning, promote artistic quality and authenticity, encourage responsible business practices, reach a broad range of Arizona citizens, and increase public participation and public benefit. Strategic Funding is distributed through transparent public processes constructed to ensure efficiency and accountability.

STRATEGIC ISSUE 1:

As stated in the Agency Description, the Arts Commission’s primary functions include providing leadership, programs, services, and grants to support the availability and sustainability of arts/culture and arts education programs. These functions are coincident with the agency’s statutorily required duties which include (ARS §41-982, §41-983):

-- Stimulating the arts in Arizona by encouraging the study and presentation of the arts as well as encouraging public interest and participation;

-- Working with arts organizations in the State to encourage public participation in and appreciation of the arts; and

-- Encouraging public interest in the State’s cultural heritage and expanding the State’s cultural resources.

As a result of the recession, the State of Arizona’s fiscal crisis and reductions to the Arizona Commission on the Arts’ overall budget, available state grant funding in support of these duties diminished greatly.

Arts organizations currently receiving grant support – 300+ nonprofit organizations across the state – now receive 50% to 80% less support than in previous years, when even at its peak level of funding Arizona’s state arts agency funding support was far below the national average. These grant reductions come at a time when the arts and culture sector

continues to struggle mightily against decreased support from local businesses, foundations, and charitable donations. The Arts Commission is focused on meeting the new and tremendous needs of these "delivery agents" of arts and cultural services in non-monetary ways, as reductions in funding have given birth to other acute needs: for technical support, counsel, accountability training, and crisis management guidance, all of which the agency provides as a part of its core charter.

Through this work with and on behalf of Arizona's arts and culture sector, the Arts Commission seeks to increase the capacity of these delivery agents in service to the primary beneficiary of the whole of these efforts: residents of Arizona, the taxpaying public.

GOAL/DESIRED OUTCOME 1:

Arizonans can access vibrant, quality arts and cultural activities wherever they live, and have opportunities to participate as practitioners, professionals, patrons, donors, and volunteers.

Solutions:

a. Provide learning opportunities to delivery agents of arts and cultural programming to help them leverage assets, procure funding, develop and maintain audiences, improve the quality of products and services, honor Arizona's diverse cultural heritage, and deepen and expand their mission-focused service of communities through the arts. Example programs: Arts Learning Field Training, AZ Creative Aging, AZ Creative Communities, Cultural Data Project, annual workshops and convenings. – LP, PS

b. Continue to deliver grant funding to statewide arts organizations, schools, community service organizations, and individuals which demonstrate quality artistic programming, evidence of public benefit and public participation, and responsible fiscal practices. Example grant programs: Community Investment Grants, Arts Learning Grants, Strengthening Schools Through Arts Partnerships Grants, Festivals Project Grants, Honoring Our Servicemembers Grants, Professional Development Grants, Chamber and Tourism Membership Grants, Artist Research and Development Grants. – SF

c. Make focused financial and programmatic investments in both geographic and programmatic areas where demonstrable needs exist but where arts and cultural programming is scarce, nonexistent, or vulnerable. Example programs: Arts Learning Grants, Art Tank Grants, AZ Creative Aging, AZ Creative Communities, Strengthening Schools Through Arts Partnerships Grants, Festivals Project Grants, Honoring Our Servicemembers Grants, Community Catalyst Grants. – LP, PS, SF

d. Serve as Arizona's chief delivery agent – through technology, communications, publications, and expertise – for research and information related to arts resources, funding, and learning opportunities. Example services: Comprehensive website content and participatory social media efforts, newsletters, searchable website portals, interactive online technical assistance. – LP, PS

e. Work to maintain existing levels of public funding for the arts in Arizona, while developing more protected private funds sources supported by Arizona foundations, corporations, and individual donors. – LP, SF

f. Implement and advance "The Choice is Art," a statewide promotional campaign for the arts in Arizona, to increase awareness of existing statewide programs and services, encourage participation, and cultivate public value and support for the arts. – LP, PS, SF

Issue 2 The contributions of Arizona's arts and culture sector workers are undervalued.

Description STRATEGIC ISSUE 2:

Artists, arts administrators, and arts educators provide substantial value to Arizona communities and are part of a significant labor market growth sector. According to Americans for the Arts' nationwide "Creative Industries Report," creative sector jobs increased in Arizona from 2008 to 2012 – during the recent recession – by 22%. However as a subsector of creative sector jobs, jobs in Arizona's nonprofit arts and culture sector, though increasing in numbers, are chronically undervalued and underpaid according to regional benchmarks.

The Arts Commission seeks to rebuild value for the contributions of Arizona residents working in the arts and culture sector; to demonstrate and showcase best practices; to provide opportunities for innovative, sequential professional development opportunities; and to foster a sector in which Arizonans can more successfully pursue their artistic goals.

GOAL/DESIRED OUTCOME 2:

Arizona residents can make healthy livable wages working in myriad facets of the arts. Their contributions are valued and respected.

Solutions:

a. Continue to develop and deliver adaptive, sequential skills-building programs to Arizona artists and arts administrators to help them compete for local and national funding, increase professional capacity, promote their creative contributions to Arizona communities, and build support for the arts and arts education. Example programs: Arts Learning Field Training, AZ ArtWorker, AZ Creative Aging, AZ Creative Communities, Cultural Data Project, annual workshops and convenings. – LP, PS

b. Deliver grant funding and work to develop new funding programs in support of individual artists and administrators. Example grants: Professional Development Grants, Art Tank Grants, Chamber and Tourism Membership Grants, Artist Research and Development Grants.– SF

c. Introduce incentives within grantmaking processes to challenge Arizona arts organizations to meet regional benchmarks for artist and administrator pay and benefits. – LP, SF

d. Promote and provide visibility to individuals working in the arts; connect Arizona arts professionals to other professional sectors to encourage partnership, mutual benefit and employment. Example services: providing visibility through AZ ArtWorker, AZ Creative Aging, AZ Creative Communities, and myriad communications vehicles; formal networking opportunities. – LP, PS

e. Nurture existing arts service organizations based on artistic disciplines and cultural initiatives; support the development of independent arts service organizations in geographic and programmatic areas where service organizations are scarce, nonexistent, or vulnerable. Example services: service organizations can be nurtured and incubated through strategic consulting services delivered by Arts Commission staff; funding required for statewide travel. – LP, PS

f. Implement and advance "The Choice is Art," a statewide promotional campaign for the arts in Arizona, to foster understanding about the scope of the arts sector and the contributions of Arizona arts professionals. – LP, PS, SF

Issue 3 Statewide investment in arts learning (lifelong learning in, through and about the arts) is inadequate and must be strengthened.

Description STRATEGIC ISSUE 3:

Because of increased financial pressures on education at all levels, access to quality arts education opportunities within Arizona's in-school and out-of-school settings is at considerable risk. In addition, though Arizona students are expected to meet the Department of Education's Academic Standards in the Arts for preK-12 Arizona students, a significant number of Arizona schools are not financially prepared to provide adequate instruction in arts-based learning, and/or instructors are not qualified/prepared to provide satisfactory arts-based learning opportunities to students. Finally, arts and culture organizations (which provide a substantial percentage of arts learning opportunities to both preK-12 students and lifelong learners) face a dearth of funding support for arts-based education programs.

The Arts Commission seeks to rebuild value for investment in lifelong learning in, through, and about the arts; to educate, prepare and deliver critical funding to diverse statewide delivery agents of arts education programs and opportunities; and to incentivize engagement in innovative, current, and sequential arts learning opportunities for all Arizonans.

GOAL/DESIRED OUTCOME 3:

Arizonans of all ages have access to quality, robust arts education opportunities, whether in-school, out-of-school, or in community settings.

Solutions:

a. Develop and provide innovative, current, and sequential learning opportunities to delivery agents of statewide arts learning programs. Offer practical training to diverse arts education stakeholders and cultivate the next generation of arts educators. Example services: continue to provide training to teaching artists; develop additional formal professional development offerings for classroom teachers and representatives of arts organizations in partnership with the Department of Education and other service groups. – LP, PS

b. Activate and expand partnerships with local, state, and federal arts education policymakers. Contribute as an expert conduit, providing research and information to policymakers, and then providing context to resources delivered to Arizona arts organizations, parents, classroom educators, art specialists, teaching artists, school administrators, and school boards. Example services: partnerships nurtured through ongoing research and by leadership provided by Arts Commission staff; funding required for statewide travel, investment in research, and related materials. – LP, PS

c. Pursue opportunities to build a network of Arizona arts organizations, parents, classroom educators, art specialists, teaching artists, school administrators, and school boards to integrate learning in, through, and about the arts in school curricula as well as school district missions, policies, budgets and practices. Offer practical training and support to develop their ability and fluency in building public support for arts education. Example services: potential network(s) nurtured through ongoing research, counsel and leadership provided by Arts Commission staff; funding required for statewide travel, investment in research, and related materials. – LP

d. Continue to deliver grant funding to quality arts programming which supports lifelong learning in, through, and about the arts, and to quality student-centered arts programming which supports the Arizona Department of Education's Academic Standards in the Arts for preK-12 Arizona students. Example grants and programs: Arts Learning Grants, AZ Creative Aging, Strengthening Schools Through Arts Partnerships Grants. – SF

e. Introduce incentives within grantmaking processes to challenge Arizona schools, arts organizations, and community organizations to broaden, deepen, and diversify their development and delivery of in school, out-of-school, and community-based arts learning programs. Example initiatives: include the development of funding incentives within primary grants to arts organizations. – LP, SF

f. Make focused financial and programmatic investments in both geographic and programmatic areas where demonstrable needs exist but where arts education programming is scarce, nonexistent, or vulnerable. Example grants and programs: Arts Learning Grants, AZ Creative Aging, Strengthening Schools Through Arts Partnerships Grants. – LP, PS, SF

g. Implement and advance "The Choice is Art," a statewide promotional campaign for the arts in Arizona, to build broad public support for programs which engage students in learning in, through, and about the arts, in the pursuit of positive personal,

educational, and community outcomes. – LP, PS, SF

Issue 4 Community-focused arts and cultural partnerships across Arizona must be nurtured and fortified.

Description STRATEGIC ISSUE 4:

Arizona arts and culture organizations have long provided great value to neighborhoods in rural, urban, and suburban communities, through increased civic engagement, improved community vitality, creative and aesthetic benefits, and increased local economic activity. Because of decreased financial investment from the public sector, local businesses, foundations and individuals, arts and culture organizations are seeking new partners, programmatic opportunities, and sources of revenue to allow them to continue co-creating positive outcomes in Arizona communities.

The Arts Commission seeks to rebuild value for community-focused arts and cultural partnerships across Arizona; to demonstrate and showcase best practices; and to provide opportunities for intra- and cross-sector networking, resource-sharing and mutually-beneficial community outcomes.

GOAL/DESIRED OUTCOME 4:

Arts and cultural programs and organizations are considered societal cornerstones and are employed as partners in the revitalization and sustainability of streets, neighborhoods, and communities.

Solutions:

a. Conduct, aggregate, and provide access to best-practices research related to partnerships between arts delivery agents and community-based initiatives, government agencies, and other-sector local businesses. Counsel arts organizations, community organizations, and artists to utilize resources to fullest advantage. Example programs and services: AZ Creative Aging, AZ Creative Communities, partnerships nurtured through ongoing research and by counsel and leadership provided by Arts Commission staff; funding required for statewide travel, investment in research, related materials; resources aggregated, contextualized, and disseminated through communications vehicles. – LP, PS

b. Activate and expand agency relationships with existing and nontraditional partners in order to facilitate collaborations between Arizona arts programs and other-sector initiatives. Example programs and services: AZ ArtWorker, AZ Creative Aging, AZ Creative Communities, partnerships nurtured by counsel and leadership provided by Arts Commission staff; funding required for statewide travel, and participation in sector-wide and other-sector initiatives. – LP

c. Deliver grant funding to collaborative projects which employ quality arts and cultural programming in the pursuit of favorable community outcomes. Deliver funding for this purpose in every Arizona county. Example grants and programs: AZ ArtWorker, AZ Creative Aging, AZ Creative Communities, Arts Learning Grants, Art Tank Grants, Festivals Project Grants, Community Catalyst Grants. – LP, SF

d. Provide opportunities for arts leaders, in particular next-generation arts leaders, to network with community officials, diverse cultural leaders, faith leaders, and local businesspeople. Example services: networking and integration opportunities provided through participation in other-sector initiatives and existing Arts Commission programs such as community workshops and trainings, partnerships related to Emerging Leaders in the Arts networks; Chamber and Tourism Membership Grants. – PS

e. Implement and advance “The Choice is Art,” a statewide promotional campaign for the arts in Arizona, to broadly promote the arts industry’s role in community health and livability, as well as the industry’s potential to positively impact the fiscal position and sustainability of Arizona cities and towns. – LP, PS, SF

Issue 5 Statewide private investment in arts and culture is inadequate and must be strengthened.

Description STRATEGIC ISSUE 5:

Arizona arts organizations have long provided great value to Arizona corporate and small-business constituencies through individuals' and families' engagement in arts and cultural activities, improved quality of life indices, and measurable on-the-ground revenue-generating partnerships. However, statewide corporate and small-business support of arts and culture was significantly curtailed as a result of the recent recession, for several reasons:

-- Arizona lacks a critical mass of midsized and large corporate headquarters which might be inclined to support arts and culture sector programs and initiatives.

-- Prior to the recession, Arizona's business sector had become chronically under-diversified and largely dependent on new construction, which, coupled with the challenges within the real estate market, meant that developers and construction companies did not have funds to invest in quality of life ventures.

The Arts Commission seeks to rebuild value for arts and cultural investment among corporate and small-business constituencies; and to provide opportunities for intra- and cross-sector networking, resource-sharing, and mutually-beneficial community and financial outcomes.

GOAL/DESIRED OUTCOME 5:

Recognizing the arts industry's role in economic viability and enhanced quality of life, Arizona's for-profit businesses invest in the arts as partners, supporters, and champions.

Solutions:

a. Serve as leading reliable resource for information and research related to cultural policy, emerging and hybrid business models, economic impact of the arts and culture industry, and public support for arts and culture. Promote opportunities to share research with Arizona's elected officials, small businesses, and corporate leaders. Example services: partnerships nurtured through ongoing research and by counsel and leadership provided by Arts Commission staff; funding required for statewide travel, investment in research, related materials; resources aggregated, contextualized, and disseminated through communications vehicles. – LP, PS

b. Introduce incentives within grantmaking processes to encourage Arizona arts organizations to develop mutually beneficial and mission-supported partnerships with for-profit entities. Example initiatives: include the development of funding incentives within primary grants to arts organizations; AZ ArtWorker, AZ Creative Aging, AZ Creative Communities, Art Tank Grants, Community Catalyst Grants. – LP, SF

c. Facilitate opportunities for arts leaders to participate in other-sector policy forums, convenings, and initiatives. Example services: networking and integration opportunities provided through participation in other-sector initiatives and existing Arts Commission programs such as community workshops and trainings, partnerships related to Emerging Leaders in the Arts networks; AZ Creative Aging, AZ Creative Communities, Chamber and Tourism Membership Grants. – LP, PS

d. Develop communications strategies to focus and adapt agency messaging based on the needs and interests of diverse audiences and authorizers. Example services: Comprehensive website content and participatory social media efforts, newsletters, searchable website portals, interactive online technical assistance. – PS

e. Implement and advance "The Choice is Art," a statewide promotional campaign for the arts in Arizona, to illuminate the for-profit sector's short- and long-term interest in supporting a vibrant, sustainable statewide arts industry. Employ Arizona small businesses and corporations as partners in the effort. – LP, PS, SF

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	13.0	13.0	13.0
General Fund	3,500,000.0	3,500,000.0	3,500,000.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	1,300,000.0	1,400,000.0	1,500,000.0
Federal Funds	850,000.0	860,000.0	870,000.0

◆ **Goal** 1 To ensure Arizonans can access vibrant, quality arts and cultural activities wherever they live, and have opportunities to participate as practitioners, professionals, patrons, donors, and volunteers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Individuals benefiting from programs sponsored by Agency (in thousands)	8,623.2	8,000.0	8,933.8	8,250.0	8,500.0
Number of applications for community-driven projects received/number funded	353/296	320/270	350/310	325/280	340/290
Explanation: Figures for this measure are compiled in our online grants systems.					
Number of applications submitted by applicants identifying as organizations, individuals, or communities of color	49	50	115	120	125
Explanation: Figures for this measure are compiled in our online grants systems from applicant self-reporting.					
Percentage of applications submitted by applicants identifying as organizations, individuals, or communities of color funded	83	85	47	50	55
Explanation: Figures for this measure are compiled in our online grants systems from applicant self-reporting.					
Number of applications submitted by rural applicants	145	135	201	150	160
Explanation: Figures for this measure are compiled in our online grants systems.					
Percentage of applications submitted by rural applicants funded	66	70	71	72	74
Explanation: Figures for this measure are compiled in our online grants systems.					
Number of applications submitted by applicants that did not apply in previous year	92	75	281	80	90
Explanation: Figures for this measure are compiled in our online grants systems.					
Percentage of applications submitted by applicants that did not apply in previous year funded	74	75	63	65	70
Explanation: Figures for this measure are compiled in our online grants systems.					

◆ **Goal** 2 To ensure Arizonans of all ages have access to quality, robust arts education opportunities, whether in-school, out-of-school, or in community settings.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of applications submitted for arts education programs/dollar amount funded (in thousands)	106/1,960	100/2,500	117/3,397	100/2,750	100/2,750
Explanation: Figures for this measure are compiled in our online grants systems.					
Number of individual Arizona youth served by Commission programs and initiatives (in millions)	1.7	1.8	1.8	1.8	1.9
Explanation: Figures for this measure are compiled in our online grants systems.					

◆ **Goal** 3 To facilitate public and private investment in the arts and culture sector, and support efforts to build recognition of the sector's role in economic viability and enhanced quality of life, such that diverse Arizona stakeholders invest in the arts and culture sector as partners, supporters, and champions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total amount of state investment in arts participation opportunities (in thousands)	2,815.2	3,300.0	3,100.0	3,200.0	3,300.0
Explanation: Figures for this measure are constructed by adding the following State monies provided to the Arts Commission: Arts Trust Fund and Rainy Day Fund Interest, where applicable.					
Total amount of other public and private funds leveraged for arts participation opportunities/state investment (in millions)	179/2.6	185/3.1	229/2.9	215/3.0	225/3.5
Explanation: Figures for this measure are constructed as follows: Cumulative statewide arts budgets as entered into our online grants systems by grantees/Total State dollars granted to Arizona arts organizations and schools by the Arts Commission.					
Number of public policy forums in which the Commission participates in order to integrate the arts	150	135	138	140	145
Explanation: Figures for this measure reflect a subset of total leadership forums Arts Commission staff participate in annually as leaders in the field of arts and culture. This particular measure reflects participation and partnerships with non-arts entities.					
Number of outreach activities including site visits, public presentations, convenings and technical assistance	542	560	706	500	550
Explanation: Figures for this measure are compiled by Arts Commission staff and reflect the total number of workshops, convenings, panels, training sessions, and planning meetings led by the Arts Commission; the number of speaking engagements and panels involving Arts Commission staff; and the number of publications presented to the field as technical assistance.					
Number of Arizonans impacted by outreach activities (in thousands)	213.3	220.0	157.1	160.0	175.0
Explanation: Figures for this measure are compiled by Arts Commission staff and reflect the total number of people participating in workshops, convenings, panels, training sessions, and planning meetings led by the Arts Commission; the number of people attending speaking engagements and panels involving Arts Commission staff; and the number of people receiving publications presented to the field as technical assistance.					
Constituent satisfaction ratings (scale of 1-8)	7.10	6.90	6.60	6.80	6.90

Agency Summary

BOARD OF ATHLETIC TRAINERS

Karen Whiteford, Executive Director
Phone: (602) 589-8353
A.R.S. §§ 32-4101 to 32-4161

Mission:

To protect the health, safety, and welfare of the public by licensing and regulating individuals who provide athletic training services.

Description:

The Board of Athletic Training issues licenses for the athletic training profession and monitors closed licenses. The Board requires that licensees meet minimum standards of education, experience, and competence. The Board also investigates complaints and takes appropriate disciplinary action.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	109.9	127.0	127.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**109.9**	**127.0**	**127.0**
FTE Positions	**1.5**	**1.5**	**1.5**

5 Year Plan

Issue 1 Improve eLicensing user interface and workflow.

Description The Board of Athletic Training implemented eLicensing in May of 2018. While this has reduced the amount of time required by Board staff to manually enter applications, there are many issues with the system that prevent the application submission and license issuance processes from being as fluid as they should be.

Solutions:

A.The Board will continue to work with ASET to fine-tune the eLicensing system.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	1.5	1.5	1.5
General Fund	0.0	0.0	0.0
Other Appropriated Funds	127.0	127.0	127.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To ensure that licenses and renewals are issued in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Athletic Training licenses issued including initials and renewals.	769	795	897	935	1000
Number of Licensees	857	880	930	950	970

Explanation: Represents licensees who held an AT license at any time in FY 2019.

Number of license renewals received	638	650	706	684	703
Average calendar days to renew a license	23	20	21	20	20
Average calendar days to issue a license.	28	25	23	20	20

◆ **Goal** 2 To investigate and adjudicate complaints within 120 days.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints received	7	8	9	10	10
Disciplinary actions taken	3	4	4	4	4
Complaints resolved within 120 days	7	8	7	10	10

Explanation: Two complaints are still in progress.

◆ **Goal** 3 To continually improve customer satisfaction by providing consistency in carrying out the Board's policies and procedures for licensing and regulation.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of athletic training complaints received	7	8	9	10	10
Percent of licenses issued within 10 days of approval.	100	100	100	100	100
Complaints resolved within 120 days	7	8	7	10	10
Customer Satisfaction rating (scale 1-8)	0	8	8	8	8

Agency Summary

ATTORNEY GENERAL - DEPARTMENT OF LAW

Mark Brnovich, Attorney General
Phone: (602) 542-7000
A.R.S. § 41-191

Mission:

To provide comprehensive legal protection to the citizens of Arizona and quality legal services to the State agencies by upholding the Constitution and enforcing the law in a fair and just manner.

Description:

The Attorney General (AG) is a constitutionally established, elected position and holds office for a four-year term. The Attorney General is the legal advisor to all State agencies, boards, and commissions, except those few exempted by law. Other primary responsibilities include prosecuting and defending proceedings in which the State has an interest and rendering written opinions upon questions of law.

To fulfill these responsibilities, the Department of Law is divided into legal services and administrative operations. The legal divisions are the Child and Family Protection Division, Civil Litigation Division, Criminal Division, Appeals and Constitutional Litigation Division, and the State Government Division. Each division is further organized into sections that specialize in a particular area of practice. Two divisions are primarily responsible for administrative operations: the Operations Division and the Communications Division.

Legal, policy, administrative, and support functions are coordinated and promoted by the Executive Office.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ LEGAL SERVICES	120,793.9	134,155.4	132,655.4
➢ CENTRAL ADMINISTRATION	16,297.9	19,351.2	19,351.2
Agency Total:	**137,091.8**	**153,506.6**	**152,006.6**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	25,065.8	26,082.4	24,582.4
Other Appropriated Funds	38,931.5	55,235.9	55,235.9
Other Non Appropriated Funds	73,094.5	72,188.3	72,188.3
Total Funding	**137,091.8**	**153,506.6**	**152,006.6**
FTE Positions	**1,040.4**	**1,050.3**	**1,050.3**

5 Year Plan

Issue 1 To Defend the State from Criminal Activities

Description To disrupt and dismantle criminal organizations and aggressively prosecute criminals; reducing the financial power of criminal enterprises and continuing to serve as a national leader among the nation's Medicaid Fraud Control Units.

Solutions:

GOAL 1: To disrupt and dismantle criminal organizations and aggressively prosecute criminals.

STRATEGIES:
•Coordinate efforts with federal, state, local, and neighboring countries law enforcement.
•Provide technical assistance to other law enforcement agencies, including the use of financial transaction data, to develop evidence relating to underlying criminal activity.
•Cooperate with and build effective working relationships with federal agencies.
•Provide federal and state law enforcement agencies with training on relevant legal issues and investigative techniques.
•Aid in and conduct wiretap and undercover investigations, including the investigations and prosecutions of multi defendant, highly complex drug trafficking organizations.
•Specialize in fighting drug trafficking and money laundering through court-authorized electronic interception focused against Mexican cartels and United States-based transportation cells involved in the smuggling of drugs, weapons, and bulk currency across Arizona's southern border.
•Assist in the support of a chain of inter-related task forces in the Southwest Border area, concentrating on anti-money laundering enforcement at the highest levels.

GOAL 2: To reduce the financial power of criminal enterprises.
STRATEGIES:
•Dismantle racketeering enterprises through aggressive prosecution and the proper use of civil racketeering remedies.
•Remediate the economic injury caused by individuals and criminal enterprises who engage in profit-motivated felonies, thereby increasing the compensation ultimately provided to victims for their economic loss.
•Deprive criminal enterprises of property and profit that keep them in business.
•Specialize in complex financial prosecutions to reduce the financial power of criminal enterprises.
•Foster multi-jurisdictional collaboration to identify, investigate, and disrupt financial activities that facilitate cross-border violence and money laundering.
•Enhance coordination of the Southwest Border states' anti-money laundering efforts.

GOAL 3: To continue to serve as a national leader among the nation's Medicaid Fraud Control Units.
STRATEGIES:
•Work collaboratively with federal law enforcement partners including the Department of Health & Human Services Office of Inspector General (HHS-OIG), DEA and the FBI to prosecute Medicaid fraud related crimes.
•Combat the enormous problem of health care fraud related to prescription drug crimes.
•Investigate and prosecute cases that involve the falsification of medical records; the filing of false or inflated Medicaid billing claims; thefts and embezzlements from AHCCCS clients and health care institutions; the illegal diversion of prescription drugs by health care providers; and the physical, sexual and emotional abuse of residents being cared for in AHCCCS-funded facilities.

Issue 2 To Protect Vulnerable Citizens Against Crime

Description To promote the safety, economic sufficiency and well-being of children. Combat financial and physical abuse of Arizona's senior population. To promote and facilitate justice, healing and restitution for all of Arizona crime victims

Solutions:

GOAL 1: Promote the safety, economic sufficiency and well-being of children.

STRATEGIES:

•Protect children through effective litigation and efficient case management in dependency, guardianship, severance, and adoption proceedings.
•Provide training to AGO, DCS, and DES staff, DCS caseworkers and supervisors, members of the judiciary, and various child welfare system stakeholders throughout Arizona for effective case management.
•Increase enforcement activity in judicial and administrative establishment of new child support orders.
•Aggressively prosecute child exploitation cases.
•Increase investigative involvement and provide dedicated resources to focus on Internet Crimes Against Children, and to aggressively prosecute individuals found guilty of Internet-related and associated child abuse charges.

GOAL 2: Combat financial and physical abuse of Arizona's senior population.

STRATEGIES:

•Develop cases internally and work collaboratively with outside law enforcement agencies and other state teams in order to pursue and prosecute allegations of abuse and neglect, including those that take place within health care settings.
•Work closely with other law enforcement offices, state and local agencies, and senior-focused groups to assure an aggressive investigative and prosecutorial presence in the State.
•Provide a dedicated telephone number through which the public, other law enforcement agencies, caregivers and family members can report concerns and receive information and referrals.
•Offer educational opportunities around the state in which seniors can participate.
•Offer training and education to groups who have significant interactions with the senior population.
•Use the strengths, skills, and resources across AGO Divisions to ensure the success of the Taskforce Against Senior Abuse (TASA).
•Prosecute telephone solicitation and phone scam crimes initiated by individuals and companies targeting seniors.
•Initiate legislative remedies and provide federal strategies that will help reduce the number of unwanted and illegal phone calls.

GOAL 3: To promote and facilitate justice, healing and restitution for all of Arizona crime victims.

STRATEGIES:

•Improve the treatment of crime victims by exhibiting leadership, promoting public policy reforms where needed, and increase the quality of victim services through the administration of the Victims' Rights Program.
•Provide for efficient and effective delivery of quality services to victims during all stages of criminal prosecutions.
•Serve as a leader statewide on victims' rights issues through participation in networking events, leading the Victims' Rights Advisory Committee and through the provision of statewide victim's rights training.
•Investigate allegations of victims' rights violations statewide.
•Created programs that advance and enforce statewide uniformity and efficiency in following victims' rights in Arizona.
•Take a unique approach by combining state funding, program audits, technical assistance, training, compliance and collaboration in order to increase awareness statewide about victims' rights, as well as increase compliance with victims' rights statutes and the Arizona Victims' Bill of Rights.
•Competently and efficiently defend the State in all capital and non-capital appellate cases.
•Enhance written and oral advocacy skills through participation in training.
•Improve expertise in handling federal habeas litigation through participation in training related to federal appeals under 28 U.S.C. § 2254.

Issue 3 To Protect Consumers

Description To deter fraudulent business practices as a means to protect consumers against fraud and increase the amount of restitution recovered on behalf of Arizona consumers. To reduce the number of unwanted and illegal telephone solicitation calls received by Arizonans.

Solutions:

GOAL 1: To deter fraudulent business practices as a means to protect consumers against fraud and increase the amount of restitution recovered on behalf of Arizona consumers.

STRATEGIES:
•Investigate and prosecute violations of the Arizona Consumer Fraud Act and other state and federal consumer protection laws.
•Increase public awareness through consumer education and alerts, presentations, and the distribution of literature.
•Increase the amount of pre-litigation restitution recovered on behalf of Arizona consumers.
•Prioritize AGO consumer fraud recovery efforts on consumer restitution.
•Reform the multistate consumer fraud recovery process to focus on consumer restitution.
•Aggressively litigate against companies, individuals, and corporations that blatantly defraud or deceive Arizona consumers.

GOAL 2: To reduce the number of unwanted and illegal telephone solicitation calls received by Arizonans.

STRATEGIES:
•Work with and encourage the FTC to develop rules and guidelines allowing carriers and states to take a more proactive approach in blocking unwanted phone calls.
•To test and make available call-blocking technology to Arizona seniors.
•To aggressively prosecute Arizona companies that blatantly violate and disregard the Do Not Call List.
•Educate Arizona consumers on how to reduce the number of unwanted calls and what to do when they receive illegal telephone solicitation calls.
•Work with the Arizona Legislature to pass legislation giving Arizona some of the strongest consumer protection laws in the country.

Issue 4 To Provide Legal Services for State Agencies, Boards and Commissions

Description To provide a superior level of legal services to our client agencies, the public and the State of Arizona.

Solutions:

GOAL 1: To provide a superior level of legal services to our client agencies, the public and the State of Arizona.

STRATEGIES:
•Improve efficiency of legal services delivery through client relations meetings with agencies that frequently require our services.
•Provide advanced client agency training sessions in the areas of public records law, open meeting law, conflict of interest law, contracting and procurement law, and related legal restrictions on the activities of public officials and employees. Ethics training for elected officials and appointed agency heads is now available online for ease of access and updating.
•Maintain and enhance the Continuing Legal Education (CLE) programs currently being offered by the Appeals and Constitutional Litigation Division.
•Reduce the need for outside counsel whenever possible, thereby preserving precious taxpayer resources.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	1,050.3	1,050.3	1,050.3
General Fund	24,582.4	24,582.4	24,582.4
Other Appropriated Funds	50,385.9	50,385.9	50,385.9
Non-Appropriated Funds	64,795.5	64,795.5	64,795.5
Federal Funds	7,392.8	7,392.8	7,392.8

Program Summary

LEGAL SERVICES

Leslie Welch, Operations Director
Phone: (602) 542-8046
A.R.S. § 41-191

Mission:

To protect the safety, health, economic and environmental well-being, and civil rights of Arizonans by fairly and aggressively prosecuting criminal activity, safeguarding the rights of crime victims, protecting consumers and providing high quality, innovative legal representation to the State and our client agencies.

Description:

Legal services are provided through the following divisions of the Attorney General's Office: (1) Child and Family Protection Division; (2) Civil Litigation Division; (3) Civil Rights Division; (4) Criminal Division; (5) Appeals and Constitutional Litigation; (6) State Government Division. The Child and Family Protection Division provides legal services to the Department of Economic Security and Department of Child Safety through the Protective Services Section, the Child Support Services Section, and the Civil & Criminal Litigation and Advice Sections. The Civil Litigation Division enforces the State's consumer protection and antitrust laws, enforces tobacco laws, and provides legal advice and litigation services to the executives and judicial branches. The Civil Rights Division enforces state and federal statutes prohibiting discrimination in employment, voting, public accommodations and housing. The Criminal Division prosecutes a broad array of crimes (including border-related crimes and crimes committed by organized criminal syndicates), using experienced criminal prosecutors and highly trained investigators. The Appeals and Consititutional Litigation Division represents the State in capital and non-capital criminal appeals and federal habeas actions. The State Government Division focuses on specialty areas of Civil law and provides day-to-day legal services for a myriad of State agencies, departments, boards and commissions as well as enforcing environmental laws.

This Program Contains the following Subprograms:

- Civil Rights Division
- Criminal Division
- Child and Family Protection Division
- Civil Division

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	18,738.1	20,012.2	18,512.2
Other Appropriated Funds	38,112.5	54,370.0	54,370.0
Other Non Appropriated Funds	63,943.3	59,773.2	59,773.2
Total Funding	**120,793.9**	**134,155.4**	**132,655.4**
FTE Positions	**939.9**	**950.3**	**950.3**

Subprogram Summary

CIVIL RIGHTS DIVISION

Joseph Sciarrotta, Division Chief Counsel
Phone: (602) 542-7778
A.R.S. §§ 41-191 and 41-1401

Mission:

To enforce civil rights laws and eliminate discrimination statewide by increasing public awareness of civil rights through education and enforcement and providing greater access to victims, including offering dispute resolution services to the people of Arizona.

Description:

The section's major duty is to enforce state statutes that prohibit discrimination in employment, voting, public accommodations, and housing by investigating and litigating civil rights complaints. In addition, the section provides conflict resolution services and mediation programs statewide, including many court and agency programs. The section not only is responsive to complaints it receives but is pro-active in addressing discriminatory activity by providing education. It also may conduct surveys and inquiries in efforts to eliminate discrimination and publish reports to highlight civil rights issues in Arizona. The section has an internal appellate procedure where new evidence is reviewed and closed investigations are reopened where the new evidence may change the outcome.

The section has administrative, community service, and civil functions. Its staff is comprised of lawyers, compliance officers, program managers, coordinators, support personnel, volunteers, and interns. The section has offices in Phoenix and Tucson.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,245.1	1,265.8	1,265.8
Other Appropriated Funds	69.3	5,066.8	5,066.8
Other Non Appropriated Funds	1,039.8	1,014.4	1,014.4
Total Funding	**2,354.2**	**7,347.0**	**7,347.0**
FTE Positions	**30.0**	**33.8**	**33.8**

◆ **Goal** 1 To increase compliance with anti-discrimination laws through timely and effective investigation.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of cases investigated	1,395	1,300	1,373	1,300	1,300
Number of cases resolved	921	850	900	850	850
Percentage of cases resolved using voluntary settlement agreements	18	15	17	15	15

◆ **Goal** 2 To identify major litigation and to obtain monetary relief and significant remedial relief as appropriate.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of lawsuits	7	6	3	5	5

Explanation: CRD had more cases settle after cause finding than expected which decreases the number of lawsuits filed.

Number of lawsuits resolved	3	5	4	5	5
Percentage of litigation cases resolved using voluntary settlement agreements	43	40	57	40	40

Explanation: This number is reflective of our efforts to settle cases prior to lawsuits given our duty to attempted settlement under statute.

◆ **Goal** 3 To provide the people of Arizona and its governmental entities effective dispute resolution services.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of cases referred to mediation	724	750	875	800	800
Explanation: This shift is the result of getting more cases from the EEOC due to the federal government shutdown.					
Number of Civil Rights discrimination cases mediated	145	130	170	150	150
Explanation: Our mediation team has increased mediation scheduling resulting in more settlements.					
Percentage of Civil Rights mediations in which agreement was reached	57	55	54	55	55
Maintain satisfaction rate of participants above 90 percent	89	95	94	95	95

◆ **Goal** 4 To increase public awareness of the State's laws against discrimination, arming them with the ability to avoid violating the Arizona Civil Rights Act and knowing how to use our office's resources if they are victimized.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of training presentations and outreach events	28	20	20	20	20

Subprogram Summary

CRIMINAL DIVISION

Paul Ahler, Division Chief Counsel
Phone: (602) 542-8495
A.R.S. §§ 41-191 and 21-427

Mission:

To protect the citizens of Arizona by successfully investigating, aggressively and fairly prosecuting cases involving sophisticated and complex financial crimes, human trafficking, identity theft-related crimes; technology crimes, gang-related crimes, drug traffickers, trafficking organizations, money launderers, and individuals involved in criminal enterprises within the State of Arizona. To provide high quality investigative support to the Attorney General's Office and to law enforcement agencies throughout the State. To promote and facilitate safety, justice, healing and restitution for Arizona's crime victims, and support statewide criminal and juvenile justice system entities in the administration of victims' rights laws.

Description:

Southern Arizona White Collar & Criminal Enterprise Section (SAWCCE): The Southern Arizona White Collar & Criminal Enterprise Section prosecutes all criminal cases under the Attorney General's statutory jurisdiction. SAWCCE specializes in white collar fraud cases including but not limited to investment and securities fraud, business embezzlement, AHCCCS and DES fraud, social security fraud, identity theft, money laundering, and other economic crimes. SAWCCE also focuses on anti-Cartel prosecutions of criminal enterprises comprised of international drug traffickers and Arizona-based criminal cells involved in the smuggling of drugs, weapons, money and humans across Arizona's southern border. Additionally, SAWCCE prosecutes public corruption cases involving misuse of public funds, obstruction of justice and bribery. SAWCCE also prosecutes crimes involving Internet-based sexual exploitation of children, and dedicates an attorney to prosecute elder financial exploitation and abuse cases. SAWCCE further assists local county attorney offices by taking conflict cases and accepts complex cases referrals from prosecution agencies and law enforcement throughout the State.

Drug & Racketeering Enforcement Section (DRG): The Drug & Racketeering Enforcement Section combats major drug trafficking in Arizona. This includes prosecuting individuals and organizations that traffic in illegal drugs, money launder of illicit proceeds and commit violent crimes. DRG works closely with law enforcement agencies from throughout the State and provides legal counsel and assistance in wiretap and undercover investigations. Additionally, the attorneys in DRG provide legal advice and training on a statewide basis on issues involving search and seizure law, wiretap law, prosecuting cases involving children found at drug-related scenes, and courtroom testimony. Attorneys in DRG will also provide assistance to Arizona County Attorneys on complex, major drug cases.

Fraud & Special Prosecution's Section (FSP): The Fraud & Special Prosecution Section investigates and prosecutes white collar and organized fraudulent criminal activity, including but not limited to, identity theft-related crimes, human smuggling, mortgage fraud, high technology crimes, child exploitation through the use of computers, public corruption, securities fraud, computer fraud, financial exploitation of the elderly, telemarketing fraud, charity fraud, tax fraud, public corruption, insurance fraud, banking fraud, home improvement fraud, real estate fraud, employee embezzlement, gang related crimes and other types of financial crimes involving racketeering offenses. FSP also works closely with the Financial Remedies Section to insure that any ill-gotten moneys are subject to forfeiture. FSP attorneys also prosecute cases referred by other prosecutorial offices throughout the State when those offices have a conflict of interest.

Healthcare Fraud & Abuse Section (HCFA): The Healthcare Fraud & Abuse Section, also known as the Arizona Medicaid Fraud Control Unit, investigates and prosecutes health care fraud crimes that are aimed at the State's billion dollar Medicaid program known as AHCCCS. In addition, HCF is charged with investigating allegations of abuse and neglect that take place within health care settings that receive at least a portion of their funding from the State's AHCCCS program. HCF investigates and prosecutes cases involving the falsification of medical records, the filing of false or inflated Medicaid billing claims; thefts and embezzlements from AHCCCS clients and health care institutions; crimes related to the illegal diversion of prescription drugs by health care providers; and the physical, sexual, and emotional abuse of residents being cared for in AHCCCS-funded facilities.

Financial Remedies Section (FRS): The Financial Remedies Section (FRS) disrupts criminal enterprises and dismantles their organizations by prosecuting lawsuits charging them with racketeering offenses that give rise to the remedy of forfeiture. FRS effectively combats the impact of racketeering on Arizona's citizens and on legitimate commerce in Arizona. It does this primarily through forfeiture, which enables FRS to not only deprive organized crime of the property and profit that keep it in business, but to use forfeited property and proceeds to fund future investigations and prosecutions of racketeering crimes. FRS conducts investigations of offenses relating to organized crime and racketeering, primarily money laundering and drug trafficking; facilitates the seizure of property; manages the seized property; prosecutes lawsuits mainly seeking forfeiture of the seized property; and, distributes the proceeds of the sold, forfeited property to victims of

racketeering crime and law enforcement agencies that investigate and prosecute more racketeering offenses committed by other criminal organizations.

Office of Victim Services (OVS): The Office of Victim Services is a service-oriented Section within the Criminal Division of the Attorney General's Office whose programs are established for directly benefiting both crime victims and the many state-and-local governmental entities in Arizona who serve them. The OVS provides statutorily-mandated services to victims of various crimes being investigated and prosecuted by the AGO as well as those crime victims whose cases are being appealed. OVS staff also provides more than twenty types of non-mandated services to address the needs of crime victims recovering from the personal and social effects of victimization. Additionally, OVS supports state, county, and municipal law enforcement, custodial, prosecutorial, and correctional agencies, and courts, having duties established and defined by Arizona's victims' rights laws. These entities benefit from the Victims' Rights Program administered by OVS which provides funding, training and other forms of assistance that further uniformity, efficiency, and victims' rights compliance.

Special Investigations Section (SIS): The Special Investigations Section consists of special agents, supervising agents, analysts, auditors and administrative personnel with specialized areas of experience unavailable from other law enforcement agencies. SIS is divided into six investigative units which function primarily within the following AGO Sections: Consumer Protection and Advocacy, Fraud & Special Prosecutions, Healthcare Fraud & Abuse, Border Crimes Enforcement, Financial Remedies and the Arizona Financial Crimes Task Force. SIS personnel provide expertise in the special areas of prosecution upon which the AGO has sole jurisdictional responsibility. Investigative assistance by SIS personnel is provided in the complex areas of white collar crimes, public corruption, consumer fraud, drug trafficking, human smuggling, environmental crimes, gangs and violence, medical fraud, abuse of the vulnerable, money laundering, forfeiture, tobacco violations and prosecution of crimes which occur in Arizona but the perpetrator has fled to the Republic of Mexico.

Criminal Appeals (CAS) & Capital Litigation Section (CLS): The primary function of these two Sections is defending the State of Arizona in appeals and federal habeas actions initiated by convicted felons. In non-capital appeals, the Criminal Appeals Section represents the State on direct appeal in the Arizona Court of Appeals and in the Arizona Supreme Court. The Section also represents the State in federal court cases arising from state-court convictions. The Capital Litigation Section defends the State in death penalty proceedings from the time a death sentence is imposed until the sentence is carried out or until the case is otherwise concluded. Those proceedings include the direct appeal, state post-conviction, and federal habeas corpus matters. Both Sections also provide trial and research assistance at the request of county attorneys.

Funding:	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
General Funds	12,253.3	13,169.6	11,669.6
Other Appropriated Funds	5,762.1	9,551.7	9,551.7
Other Non Appropriated Funds	18,905.2	18,785.1	18,785.1
Total Funding	**36,920.6**	**41,506.4**	**40,006.4**
FTE Positions	**252.5**	**251.2**	**251.2**

◆ **Goal** 1 To ensure that death penalty sentences are carried out justly and as timely as possible in order to preserve the rights of the victims.

Performance Measures	**FY 2018 Actual**	**FY 2019 Estimate**	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
Death penalty cases open	117	120	116	120	120
Death sentences carried out	0	5	0	5	5
Percentage of capital case convictions upheld by the Arizona Supreme Court on direct appeal and in post-conviction proceedings	100	95	100	95	95
Percentage of death penalty sentences affirmed by the Arizona Supreme Court	57	95	100	95	95

◆ **Goal** 2 To defend the State of Arizona in all non-capital appellate cases.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of briefs, habeas answers, petitions for review and responses to petitions for review, substantive motions and responses filed including evidentiary hearings and oral arguments.	586	600	642	650	650
Explanation: Statistics are for the Criminal Appeals Section only.					
Average number of briefs, habeas answers, petitions for review and responses to petitions for review, substantive motions and responses filed including evidentiary hearings and oral arguments per attorney for non-capital cases	23	24	25	26	26
Explanation: Statistics are for the Criminal Appeals Section only.					

◆ **Goal** 3 To aggressively investigate and prosecute drug, money laundering, gang and other related offenses that occur throughout the State of Arizona, to seek fair civil economic remedies to reduce the profit incentive of drug trafficking and to disrupt racketeering enterprises.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Cases open (SAWCCE & DRG Section Totals)	1035	1100	1016	1100	1100
Opened cases resolved within the year (SAWCCE & DRG Section Totals)	470	500	456	500	500
Number of defendants charged (SAWCCE & DRG Section Totals)	714	750	655	750	750
Number of child abuse victims (SAWCEE & DRG Section Totals)	12	5	11	5	5

Explanation: Increase in the number of child abuse victims in FY18 was due to one case having 10 children at the home during the time officers initiated the arrests. For FY19, the previous case involving 10 children remained active.

◆ **Goal** 4 To investigate and prosecute complex financial fraud crimes and high technology crimes throughout the State of Arizona, which many cases are referred to this office due to other prosecution offices' limitation in manpower, experience or resources.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Cases open (SAWCCE, FSP & HCF Section Totals)	1698	1,500	1,972	2,000	2,050

Explanation: For FY19, FSP developed many good relationships with law enforcement agencies and task forces that we previously had not worked with. Those agencies are bringing many new cases to the Section. These new task force operations and agency relationships account for the significant increase in caseloads and case numbers that we have seen over the past year. For example, our relationship with the FBI/AZDPS Career Criminal Offender Task Force has resulted in many new submittals. That relationship has resulted in several successful prosecutions and we expect to continue to work with these law enforcement agencies going forward.

Opened cases resolved within the year (SAWCCE, FSP & HCF Section Totals)	631	500	852	650	700

Explanation: For FY19, due to the increased caseloads, more cases were resolved and closed.

Matters reviewed but not opened (SAWCCE, FSP & HCF Section Totals)	264	100	258	100	100
Total victim losses ($ millions) (SAWCCE, FSP & HCF Section Totals)	120.8	125	128.1	130	130

Explanation: Increase in FY19 was due to the increased number of cases submitted for prosecution which involved numerous victim losses and the number of victims.

Total number of victims (SAWCCE, FSP & HCF Section Totals)	3384	3,000	4,331	4,000	4,000

Explanation: Increase in FY19 was due to the increased number of cases submitted for prosecution which involved numerous victim losses and the number of victims.

Restitution ordered by the courts ($ millions) (SAWCCE, FSP & HCF Section Totals)	11.1	10	10.8	10	10

◆ **Goal** 5 To assist prosecutorial offices throughout the state by prosecuting matters that are referred due to conflicts of interest.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
County Attorney conflict of interest referrals (SAWCCE, DRG, FSP & HCF Section Totals)	36	30	36	30	30

◆ **Goal** 6 To protect legitimate commerce from loss, prevent unfair competitive advantage based on criminal proceeds, reduce the financial power of criminal enterprises and compensate the victims of financially motivated crimes by dismantling racketeering enterprises through civil racketeering remedies.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New Forfeiture cases opened	1158	1,200	1,086	1,050	1,000

Explanation: Decrease in FY19 was due to fewer numbers of cases submitted by law enforcement agencies, which may be a possible impact of legislation effective in August 2017 that imposed substantial restrictions on forfeiture cases. FY20 and FY21 estimates are derived by the identified continuing trend in reduced number of case submittals. As shown by the number of defendants, the decrease in cases opened does not necessarily correlate to a decrease in the number of in rem and in personam defendants.

Opened cases resolved within the year	1562	1,500	708	675	650

Explanation: Decrease in FY19 was due to the reduced number of case submittals, which may be a possible impact of legislation effective in August 2017 that imposed substantial restrictions on forfeiture cases. The decrease in FY19 may also be due to vacancies in attorney and staff positions during that year. FY20 and FY21 estimates are derived by the identified continuing trend in reduced number of case submittals. As shown by the number of defendants, the decrease in forfeiture cases resolved does not necessarily correlate to a decrease in the number of in rem and in personam defendants.

Number of defendants (in rem/in personam)	2472	2,200	2,754	2,200	2,250
Amount forfeited to State ($ millions)	13.9	14	16.7	14	14

Explanation: FY19 actual amount was due to the increased number of defendants in that year and a resulting increased value recovered despite the reduced number of case submittals and cases resolved during that year. FY20 and FY21 estimates are due to estimated stable recovery amounts reflective of the average of actual recovery amounts over the last several years, taking into account the potential for increased Number of Defendants and increased value recovered even when case submittal and case resolution reductions occur.

◆ **Goal** 7 To support statewide prosecution and forfeiture efforts through training, research and property management support.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Law enforcement training seminars	11	15	55	20	20

Explanation: Increase in FY19 is due to additional training provided by the Arizona Financial Crimes Task Force along with the members of the Financial Remedies Section.

Financial inquiry assists	320	500	3,542	3,000	3,000

Explanation: Increase in FY19 was due to the number of financial inquires required due to complex investigations relating to the transactional money remitter records being searched for federal, state and local law enforcement agencies.

◆ **Goal** 8 To improve the treatment of crime victims in Arizona by exhibiting leadership, promoting public policy reforms where needed and increasing the quality of victim services and victims' rights compliance through the administration of the Victims' Rights Program (VRP).

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of victim service network events participated in	134	90	147	130	130
Explanation: In FY19 the number of Victim Service Network events participated in had an increase due to additional opportunities for participation in regional/national conferences along with increase in OVS staff participation/membership in various local and state victims' related committees/ organizations, and more opportunities for learning and growth in the Victims' Rights field in general.					
Total awards disbursed ($ millions)	3.0	2.2	2.2	2.2	2.2
Explanation: Decrease in FY19 was due to CJEF funding reductions.					
Percent of VRP recipients in compliance with mandates	100	100	98	100	100
Number of trainings and presentations given	81	75	79	75	75
Number of attendees at trainings and presentations	1,842	1,600	1,887	1,700	1,700
Explanation: Increase in FY19 was due to increased awareness of the AGO's Victims' Rights education availability to conduct trainings.					
% of victims' rights violation allegations responded to	100	100	100	100	100
% of Victims' Rights award recipients satisfied with the Victim's Rights Program	98	90	94	90	90
Number of agencies audited	8	8	6	8	8
Explanation: Decrease was due to staffing changes in the office.					

◆ **Goal** 9 To foster victims' recovery from the traumatic short and long-term effects of victimization, to prepare victims to cope with the impact of criminal justice system involvement, and to provide for the efficient and effective delivery of quality services to victims during all stages of criminal prosecutions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of victims served	8,753	9,000	10,127	9,500	10,000
Explanation: Increase in FY19 for victims served was due to increased AGO cases involving victims and opened with OVS (count includes all OVS new victims, not just criminal prosecutions).					
Number of mandated services provided	33,612	20,000	43,178	20,000	30,000
Explanation: Increase in FY19 is due to increased training of advocates to ensure mandated services are provided.					
Number of non-mandated services provided	74,131	75,000	86,126	75,000	75,000
Explanation: Increase in FY19 is due to increased training of advocates to ensure non-mandated services are provided.					
Open restitution cases	431	350	411	350	350
Explanation: In FY19 there was a slight increase in open restitution matters. Open restitution case numbers are dependent on multiple factors than can change from year-to-year such as the number and type of cases prosecuted, victims opting in for restitution notification, etc.					
Compliance checks of restitution orders conducted	1,706	1,750	1,687	1,750	1,750
Explanation: While there was a slight decrease in FY19, the service numbers in this area fluctuate yearly and are dependent on the number of cases in OVS, victim needs and defendant compliance.					

◆ **Goal** 10 To provide competent and timely investigations of criminal conduct.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Open cases	209	300	465	475	500
Explanation: Increase in FY19 is due to new agents hired as a new taskforce positions with ICAC-FBI, AZ DOR, and HHS that have referred and investigated numerous cases.					
Law enforcement assists	54	50	73	75	75
Explanation: FY19 increase was due to other agencies seeking assistance and the AGO having a better tracking of LE Assists in the case management system.					
Matters reviewed but not opened by Duty Agent	4,130	4,500	3,780	3,800	3,800
Explanation: Decrease in FY19 was due to the vacancy of the duty agent positions; however, both have been filled. Also, the lower number can be attributed to a decrease in the number of non-Duty Agent related calls that were forwarded by other sections due to better training of office wide staff members.					

Subprogram Summary

CHILD AND FAMILY PROTECTION DIVISION

John Johnson, Division Chief Counsel
Phone: (602) 542-9948
A.R.S. § 41-191

Mission:

To provide the Department of Economic Security (DES) and the Department of Child Safety (DCS) with high quality and timely legal advice and representation to promote the safety, economic sufficiency and well-being of children, adults and families.

Description:

The Division is responsible for providing legal services to all programs and business operations of the DES and the DCS. The Division provides these services through three distinct sections.

The Protective Services Section (PSS) provides comprehensive legal representation to the DCS throughout Arizona's 15 counties with offices located in Flagstaff, Gila/Pinal, Kingman, Mesa, Phoenix I, Phoenix II, Prescott, Sierra Vista, Tucson and Yuma. PSS represents the DCS in all dependency, guardianship, termination and appellate proceedings brought for the protection of abused and neglected children. PSS also handles some adoption proceedings on behalf of the DCS. PSS handles cases in accordance with state and federal law designed to expedite dependency court proceedings and place children in safe, permanent homes.

The Child Support Section (CSS) represents DES' Division of Child Support Services (DCSS). This includes establishing paternity and obtaining, modifying and enforcing child support orders to ensure the economic well-being of children. CSS also represents DCSS in appeals, complex litigation actions and provides comprehensive legal advice and support to DCSS in 14 of the 15 Arizona counties.

The Civil and Criminal Litigation & Advice Section (CLA) provides legal advice and representation in administrative hearings and state and federal courts to DCS on matters other than those handled by PSS and a myriad of programs within DES. Other than Child Support Services, CLA represents all DES programs (approximately 100) some of which include: Developmental Disabilities, Procurement, Unemployment Insurance, Collections, Supplemental Nutrition Assistance, Child Care Assistance and Licensing (developmental homes). CLA also represents DCS and DES in all personnel and operations matters and prosecutes criminal cases relating to various DES program violations, including recipient benefit fraud, employee benefit fraud, employee embezzlement, as well as, all related appeals.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.1	350.0	350.0
Other Appropriated Funds	0.0	900.0	900.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**0.1**	**1,250.0**	**1,250.0**
FTE Positions	**2.0**	**2.0**	**2.0**

◆ **Goal** 1 To assist the DCS in protecting children from abuse and neglect by providing legal services and representation in compliance with the timeframes established by federal and state law.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of preliminary protective hearings within five to seven days of filing initial dependency petition	4,731	4700	5,286	4700	4,700

Explanation: Although there is a decrease in the number of actual children in care, there continue to be filings where a child may have been removed from the home, but other siblings may remain in the home without the need for the filing of a dependency petition. This in turn, would cause an increase in the number of dependency petitions filed and Preliminary Protective Hearings.

Number of dependencies filed by the DCS (including supplemental and in-home petitions)	4,687	4,700	4,737	4,700	4,700

Explanation: In FY 2019, the reinstatement of prevention programs has continued to be the focus for the Department and now, the courts. The Department continues to implement more home based safety plans to remove fewer children from their homes. The Court is focusing on the use of dependency prevention or alternative resource programs to reduce the filing of dependency petitions.

◆ **Goal** 2 To assist the DCS in establishing permanent living situations for children by providing legal services and representation in all stages of judicial proceedings that comply with federal and state timeframes for new cases.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of hearings held to establish a permanent plan within 12 months	7,324	7,300	6,673	6,600	6,600

Explanation: In FY 2019, the number of dependency petitions remained consistent but due to the reduction of actual children in care, the number of Permanency hearings also decreased in number.

Number of reunifications achieved (child back with parents)	3163	3,200	2,847	2,800	2,800

Explanation: The Department's objective and emphasis remains in achieving a timely and safe reunification with a parent. With the number of children in care decreasing, there was a corresponding higher number of children reunified with a parent.

Number of guardianships achieved (child placed with guardian)	623	600	615	600	600

Explanation: In FY 2019, the Department has reassessed their permanency plans and is utilizing more guardianship case plans, but with no apparent increase to date.

Number of terminations achieved (child removed from parents)	3,554	3,500	2,846	2,800	2,800

Explanation: For children who are unable to safely reunify with a parent, DCS has also utilized guardianship case plans in cases, which impacts the number of termination actions filed.

◆ **Goal** 3 To assist the DCSS in establishing paternity orders for families by providing legal services and representation in all stages of litigation.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of children with paternity established	1,008	1,000	999	1,000	1,000

Explanation: The number of children for whom a paternity order was established through court action remained stable this year.

◆ **Goal** 4 To provide legal representation in DES and DCS litigation and to prosecute and deter fraud.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Administrative, Civil and Appellate litigation resolved (cases closed)	1,082	850	1,074	900	900

Explanation: CLA experienced an increase in referrals from DES and DCS with respect to a few of the substantive programs we represent in FY 2018. Some of the cases were subsequently resolved in FY 2019. Also, the number of referrals in FY 2019, while not as high as in FY 2018, was still higher than in prior years.

Civil Collection litigation resolved (judgments)	407	400	532	475	475

Explanation: The increase above estimate is due to the fact that the client agency referred more cases than CLA anticipated.

Criminal prosecutions completed successfully (sentenced)	235	205	287	230	230

Explanation: The increase above estimate is a result of CLA filing more cases to keep pace with the increase in referrals over the last few years. Also, cases are not necessarily resolved in the year that they are filed because some defendants either cannot be served or they fail to appear and have warrants issued for their arrest. Defendants on warrant status can be arrested or may voluntarily come to court ot have a warrant quashed in the years after the case was originally filed, resulting in their cases being resolved in subsequent years. These factors will cause increases or decreases beyond what can be anticipated when calculating estimates for future fiscal years.

◆ **Goal** 5 To generate funds for the State via criminal restitution and civil judgments.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Civil judgments ($)	1,203,907	1,000,000	1,538,499	1,200,000	1,200,000

Explanation: This amount increased above estimate due to the fact the client agency referred more cases than CLA anticipated.

Garnishment funds received ($)	699,495	500,000	681,795	550,000	550,000

Explanation: This amount increased above estimate due to the fact the client agency referred more cases than CLA anticipated.

Criminal restitution ordered ($)	675,185	625,000	689,536	625,000	625,000

Explanation: Cases are not necessarily resolved in the year that they are filed because some defendants either cannot be served or they fail to appear and have warrants issued for their arrest. Defendants on warrant status can be arrested or may voluntarily come to court to have a warrant quashed in the years after the case was originally filed, resulting in their cases being resolved in subsequent years. These factors will cause increases or decreases beyond what can be anticipated when calculating estimates for future fiscal years.

Criminal restitution received prior to sentencing ($)	911,693	825,000	788,577	775,000	775,000

Explanation: Cases are not necessarily resolved in the year that they are filed because some defendants either cannot be served or they fail to appear and have warrants issued for their arrest. Defendants on warrant status can be arrested or may voluntarily come to court to have a warrant quashed in the years after the case was originally filed, resulting in their cases being resolved in subsequent years. These factors will cause increases or decreases beyond what can be anticipated when calculating estimates for future fiscal years.

◆ **Goal** 6 To provide comprehensive legal advice to the Department of Economic Security and Department of Child Safety.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Hours of counsel and advice	38,237	32,000	32,329	32,000	32,000

Subprogram Summary

CIVIL DIVISION

Dawn Northup (SGD) & Joe Sciarrotta (CLD), Division Chief Counsel
Phone: (602) 542-7778
A.R.S. § 41-191

Mission:

To provide high-quality, effective, and innovative legal representation to the State of Arizona, its agencies, officers, and employees acting within the scope of their employment and provide legal advice and litigation services to the Executive and Judicial branches of State Government.

Use the discretionary power of the Office of the Attorney General to pursue those who prey upon the public and threaten the economic well-being of all Arizonans and provide legal advice and litigation services to the Executive and Judicial branches of State Government.

Description:

The Division consists of attorneys and staff whose principal assignments focus on specialty areas of civil law. The Division also provides day-to-day legal services to a number of departments, boards, and commissions in the State of Arizona. The Division is divided into the Sections listed below.

Agency Counsel Section (ACS) – ACS provides legal advice and litigation services to the Office and a number of State agencies, boards and commissions including the Executive and Judicial branches of government. Some of the Section's clients include the Department of Administration, Administrative Offices of the Courts, Department of Corrections, Department of Gaming, Office of the Secretary of State, Arizona State Retirement System, and Arizona State Lottery Commission.

Environmental Enforcement Section (EES) – EES provides advice, enforcement, litigation, and representation services related to state and federal environmental and natural resource laws. The Section represents the Department of Environmental Quality (ADEQ) in matters arising under state and federal laws pertaining to water quality control, air quality control, and waste management and remediation.

Education and Health Section (EHS) – EHS includes the Education and Health Units. The Health Unit provides legal services to the Department of Health Services including the Arizona State Hospital, the Division of Public Health Licensure, the Division of Public Health Preparedness, the Division of Public Health Prevention, and other health programs. The Health Unit also provides legal services to the Commission for the Deaf and the Hard of Hearing. The Health Unit does not represent AHCCCS or any local health department.

The Education Unit provides legal services to the Arizona Department of Education, the Arizona State Board of Education, the Arizona Commission for Postsecondary Education, the School Facilities Board, the Arizona State School for the Deaf and the Blind and the State Board for Charter Schools. The Education Unit does not represent any Colleges, Universities, or School Districts.

Employment Law Section (ELS) – ELS provides employment law advice and litigation support to state agencies and represents the State in employee appeals from personnel actions. Further, ELS defends the State, its agencies and employees in employment lawsuits brought by current, former or prospective employees. ELS also defends the State and Risk Management in contested workers compensation cases.

Licensing and Enforcement Section (LES) – LES provides legal services to more than forty State agencies, boards and commissions, most of which regulate professions, occupations or businesses. The Section provides legal advice to client agencies regarding their statutes and rules as well as open meeting law and public records issues. In addition, the Section provides litigation services by prosecuting administrative hearings against licensees and defending appeals of agency actions in the Superior Court and the Court of Appeals. Moreover, LES has adopted the role of Independent Advisor in addition to Prosecutor. This enables LES to provide a new level of service to its clients. Some of the agencies represented by the Section include the Accountancy Board, the Arizona Medical Board, the Dental Board, the Registrar of Contractors, the Department of Liquor Licenses and Control and the Nursing Board.

Liability Management Section (LMS) – LMS represents the State and its employees in Risk Management covered lawsuits that allege liability for personal injuries, property damage and constitutional law violations.

Natural Resources Section (NRS) - NRS provides agency advice and representation to a variety of State agencies, but primarily the Arizona State Land Department (ASLD). ASLD manages over nine million acres of state trust land, so NRS' services relate to a myriad of issues, including urban and rural development, sales and long-term leasing, and grazing, mining, agricultural, utility, and transportation uses. Further, NRS represents the State where its agencies claim water rights in the two water adjudications, with water rights claims on state

trust lands comprising the majority of those claims. The Section also provides legal counsel to the Arizona State Parks Board, the Department of Forestry and Fire Management, the State Mine Inspector, the Board of Geographic and Historic Names, and the Prescott Historical Society.

Public Law Section (PLS) - PLS serves the State of Arizona by providing legal advice and representation to a variety of state agencies. Some of these state agencies include the Department of Financial Institutions, Department of Veterans' Services, and the Arizona Exposition and State Fair Board.

Tax Section (TAX) – TAX advises the Arizona Department of Revenue on property tax, income tax, transaction privilege (sales) tax and various other tax areas, and represents the Department when taxpayers challenge their taxes in court and before the State Board of Tax Appeals and the State Board of Equalization. Tax also advises and represents the Arizona Department of Transportation on fuel tax and aircraft license matters as well as on all other tax issues that arise at that Department.

Transportation Section (TRN) – TRN represents the Arizona Department of Transportation in a number of areas, including eminent domain litigation, construction contract litigation, highway right of way encroachments, procurement contracts, vehicle license and driver license suspensions / revocations and related appeals. The Section also represents the Arizona Department of Public Safety in a number of areas including criminal history records, fingerprint records and clearance cards, procurement contracts, licensing and permit suspensions and revocations and commercial vehicle enforcement.

The Division's major duties are to enforce the administrative, consumer protection and antitrust laws in a largely pro-active manner. The Division has administrative and civil functions. While most of its work involves using the Attorney General's independent authority to pursue wrongdoing, the Division also has client representation duties. The Division is divided into the Sections listed below.

Bankruptcy Collection & Enforcement (BCE): BCE provides debt collection representation for state agencies, boards and commissions. This includes representing the state when debtors file bankruptcy and owe back-taxes or owe the state for other debts.

Consumer Protection and Advocacy (CPA): CPA enforces the Consumer Fraud Act and other state and federal consumer protection laws. Further, the Section handles all complaints reported to the office by consumers. The Antitrust Unit within the Section enforces laws that protect competition and consumer welfare. The Tobacco Enforcement Unit (TEU) also is part of the Section. TEU is responsible for enforcing the Tobacco Master Settlement Agreement and related statutes, which brings to Arizona approximately $100 million each year. In partnership with the Arizona Department of Health Services, TEU also runs a robust Youth Tobacco Counter Strike Program. The Antitrust Unit within the Section enforces laws that protect competition and consumer welfare.

Funding:	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
General Funds	5,239.6	5,226.8	5,226.8
Other Appropriated Funds	32,281.1	38,851.5	38,851.5
Other Non Appropriated Funds	43,998.3	39,973.7	39,973.7
Total Funding	**81,519.0**	**84,052.0**	**84,052.0**
FTE Positions	**655.4**	**663.3**	**663.3**

◆ **Goal** 1 To provide legal strategy, advice, and advocacy that secures and augments the value of the State Land Trust and contributes to the General Fund.

Performance Measures	**FY 2018 Actual**	**FY 2019 Estimate**	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
Amounts recovered, generated, and/or saved (in millions of dollars)	102	110	108	100	120

Explanation: The amounts are a calculation of revenues received by the State Land Department from sales for cash or on terms, and long-term leases of state trust lands, for which the Attorney General's Office provided assistance at the original transaction stage or on an ongoing basis. The year-to-year results vary based on number and size of transactions, as well as how much purchasers pay initially versus how much they finance. The FY 2019 figure reflects fewer transactions than FY 2018, but more cash payments. Based on matters for which NRS is currently providing assistance, the FY 2020 estimate is a little lower and FY 2021 higher because the higher valued transactions are more likely to occur in FY 2021.

◆ **Goal** 2 To provide quality legal services that are more efficient and less costly than outside legal counsel (AGO = Attorney General's Office and OSC = Outside Counsel).

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average months in suit: per tort lawsuit - AGO	22	20	25	25	25

Explanation: Average for any given year is based only on those cases which closed during that year. The facts of each case are different - as are the witnesses, attorneys, and judges - thereby causing fluctuations in average numbers from one year to the next.

Average months in suit: per tort lawsuit - OSC	47	35	40	35	35
Average billable hours: per tort lawsuit - AGO	212	225	281	225	225

Explanation: The facts of each case are different - as are the witnesses, attorneys, and judges - thereby causing fluctuations in average numbers from one year to the next.

Average billable hours: per tort lawsuit - OSC	285	200	190	200	200
Average billable hourly rate: per tort lawsuit - AGO	100	100	100	100	100
Average billable hourly rate: per tort lawsuit - OSC	225	230	245	230	230
Average months in suit: per employment lawsuit - AGO	22	20	19	20	20
Average billable hours: per employment lawsuit - AGO	265	300	239	250	250

Explanation: The facts of each case are different - as are the witnesses, attorneys, and judges - thereby causing fluctuations in average numbers from one year to the next.

Average billable hourly rate: per employment lawsuit - AGO	125	150	137	125	125
Average billable hourly rate: per workers compensation matter: AGO	130	110	161	140	140

Explanation: In reviewing data from previous years, our estimates for FY 2019 were too low.

◆ **Goal** 3 To provide the highest quality legal advice, representation, and training to the various agencies, boards, and commissions including but not limited to: Financial Institutions, Game and Fish, Insurance, Real Estate, Departments of Administration, Corrections, Gaming, Office of the Secretary of State, Arizona State Lottery Commission, Arizona State Retirement System, and Veteran's Services Commission.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Advice matters and files opened	632	650	726	650	650

Explanation: Increased diligence of importance of formally opening files.

Civil litigation files opened	349	375	372	375	375

Explanation: Slow down in regulatory activities for the agencies, improvement in the economy, and reduced procurement protests. Cases are more complex and require more time.

Cases resolved within the year	209	250	167	200	200

Explanation: Cases more complex and require more time. Previous year reflects figures from a previously combined two sections

◆ **Goal** 4 To improve client satisfaction and client relations through meetings with client directors and/or commissioners, and to provide training sessions in the areas of public records law, open meetings law, conflict of interest law, and related legal restrictions on the activities of public officials and employees.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Meetings with client agency directors and/or commissioners	75	65	236	100	100
Training sessions with clients	14	15	6	10	10

Explanation: The significantly increased number of meetings with directors and commissions reduced the need for training sessions.

◆ **Goal** 5 To timely issue formal legal opinions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Days to respond to a request for a legal opinion	194	120	55	120	120

Explanation: As mentioned in FY2017, the AG Opinions Review Process was changed to have a more robust internal review and improve transparency through public comment opportunities. In FY2018 we received a high number of opinion requests which forced us to expand the Opinion Review Committee. The Opinions Attorney position was vacant at the end of the year for a short time and the transition process delayed completion time frames. In the long term we anticipate a return to shorter completion time frames consistent with our stated goal of 120 days for completion.

◆ **Goal** 6 To be responsive to public concerns about consumer fraud.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints Opened	13,141	15,000	12,622	13,500	13,500

Explanation: CIC has implemented a new database with better tracking and auditing features than the previous CICS database. The old database did not control for a certain amount of duplicate complaints.

Complaints closed	13,856	15,000	12,790	13,500	13,500

Explanation: CIC has implemented a new database with better tracking and auditing features than the previous CICS database. The old database did not control for a certain amount of duplicate complaints.

Telephone calls received from the public	46,082	35,000	40,900	35,000	35,000

Explanation: Outreach events and press releases resulted in more phone calls to the office.

◆ **Goal** 7 To deter fraudulent business practices as a means to protect consumers from fraud.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Judgments	29	25	31	25	25

Explanation: CLU has filled vacant attorney positions, leading to an increasein the number of judgments and restitution amounts.

Consumer Restitution Awarded ($ millions)	20,808	8,000	31,743	8,000	8,000

Explanation: Awarding restitution to consumers has always been a top priority for AG Mark Brnovich, which has resulted in dramatically higher restitution amounts, as the office focuses on identifying the full extent of consumer harm when settling or litigating cases.

◆ **Goal** 8 To enforce the Model Escrow Statute, Directory Statute and Master Settlement Agreement and work to reduce sales of tobacco products to minors.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Youth compliance checks conducted	1,576	2,000	2,157	2,500	2,000

◆ **Goal** 9 To protect and promote competition for the benefit of Arizona consumers through enforcement of the Arizona Uniform Antitrust Act.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Restitution ordered for Arizona consumers and costs recovered in antitrust cases ($ dollars)	2,661,573	75,000	2,549,096	75,000	75,000

Explanation: The office recovered $2,243,990 in restitution for Arizona government and not-for profit entities from the Citibank LIBOR settlement, as well as $280,000 in costs related to settlement of a case involving a conspiracy between dental supply companies.

◆ **Goal** 10 To collect debts owed to the State of Arizona efficiently, expeditiously and fairly.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Revenue Increase Over Prior Year. FY18, FY19, FY20 ($ millions)	8,686.0	10,000	14,379	10,000	10,000

Program Summary

CENTRAL ADMINISTRATION

Leslie Welch, Director of Operations
Phone: (602) 542-8046
A.R.S. § 41-191

Mission:

To provide administrative and policy support in addition to direction for the Department of Law and to collect debts owed to the State, provide budgetary, contract, accounting, financial control services and information technology support, and manage employee relations and process personnel actions, and provide centralized distribution to the Attorney General's Office.

Description:

The program is comprised of three areas: Executive Office, Operations Division, and Communications

The Attorney General and Executive Staff are responsible for providing legal advice to state officials, legislators, county attorneys, and all client state agencies in addition to certifying rules promulgated by state agencies. The Operations Division is committed to providing premier employee services through clear communication, employee training, and centralized processes in Accounting, Budgeting, Human Resources, Procurement, Facilities Management, Information Technology and all logistical services. The Communications division is responsible for Community Outreach, Legislative and Public Affairs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	6,327.7	6,070.2	6,070.2
Other Appropriated Funds	819.0	865.9	865.9
Other Non Appropriated Funds	9,151.2	12,415.1	12,415.1
Total Funding	**16,297.9**	**19,351.2**	**19,351.2**
FTE Positions	**100.5**	**100.0**	**100.0**

◆ **Goal** 1 To optimize the use of State funds in fulfilling the mission of the Attorney General's Office.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Administrative costs as a % of total costs	4.9	5.1	4.3	4.9	5.2

◆ **Goal** 2 To provide a superior level of legal services to our client agencies.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Customer satisfaction rating for client agencies (scale of 1 to 8, with 8 the highest)	7.52	7.47	7.40	7.40	7.40

◆ **Goal** 3 To retain professional, experienced staff whose skills serve both state residents and client agencies.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of agency staff turnover	17.9	18	21.1	18	18

Agency Summary

AUTO THEFT AUTHORITY

James McGuffin, Interim Director
Phone: (602) 364-2888
A.R.S. § 41-3451

Mission:

To combat and prevent auto theft crimes in Arizona through a cooperative effort by supporting law enforcement efforts, vertical prosecution, and public awareness programs.

Description:

The Automobile Theft Authority administers statewide grants to law enforcement and criminal justice agencies for the most effective and efficient enforcement, prosecution, and prevention strategies to combat auto theft crimes across Arizona.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	5,180.1	5,312.1	6,839.1
Other Non Appropriated Funds	16.0	0.6	0.6
Total Funding	**5,196.1**	**5,312.7**	**6,839.7**
FTE Positions	**6.0**	**6.0**	**6.0**

5 Year Plan

Issue 1 Expand AATA's Vertical Prosecution Program to counties across Arizona.

Description Vertical prosecution of auto theft cases does not exist in Arizona absent funding by the AATA. The complex nature of automobile theft and the associated organized crime requires the funding of a sufficient number of well-trained prosecutors to work with the Task Force and other law enforcement to continue the successes achieved and prevent a backward slide in vehicle theft rates.

Solutions:
Determine which counties (large and small) to be funded
Provide training and instruction on the Vertical Prosecution Program
Provide AATA Grant funding for additional support staff if needed
Ensure that the agencies are following guidelines set forth by the AATA

Issue 2 Increase AATA Public Awareness Programs statewide.

Description AATA's Public Awareness programs are currently underutilized. Public Awareness programs have been an effective tool employed by the AATA and its law enforcement partners in the reduction of vehicle theft on a statewide basis, however, these programs have been less of a funding priority in recent years, because of decreased budget and manpower issues.

Solutions:
Contact and develop partnerships with state/local law enforcement and prosecution agencies. Assist with the development of grants programs for these agencies to initiate public awareness programs in each Arizona County.
Identify new, innovative programs and strategies for statewide impact and a re-establish our Agency brand. Continue to provide equipment, literature and promotional items, along with other AATA resources, which provide agencies the ability to target specific needs of their community and to empower vehicle owners to protect their property.
Maintain and support sustainable auto theft prevention programs, including Watch Your Car, FREE VIN Etching, Youth Theft Deterrent programs, Blockwatch, AARP and Citizens on Patrol programs.
Empower Arizona vehicle owners to protect and secure their personal property.

Issue 3 Address growing crime trend of vehicular crimes related to border security.

Description As technology improves, criminals often commit carjackings because improved security systems make it very difficult to steal vehicles without a key. These carjacked vehicles are used to commit robberies, shootings and homicides, as well as drug and human smuggling.

Solutions:
Develop a public awareness program/campaign specific to border related vehicle crimes and carjackings. Share with statewide law enforcement and criminal justice partners along with Blockwatch and community groups.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	6.0	6.0	6.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	6,839.2	6,839.2	6,839.2
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To analyze the problem and trends of vehicle theft and associated criminal activity.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of studies and research analysis of auto theft crime trends and best practice approaches.	32	45	15	18	20

Explanation: The AATA works with statewide, national and international auto theft organizations and working groups to analyze numerous auto crime trends and best practices for enforcing, prosecuting and preventing auto crimes in Arizona.

◆ **Goal** 2 To reduce the incidence of statewide auto theft crimes supporting innovative and effective reduction and prevention programs.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of vehicles stolen statewide (2018 calendar year).	18,262	19,000	19,058	21,082	21,568

Explanation: *2018 stolen vehicle data from Arizona DPS Crime in Arizona Report. The Authority estimates a 3% increase in stolen vehicles and theft rate (per 100,000 population) for the next two years.

Arizona vehicle theft rate (# per 100,000 population)	257	268	262	290	296

Explanation: The AATA estimates a 3% increase in the auto theft rate for the next two years.

◆ **Goal** 3 To deter vehicle theft and associated criminal activity through effective and proactive law enforcement strategies.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of AZ. Vehicle Theft Task Force (VTTF) FTE positions funded by the AATA.	27	29	26.5	26.5	28.5
Number of stolen vehicles recovered by the Vehicle Theft Task Force.	1,660	1,550	1,560	1,550	1,600
Value of stolen vehicles recovered by the Vehicle Theft Task Force (in $ Millions).	18.5	16.5	$17.4	$18.0	$18.5
Number of felony arrests by the Vehicle Theft Task Force.	414	400	375	375	400
Number of "chop shops" investigated by the Vehicle Theft Task Force.	19	15	16	15	18
Number of insurance fraud investigations by the Vehicle Theft Task Force.	11	12	3	3	5
Number of trainings and investigative support provided by the Vehicle Theft Task Force.	2,077	1,500	2,262	800	850
For every $1 dollar funded by the AATA, this amount recovered by the Vehicle Theft Task Force.	5.68	4.52	$4.76	$5.00	$5.50

Explanation: Return on Investment for AATA's largest annual grantee based on the Vehicle Theft Task Force's number of recoveries and $3.25M award.

Number of AATA Law Enforcement grants awarded to Arizona agencies.	2	0	0	5	8

Explanation: The AATA was unable to fund Law Enforcement grants in FY19. As the budget permits, AATA staff and Board will review a small number of grants in FY20 and FY21.

◆ **Goal** 4 To assure deterrence of auto theft and related criminal activity through effective auto theft (vertical) prosecution.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of auto theft (Vertical) Prosecutors funded by AATA Grants.	8	8	6.75	6.75	6.75
Explanation: The AATA does not plan to expand the Vertical Prosecution program to additional counties in FY20 and FY21.					
Number of counties participating in the AATA's Vertical Prosecution Grant program.	6	6	6	6	6
Explanation: The AATA does not plan to expand the Vertical Prosecution program to additional counties in FY20 and FY21.					
Number of vehicle theft convictions by AATA grant funded Vertical Prosecutors.	1,585	1,600	1,781	1,800	1,850
Explanation: The average prison sentence obtained on convictions is 6.5 years; average probation term is 3 years.					

◆ **Goal** 5 To provide public awareness & prevention strategies to reduce victimization of auto theft crimes across Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Public Awareness Grants to statewide law enforcement agencies.	3	6	6	10	15
Explanation: Agency increasing outreach to law enforcement agencies to solicit innovative and effective auto theft prevention program grants.					
Number of Auto Theft Prevention & Public Awareness/Outreach events statewide.	128	140	62	75	90
Number of statewide Auto Theft Prevention & Public Awareness/Outreach events.	35	40	42	50	55
Number of statewide Auto Theft Prevention Public Awareness/Outreach events sponsored by AATA grantees and law enforcement partners.	93	100	20	25	30
Number of ACTIVE Watch Your Car (WYC) enrollments.	36,200	42,000	17,121	18,000	19,000
Explanation: Recent WYC database records audit performed with MVD records reflects active and confirmed WYC enrollments. In addition, declining WYC enrollments in recent years due to limited resources to dedicate to program costs and marketing. Current staff is able to maintain the program at these levels.					

◆ **Goal** 6 To develop expertise and promote well-trained vehicle theft, insurance fraud investigators and prosecutors.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of professional training grants awarded to Arizona law enforcement and criminal justice agencies.	0	0	18	2	2
Explanation: FY19 trainings supported by (non appropriated) funds from the "SIMS Metal Management Court Settlement Fund" from 2011, which have now been depleted.					
Number of law enforcement and criminal justice personnel receiving auto theft training with AATA Grant funding.	0	0	28	2	2

◆ **Goal** 7 To maximize Agency effectiveness, efficiency and stakeholder/customer satisfaction.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Ratio of Agency administrative costs as a percent of total expenditures.	6.26	6.8	5.5	6.0	6.0
Number of grant agency contractual compliance reviews.	80	100	42	50	55

Explanation: All grant agencies are reviewed annually for compliance.

Customer satisfaction rating (scale of 1-3, 1 highest rating)	1	1	1	1	1
Number of site visits to AATA grant agencies and statewide law enforcement, criminal justice partners.	42	40	20	25	30
Initiate effective Social Media ads, e-communications and customer service for all stakeholders and partners. Also utilize targeted community engagement efforts for effective public education and outreach.	500	800	1,546	2,000	2,500

Explanation: AATA staff continue to implement cost effective social media strategies to promote theft prevention initiatives statewide.

Agency Summary

BOARD OF BARBER EXAMINERS

Sam J. Barcelona, Executive Director
Phone: (602) 542-4498
A.R.S. §§ 32-301 et seq.

Mission:

To preserve the public welfare and health through the development and enforcement of adequate sanitation procedures, rules, and laws governing barbers and barbering establishments.

Description:

The Board of Barbers administers barbering examinations, grants and renews licenses, inspects barbering establishments, investigates consumer complaints regarding unlawful activities, and takes measures to resolve complaints, including holding hearings, levying fines, and suspending or revoking licenses.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	380.2	406.3	406.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**380.2**	**406.3**	**406.3**
FTE Positions	**4.0**	**4.0**	**4.0**

5 Year Plan

Issue 1 To service licensees in an efficient manner.

Description Provide our licensee's with quick and accurate service, to assist our licensees with the information they need and to keep administrative costs as low as possible.

We wish to render efficient responses to other departments with whom we work (attorney general, general accounting, etc).

Solutions:

We issue or deny an applicant's request for a license within our time-frame. We assist our licensee with questions they may have, thereby allowing them to obey the laws that govern their license. By helping them with their questions with sanitation, we are also helping to protect the public's health. In order to protect the public's health, three-fourths of our staff spends most of their time investigating complaints and inspecting barber shops and barber schools; this also helps keep our administrative costs low.

Issue 2 To enforce legislative requirements concerning the regulation of barbers

Description We try to inspect each barber shop or barber school each year for compliance with Arizona statutes. During this inspection, we are also checking each barber or instructor for compliance with Arizona statutes.

Solutions:
If there is problem with a licensee's failure to comply with Arizona statutes the inspection is brought to the attention of the Governing Board. The Governing Board decides whether to dismiss the case or to proceed to a legal procedings which might result in a civil penalty, probation, suspension or revocation of a license.

Issue 3 To ensure the proper use of sanitary procedures to prevent the transmission of diseases, parasite, or injury to the public

Description The Board answers questions from the public or licensees regarading proper methods of sanitation. During inspections, barbers have their stations and equipment checked for compliance with Arizona standards.

Solutions:
The Board attends the annual conference of the National Assocation of Barber Boards of America to stay informed of new standards and techniques. The conference also allows us to learn of legislation other states are considering. The Board also gives demonstrations at the various barber schools and other events.

Issue 4 To ensure that all licenses issued by the Board meet minimum requirements.

Description We check each application for a license to ensure that all of the requiments of Arizona laws are met.

Solutions:
Each application is checked to verify that the paper requirements have been presented. This includes, but is not limited to, the State requirement that the applicant be a citizen of the United States or be a legal resident of the United States. If the applicant is student who has just graduated from a barber school, we give a written and practical examination to ensure the applicant meets the basic knowledge expected from a new graduate.

Issue 5 To update the website.

Description Our new website was designed by ASET and has been launched. The feedback from the public has been favorible. The website was completely restructured bringing many of its sections up to date and new sections added. We feel this will help the public and our licensees.

Solutions:
We also want to make the website more user friendly for our staff by attending sessions hosted by ASET to teach our staff to make corrections directly on the website without going through a third party.

Issue 6 Acceptance of electronic payments

Description In order to comply with Govenor Ducy's Executive Order 2015-001 that requires each agency to accept electronic payments, our Agencyis working closely with Aset.

Solutions:

Aset has brokered a contract with Deliotte as our vendor to transfer our data to a new format that will allow electronic payments. Aset is also transfering our internet provider to Google Enterprise. These improvements will give enhanced data protection and will result in more responsive customer service.

Issue 7 To update the laws and rules governing the Board.

Description The Board has many issues with its rules which it wishes to update. Many of these issues involve bringing the rules up to date to match other laws which have been modified or enacted. However, several of the rules we wish to implement involve the safety of the public, barber students, barbers, instructors, schools and establishment.
We also have an issue with our laws. There are many new cirucmstances which to be addressed legislatively.

Solutions:

Changes were made to our rules last year. We also have changed to our rules to eliminate the acceptance of cash.
Many changes are on the horizon when we can have electronic payments and submission of applications. We will address them with the help of our legal counsel.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	4.0	4.0	4.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	406.3	406.3	406.3
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To ensure that all licenses issued by the Board meet minimum requirements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New examination applications accepted	450	450	510	550	600
Percent of examinations passed	50	50	83	85	85
Number of written examinations given	450	475	421	450	500
Number of practical examinations given	450	475	429	450	500
Number of new barber/instructor licenses issued	375	400	428	450	500
Number of new shop/school licenses issued	275	275	285	300	315

◆ **Goal** 2 To ensure the proper use of sanitary procedures to prevent the transmission of disease, parasites, or injury to the public.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of inspections conducted	957	1,600	200	800	1700
Percent of total inspections passed	80	80	80	80	80
Number of complaints received	300	400	45	50	50
Avg. calendar days from receipt of complaint to start of investigation	21	21	14	14	14

◆ **Goal** 3 To serve licensees in an efficient manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of calendar days from receipt of application to acceptance or denial	10	4	20	15	15
Administrative cost as a percent of total cost	5	5	5	5	5
Number of all licenses	8,400	8,600	9998	10200	10400

Agency Summary

BOARD OF BEHAVIORAL HEALTH EXAMINERS

Tobi Zavala, Executive Director
Phone: (602) 542-1617
A.R.S. §§ 32-3251 to 32-3322

Mission:

To establish and maintain standards of qualifications and performance for licensed behavioral health professionals in the fields of counseling, marriage and family therapy, social work, and substance abuse counseling, and to regulate the practice of licensed behavioral health professionals for the protection of the public.

Description:

The Boardof Behavioral Health Examiners licenses and biennially renews licensure for approximately 11,525 behavioral health professionals, requiring these professionals to meet minimum standards of education, experience, and competency, as measured by examination. The Board also receives and investigates complaints, takes necessary disciplinary action, and responds to inquiries from consumers regarding the licensure status and complaint history of individual behavioral health professionals.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,410.5	1,770.0	1,770.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,410.5**	**1,770.0**	**1,770.0**
FTE Positions	**17.0**	**17.0**	**17.0**

5 Year Plan

Issue 1 The increased volume of licensure applications is impacting the processing time from application receipt to license issuance.

Description In FY17, the Board received 1476 applications, and in FY19 received 2003, which is an increase of 527 applications (36%) in the two year period. The anticipated volume is expected to continue to increase with the Board's changes in 2018 to A.R.S. § 32-3274 which regulates licensure by endorsement, and the Universal Recognition path to licensure passed in Laws 2019, Chapter 55.

Ongoing challenges related to the increased volume:

1. The same number of staff are processing 36% more applications.
2. Increased paperwork, tracking, applicant follow up and incoming phone traffic.
3. Prioritizing different types of applications and those in varying stages in the process is more challenging with the influx.
4. Increased traffic in background investigations.

Solutions:

The Board plans to address these challenges as follows:

1. The Board is hiring additional staff members in credentialing and investigations.
2. The Board will continue to streamline application processing through increased use of electronic systems.
3. The Board will maximize existing credentialing staff by restructuring responsibilities by application type and level of complexity.
4. The Board delegated authority to the Executive Director to approve licenses pursuant to Laws 2019, Chapter 195, which means license issuance does not have to wait for a monthly Board meeting, and can occur more frequently.
5. The Board is working to LEAN the application process by eliminating inefficient or redundant procedures.

Issue 2 Continued migration to conducting business electronically

Description The Board recognizes the need to move to a more paperless environment to assist the public with submitting information to the Board and help staff process incoming work more efficiently.

The Board has moved the licensure renewal process to an electronic platform which integrates the renewal payment and form submission. For the renewals received in 2019, 85% were submitted online which is easier for the licensees and more efficient for staff to receive, process and store the documents electronically.

The Board also converted to email notifications for upcoming license expiration dates which expedited the communication and reduced the costs of production and postage for sending notices via mail.

The Board has been evaluating other forms and documents utilized in the Agency and how they can be converted to be digital and/or interactive.

Solutions:

The Board plans to continue evaluating other areas of the Agency that can be moved to an electronic platform as follows:

1. Using secure email for updates regarding applications, renewals, investigations and public inquiries.
2. Gradually converting forms used by the public to webforms that are submissible online.
3. Using digital signature programs to secure authorization on forms requiring signatures.
4. Improving the Board's digitization of records originally in paper format for archiving according to retention schedules.
5. Continuing to research a replacement for the Board's database which would allow for additional citizen access to conduct business electronically through a public facing portal.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	17.0	17.0	17.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,770.0	1,770.0	1,770.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To improve agency operations to ensure equitable, consistent, and timely enforcement of statutes and rules regulating behavioral health professionals.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of application reviews completed within 180 days	99	99	99	99	99
Number of new and existing licenses issued	11035	11400	11,525	12,100	12,600
Administration as a percentage of total cost	3.6	3.6	3.6	4.9	4.9
Applications received	1705	1700	2,003	2,000	2,000
Individuals licensed	1417	1400	1,581	1,600	1,600
Renewals received	4856	4300	4,465	5,200	5,040
Average number of days to renew a license from receipt of application to issuance	9	9	7	8	8
Average number of days to process verifications	6	7	3	5	5
Verifications received	252	255	249	255	255
Numbers of inspections/investigations	635	600	695	650	650
Average days to resolve a complaint	187	180	165	180	180
Number of complaints received about licensees	119	130	154	150	150

Agency Summary

STATE BOARD FOR CHARTER SCHOOLS

Charles Tack, Executive Director
Phone: (602) 364-3091
A.R.S. §§ 15-181 to 15-189

Mission:

To improve public education in Arizona by sponsoring charter schools that provide quality educational choices.

Description:

The Arizona State Board for Charter Schools sponsors and regulates charter schools. The Board oversees the academic and operational compliance of charter holders and reviews the fiscal viability of the schools. The Board also continuously reviews applications for new and replication charter schools as well as renewal applications for existing schools.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,077.9	1,714.5	1,714.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	84.8	85.0	85.0
Total Funding	**1,162.7**	**1,799.5**	**1,799.5**
FTE Positions	**14.0**	**19.0**	**19.0**

5 Year Plan

Issue 1 Provide effective oversight of a charter's academic performance and hold charters accountable for high achievement to ensure all schools in its portfolio are providing a quality learning environment that improves pupil achievement.

Description Laws 2012, Ch. 155 required that in implementing its oversight and administrative responsibilities, the Charter Board ("Board") shall adopt a performance framework that includes "the academic performance expectations of the charter school and the measurement of sufficient progress toward the academic expectations, the operational expectations of the charter school, including adherence to all applicable laws and obligations of the charter contract, and intervention and improvement policies."

Successful implementation of the Board's academic framework relies on the State A-F accountability determinations and school improvement designations. The Department of Education has identified schools for school improvement, has assigned letter grades to all traditional public schools in FY 2017, and will assign letter grades in FY 2018. The Board can now calculate ratings for its schools under its academic framework and provide monitoring and oversight for charters that do not meet the academic performance expectations.

Statute requires the Board ground its actions in evidence of a charter holder's performance in accordance with its adopted performance frameworks.

Solutions:

Fully train new and hire additional staff dedicated to the successful implementation of the Board's Academic and Operational frameworks, including a staff member dedicated to the targeted site visit and disciplinary process associated with low academic achievement.

Issue 2 Provide effective oversight of a charter's operational performance and communicate to the charters and public the Board's compliance-related expectations that a charter is required to meet through state and federal law, the charter contract, and administrative rule.

Description Laws 2012, Ch. 155 required that in implementing its oversight and administrative responsibilities, the Board shall adopt a performance framework that includes "the operational expectations of the charter school, including adherence to all applicable laws and obligations of the charter contract, and intervention and improvement policies."

The Board's Operational Performance Framework was adopted in October of 2014 and in order for the charter holder to meet the operational performance expectations, it must have an overall rating of "Meets Standard" for the most recent two prior years for which an overall rating was calculated and has no measure that receives a "Falls Far Below Standard" rating in the current year, as represented in its dashboard. By the end of FY 2018, 397 charter holders had three years of data on its dashboard to determine if the performance expectations had been met.

Statute requires the Board ground its actions in evidence of a charter holder's performance in accordance with its adopted performance frameworks.

Solutions:

Fully train new and hire additional staff dedicated to the successful implementation of the Board's Academic and Operational frameworks, including a staff member dedicated to the targeted site visit and disciplinary process associated with low academic achievement.

Issue 3 Provide effective oversight of a charter's financial performance and communicate the Board's expectations for ensuring that all charter holders are viable organizations with strong fiscal management practices.

Description During the 53rd Second Regular Legislative Session, the budget was passed with language requiring charters to meet the financial performance expectations set forth in the performance framework. House Bill 2263 amends A.R.S. §15-183 (2018) and gives the Board the authority to take action against a charter it sponsors based on its Financial Performance Framework. The Board therefore must update its current financial framework and adopt rule and policy to which the Board can use for accountability purposes, including intervention and improvement policies.

Senate Bill 1055 amends A.R.S. §§ 15-182 (E)(1) (2018) and 41-1005 (G) (2018) to allow the Board to adopt rules and policies for itself and the schools it sponsors. SB1055 was signed by the Governor on February 13, 2018 and became effective August 3, 2018.

Solutions:

Fully train new and hire additional staff dedicated to the successful implementation of the Board's Financial framework, including several staff members to guide charters through the financial intervention process.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	24.0	24.0	24.0
General Fund	2,100.0	2,100.0	2,100.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	73.5	73.5	73.5
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To increase the quality of the Board's portfolio of charter schools by monitoring academic performance and fiscal and contractual compliance to ensure the continuation of schools that meet contractual obligations.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Board sponsored charters with one or more sites in operation	424	418	420	420	437
Number of Board sponsored charter school sites in operation	539	540	543	543	563
Number of annual on-site monitoring visits	92	65	55	115	115
Explanation: Reflects first-year, interval review and renewal site visits only. Visits are conducted at the school level.					
Number of targeted on-site monitoring visits.	10	30	34	45	54
Explanation: Separating annual from targeted compliance-related on-site monitoring visits.					
Number of contract amendments processed annually not related to expansion.	1155	1500	1095	1500	1300
Explanation: Separating expansion from non-expansion requests processed.					
Number of contract amendments processed annually for expansion.	84	60	88	80	80
Explanation: For FY18 and beyond expansions include: AOI, grade level change, new school, increase cap, transfer application, charter holder status - change in ownership.					
Number of charter holder annual audits reviewed.	415	411	410	410	410
Number of corrective action plans mandated based on fiscal or contractual noncompliance.	119	161	109	122	131
Explanation: Any non-compliance matter requiring further action by charter holder and the Board.					
Number of corrective action matters prepared for Board consideration.	27	30	20	20	20
Number of disciplinary actions that resulted in withholding of funds.	9	9	9	15	15
Number of Notices of Intent to Revoke Charter issued.	3	2	2	4	4
Explanation: Revocation proceedings cross fiscal years, but are only reported once.					
Number of charter contracts voluntarily surrendered.	6	10	13	5	5
Number of charter contracts surrendered under duress.	0	8	0	2	0
Number of F rated schools evaluated.	8	7	18	15	15
Explanation: Pursuant to requirements of SB 1430 codified as ARS §15-241 (2016, 52nd Legislature Second Regular session) , the Department of Education will assign letter grades to each public school in FY 2017 and beyond. The letter grades reviewed are from a year lagging.					
Number of Consent/Settlement Agreements entered.	8	11	20	15	15
Number of charter contracts revoked.	3	2	0	2	2
Number of charter schools closed.	16	10	11	10	5
Explanation: Includes surrendered and revoked charters, non-renewals, and other school closures.					
Number of student record requests processed.	402	500	570	650	650

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of five-year interval reviews completed.	68	50	40	91	80
Explanation: Each interval review is conducted at the charter holder level and includes an annual on-site monitoring visit for each school operated by the charter holder.					
Number of First-Year reviews completed	16	11	11	15	18
Explanation: New measure in FY18. A review of the charter holder and school in its first year of opeartion is reviewed prior to the on-site monitoring visit.					
Number of annual complaints regarding sponsored schools	90	300	255	250	250
Explanation: Complaints are reviewed for contractual compliance and processed accordingly.					
D rated schools evaluated by staff	19	20	32	50	50
Explanation: New measure in FY18. Pursuant to requirements of SB 1430 codified as ARS §15-241 (2016, 52nd Legislature Second Regular session) , the Department of Education will assign letter grades to each public school in FY 2017 and beyond. The letter grades reviewed are from a year lagging					

◆ **Goal** 2 To approve quality applications and grant charters to qualified applicants.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of new application packages reviewed by staff for administrative completeness.	16	11	12	12	12
Number of new application packages considered by the Board.	6	8	11	10	10
Number of new application packages approved by the Board.	5	6	10	8	8
Number of eligibility forms to replicate received.	15	15	8	6	6
Number of replication application packages processed.	12	12	13	6	6
Number of replication application packages approved by the Board.	11	7	2	4	5
Number of renewal applications prepared.	5	3	4	10	13
Explanation: Determination of application criteria based upon previous performance.					
Number of renewal applications processed that do not meet the Performance Framework Expectations.	0	1	1	3	5
Number of renewal application packages approved by the Board.	5	3	4	10	13
Explanation: Modified measure in FY18 as the Board no longer grants renewal charters with conditions.					
Number of hearings for denied renewal applicants that file an appeal.	0	0	0	0	0

Agency Summary

DEPARTMENT OF CHILD SAFETY

Mike Faust, Director
Phone: (602) 255-2500
A.R.S. § 8-451

Mission:

To engage children and families successfully to ensure child safety, strengthen families, and achieve permanency.

Description:

The Department of Child Safety (DCS) is Arizona's State-administered child welfare services agency. DCS provides child abuse and neglect investigations; child safety and risk assessments; family support, preservation, and reunification services; family foster care and kinship care services; services to promote the safety, permanence, and well-being of children in foster and adoptive families; adoption promotion and support services; and health care services for children in out-of-home care.

The primary purpose of DCS is to protect children. To achieve this purpose, the Department seeks to accomplish the following in equal priority: (a) investigate reports of child abuse and neglect; (b) assess, promote and support the safety of a child in a safe and stable family or other appropriate placement; (c) work cooperatively with law enforcement regarding reports that include criminal conduct allegations; and (d) without compromising child safety, coordinate services to achieve permanency on behalf of the child, strengthen the family, and provide prevention, intervention, and treatment for abuse and neglected children.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ INVESTIGATIONS AND OPERATIONS	249,938.1	278,250.9	290,645.7
➢ SUPPORT SERVICES	221,452.7	253,962.4	259,362.4
➢ OUT-OF-HOME CARE	179,031.9	199,016.7	199,016.7
➢ PERMANENCY	273,438.6	290,775.4	290,775.4
Agency Total:	**923,861.3**	**1,022,005.4**	**1,039,800.2**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	373,682.1	384,653.4	394,446.2
Other Appropriated Funds	546,725.2	631,888.8	639,890.8
Other Non Appropriated Funds	3,454.0	5,463.2	5,463.2
Total Funding	**923,861.3**	**1,022,005.4**	**1,039,800.2**
FTE Positions	**2,653.6**	**2,915.9**	**2,915.9**

Department of Child Safety

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Greg McKay
Strategic Planner: Mike Faust
Last modified: 7/12/19

Vision

Children thrive in family environments free from abuse and neglect.

Mission

Successfully engage children and families to ensure safety, strengthen families, and achieve permanency.

Agency Description

DCS provides child abuse and neglect investigations; child safety and risk assessments; family support, preservation and reunification services, family foster care and kinship care services; services to promote the safety, permanence and well-being of children with foster and adoptive families; adoption promotion and support services; and health care services for children in out-of-home care.

Executive Summary

The Arizona Department of Child Safety (AZDCS) strategies have been developed and aligned to reach our vision.

- **Improve objective decision making in Investigations and Ongoing**
  We seek to improve our practice through standardization, reduction of case transfer time and improved timeliness of service delivery.
- **Develop and retain a highly effective workforce that engages with child welfare partners to serve children and families**
  We seek to develop a well-trained, well-coached, well-supervised and well-compensated workforce. This will translate to better outcomes for children and families.
- **Reduce length of stay for children in out-of-home care**
  We seek to find permanency for all children within 12 months of entering care. When this is not possible, we seek the least restrictive placement and permanency options.
- **Provide a quality experience for children while in out-of-home care**
  We seek to increase the number of care days children are placed in a family-like setting. We support each child's health, emotional, behavioral and educational needs, we want all of Arizona's children to thrive by building a network of supportive adults around them.
- **Reduce recurrence of maltreatment by providing quality service**
  We seek to continuously monitor and improve our processes and systems from intake to permanency in a culture of safety for all

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Improve objective decision making in investigations and case management	2017	We have expanded the case transfer process to 12 offices; since installation there were updates to standard work and policy completed in March 2019; Kaizens to standardize and improve supervision of investigations, in-home and out-of-home case management were conducted and will be tested.
2	Develop and retain a highly effective workforce that engages with child welfare partners to serve children and families	2016	We have created a *Supervision Coach* program and our Program Managers and Supervisors have begun working with coaches on administrative and clinical supervision which includes safety assessment, clinical case management and management systems. Day 1 as a new Sup training is in development.
3	Reduce length of stay for children in out-of-home care	2017	We are increasing supports for kinship and family-finding efforts like *Fostering Sustainable Connections* as well as performing more timely investigations and service delivery to reduce the time children stay in out-of-home care.
4	Provide a quality experience for children while in out-of-home care	2017	We are currently working to improve our placement array, supports to kinship and helping our youth transition to adulthood. We treat every child and family as if they were our own, with the relentless goal of ensuring safe and strong family connections.
5	Reduce recurrence of maltreatment by providing quality service	2017	We actively manage ourselves and our service providers in data-driven partnership with the ultimate goal of improving parental resilience and the social and emotional competency of children.

Department of Child Safety

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	**Improve timelines to permanency**	• Increase the percentage of children achieving permanency within 12 months of entering foster care • Of children in foster care for 12 months or more at the start of the year, increase the percentage achieving permanency by the end of the year	• Standardize referral and delivery of in-home case management • Implement a clinical case management practice model • Increase successful transition to adulthood of all children 14+ while in foster care • Improve the timeliness and appropriateness of permanency goals
2	**Increase the placement of children in a family-like setting**	• Decrease the number of placement moves per 1,000 care days • Increase the percentage of care days spent in a family setting	• Improve supports to kinship families • Improve the system-wide placement array for children in foster care (traditional, medical, developmentally disabled, behavioral health, and detention)
3	**Improve employee retention through improved Supervision**	• Reduce agency employee turnover • Reduce Supervisor turnover • Percentage of leaders receiving coaching on a monthly basis • Increase proficiency score of Supervision Coaches	• Implement leader selection and development processes • Define and implement training: Day 1 as a new Supervisor • Design and implement the Supervision Coach Program
4	**Develop and implement the agency IT infrastructure**	• Complete 100% of IT implementation plan	• Implement Guardian
5	**Implement an Integrated Health Plan**	• Percent of identified EPSDT services delivered • Percent of identified EPSDT services delivered on time • Complete 100% of ASO model integration	• Finalize and launch RFP for Behavioral Health-Administrative Services Organization model integration • Develop and implement organization and processes that support quantifying and measuring delivery of EPSDT services

5 Year Plan

Issue 1 Improve timeliness to permanency

Description It is the Department's responsibility to provide permanency as timely as possible for children placed in out-of home care. Permanency planning begins the instant a child is placed in care and continues as an ongoing assessment of strengths and needs of the child and family. Improving timely permanency requires a multi-pronged approach of facilitating successful engagement with families, targeted staffings that allow sufficient time to discuss each case, clearly defined roles between the internal case transitions, and collaboration with the local courts and other partners.

The Departments Five-Year Agency Strategic Priorities are as followed:

- Improve objective decision making in investigations and ongoing
- Develop and retain a highly effective workforce that engages the child welfare partners to serve children
- Reduce length of stay for children in out-of-home care
- Provide a quality experience for chldren while in out-of home care
- Reduce recurrence of maltreatment by providing quality service

The FY 20 Strategic objectives align with the five year prorites.

Solutions:

Objective 1.1: Standardize referral and delivery of in-home case management

- Define statewide organizational structure for in-home case management
- Refine transfer process from investigation to in-home
- Standardize process for in-home case management and service provision, including referral process and authorization

Objective 1.2: Implement a standardized ongoing case management practice

- Deliver a detailed vision of ongoing case management and the role of the DCS Specialist
- Implement standard work for ongoing case management
- Develop fundamental DCS Supervisor and Specialist skills, such as family engagement practice
- Implement tiered accountability and quality assurance structures to maintain practice fidelity

Objective 1.3: Increase sucessful transition to adulthood of all children 14+ while in foster care

- Increase engagement with youth 14 and older in youth centered case planning that includes transition planning, emphasizing the importance of supportive adults and permanency
- Enhance TDM process and staff training to better support youth's preparation for adulthood planning

Objective 1.4 Improve the timeliness and appropriateness of permanency goals

- Implement permanency planning consultations at seven months in care Inform stakeholders about services available to youth who exit care before age 18.
- Inform stakeholders about guardianship as a permanency goal. Provide contracted support to families pursuing guardianship.

Issue 2 Increase the placement of children in a family-like setting

Description Positive outcomes for children in out-of-home care are more likely when placed in safe, family environments that meet their developmental needs and preserve their connection to values, beliefs and cultural legacies. In many cases, this sense of stability can be achieved by placing children with kin or in foster or adoptive placements. The Department is committed to engaging kin sooner, increasing the capacity of the foster home network, and evaluating ways to improve stability and retention of existing foster placements.

Solutions:

Objective 2.1 Improve supports to kinship families

- Develop a process and infrastructure to provide kinship providers with improved understanding, training, supports, and connectivity to services

Objective 2.2 Improve the system-wide placement array for children in foster care (traditional, medical, DDD, BH, and detention)

- Define standard work and screening tools for all placement types
- Create sustainable systems of supply and demand measurement for placements
- Improve recruiting and daily management for all types of placement

Issue 3 Improve employee retention through improved supervision

Description One of the greatest challenges to the Department's success is the high rate of attrition among staff. This rate of turnover creates significant challenges for both business operations and field operations sides of DCS, and can translate to significant delays and costs. DCS will pursue a variety of strategies to significantly improve staff retention, including addressing the backlog, developing a method to compensate employees for a job well done, and offering more advanced training opportunities.

Solutions:

Objective 3.1 Implement leader selection and development processes

- Design and implement a standardized hiring protocol.
- Implement a new field supervisor knowledge assessment evaluation.
- Implement a hiring selection process and interview guide for new field supervisors. Provide a structure for continued development of aspiring leaders.

Objective 3.2 Define and implement supervisor/PM people and practice coaching infrastructure

- Design and implement a standardized protocol, sustained through tiered accountability, which provides a structure for continued development of DCS leaders targeting various stages of supervision, from aspiring leaders to experienced leaders

Objective 3.3 Define and implement training "Day 1 as a New Supervisor"

- Implement a new field supervisor knowledge assessment evaluation and student study guide
- Implement a hiring selection process and interview guide for new field supervisors
- Implement a standardized onboarding and on the job training experience from new field supervisors

Issue 4 Develop and implement the agency IT infrastructure

Description Improvements in technology and data management systems will provide much-needed support to staff, facilitate administrative processes, and generate good data to share with partners and guide DCS policy and work. A modern day IT infrastructure will allow our workforce to be mobile, have real time and applications that are supported and secure.

Solutions:

Objective 4.1 Guardian Implementation

- Develop a child-centered, user friendly technology solution that provides quality data, improved processes to support all DCS work for the safety of Arizona's children.
- Implement Guardian deliverables for FY 20 on time and on budget

Issue 5 Implementation of Integrated Health Plan for behavioral health services

Description In an Administrative Services Organization (ASO) model, CMDP retains clinical operations and closely related business operations and leverages/oversees a subcontracted entity's business such as claims and provider network operations.

Solutions:

Objective 5.1 Finalize and launch RFP for BH-ASO model integration

- In an Administrative Services Organization (ASO) model, CMDP retains clinical operations and closely related business operations and leverages/oversees a subcontracted entity's business such as claims and provider network operations
- An RFI will be released to inform the RFP
- The RFP will be to acquire a private sector vendor to provide a robust statewide physical and behavioral health network tailored to the unique needs of foster children

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To successfully engage children and families to ensure safety, strengthen families, and achieve permanency.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
# of Agency FTE Count	2,761	2,916	2,761	2,916	2,916
# of Regrettable Attrition	416	396	0	376	0
% of Arizona Management System Adoption	0	0	91	95	95
AMS Implementation Score	0	0	2.69	3	3
Total # of Children in Out of Home Care (0 -17)	0	0	13,383	0	0
Total # of Children in Out of Home Care (18-21)	0	0	843	0	0
Of the Children who entered care 1 year ago this mont, what % of those children have exited care to reunification, adotpion or guardianship	0	0	42	42	42
% of Children (0-17) whose predominat placement type is in a family like setting (Kinship / Foster)	0	0	82.75	83.5	83.5
Total Agency Turn-over (rolling 12 months)	0	0	28.36	25	25

Program Summary

INVESTIGATIONS AND OPERATIONS

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To ensure the safety of children and promote services to enable them to achieve permanency in a safe and stable placement.

Description:

The Investigations and Operations functions of the Department investigate reports of child abuse and neglect, coordinate services to achieve permanency on behalf of the child, strengthen the family and provide prevention, intervention and treatment for neglected and abused children and provides administrative oversight and operating support to the programs within the Department.

This Program Contains the following Subprograms:

- Investigations and Operations
- Retention Pay
- Overtime Pay
- Training Resources
- Records Retention Staff
- Inspections Bureau
- Attorney General Legal Services
- General Counsel
- Internet Crimes Against Children
- Office of Child Welfare Investigations
- Caseworkers
- Backlog Privatization
- New Case Aides
- Litigation Expenses
- Payment Deferral

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	126,230.3	136,292.9	146,085.7
Other Appropriated Funds	123,707.8	141,958.0	144,560.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**249,938.1**	**278,250.9**	**290,645.7**
FTE Positions	**2,653.6**	**2,915.9**	**2,915.9**

◆ **Goal** 1 To provide quality leadership and training opportunities to enhance the delivery of quality services and promote accountability.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total Number of Open DCS Reports	5,449	0	6,342	0	0
Number of Inactive Cases	206	0	166	0	0
Number of case carrying staff	1,332	1,406	1,272	1,406	1,406
Number of Field Operations Administative Staff including OCWI	929	929	929	929	929
Number of Non-Field Specific Staff	500	500	500	500	500
Hotline Screen In %	59.9	0	57.8	0	0
Number of Communication and Reports to the Hotline	149,060	0	151,729	0	0
Number of Crimnal Conduct Reports	7,608	0	6,300	0	0
% Response on Time	93.2	92	94.6	93.5	93.5
Overtime Expense in Dollars	5,789,245	5,700,000	4,763,805	5,700,000	5,700,000
Total reports received at the Hotline	48,023	0	47,034	0	0

Subprogram Summary

INVESTIGATIONS AND OPERATIONS

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. §8-453

Mission:

To ensure the safety of children and promote services to enable them to achieve permanency in a safe and stable placement.

Description:

The Investigations and Operations functions of the Department investigate reports of child abuse and neglect, coordinate services to achieve permanency on behalf of the child, strengthen the daily and provide prevention, intervention and treatment for neglected and abused children and provides administrative oversight and operating support to the programs within the Department.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	54,354.6	58,496.8	69,817.0
Other Appropriated Funds	51,939.7	55,179.9	56,925.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**106,294.3**	**113,676.7**	**126,742.2**
FTE Positions	**1,192.6**	**1,311.9**	**1,317.9**

Subprogram Summary

RETENTION PAY

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To deter attrition and strengthen the workforce to ensure the safety and well-being for children.

Description:

This funding provides a one-time retention payment at the 18-month and 36-month benchmarks of employment as a DCS Specialist.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	715.9	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**715.9**	**0.0**	**0.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

OVERTIME PAY

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To provide overtime funding for the Department of Child Safety.

Description:

This line is part of the Department's operating functions. Goals and performance measures for operations are included in the Investigations and Operations Program summary, CHA 1.0.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,178.7	2,182.5	0.0
Other Appropriated Funds	2,296.3	6,225.2	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**4,475.0**	**8,407.7**	**0.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

TRAINING RESOURCES

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To streamline and shorten the classroom training of caseworkers by building more caseworker training into the curriculum at Arizona State University.

Description:

The Department has agreements with Arizona State University and Northern Arizona University to recruit and train qualified caseworkers. Students who participate in this program receive scholarships that cover their tuition, books, and university fees. Scholarship students are required to sign a student agreement committing them to work for DCS after graduation for 1 to 2 years. If the student does not fulfil this work commitment, they are required to repay the DCS benefit received.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	150.0	150.0	150.0
Other Appropriated Funds	2,958.3	9,000.0	9,000.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**3,108.3**	**9,150.0**	**9,150.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

RECORDS RETENTION STAFF

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To be more responsive and transparent in providing DCS records to DCS stakeholders.

Description:

This will fund staff who work on requests for information about children in the state child welfare system.

Funding:

	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	498.2	498.3	0.0
Other Appropriated Funds	80.4	96.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**578.6**	**594.3**	**0.0**
FTE Positions	**5.0**	**5.0**	**0.0**

Subprogram Summary

INSPECTIONS BUREAU

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-458

Mission:

To ensure compliance of all Department policies and procedures in accordance with all federal and state laws and to promote continuous quality improvement throughout all Department functions and services.

Description:

The Inspections Bureau, also known as the Office of Quality Improvement (OQI), consists of the Ombudsman Office, the Process Improvement and Compliance Audit Unit, Program Development, Practice Improvement, the Critical Incident Review Unit, and Strategic Planning. Each function of OQI is focused on improving systems and practice and instilling a learning culture across the Department.

Funding:

	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,328.5	1,337.7	1,337.7
Other Appropriated Funds	1,061.9	1,145.5	1,145.5
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,390.4**	**2,483.2**	**2,483.2**
FTE Positions	**31.0**	**31.0**	**31.0**

Subprogram Summary

ATTORNEY GENERAL LEGAL SERVICES

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To provide the Department of Child Safety with high-quality and timely legal advice and representation to promote the safety and well-being of children and families.

Description:

The Attorney General Child and Family Protection Division is responsible for providing legal services to the Department of Child Safety. The division provides services on behalf of the children and families involved in the state's child welfare system through the Protective Services Section.

**NOTE: Goals and performance measures for this program are included in the Master List for the Attorney General's Child and Family Protection Division.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	19,108.0	19,741.9	19,741.9
Other Appropriated Funds	6,414.8	5,780.9	5,780.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**25,522.8**	**25,522.8**	**25,522.8**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

GENERAL COUNSEL

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To provide legal advice to the Department of Child Safety.

Description:

The General Counsel will provide legal advice to the Department of Child Safety and the Attorney General will continue to represent the Department in administrative or judicial hearings.

This line is part of the Department's operating functions. Goals and performance measures for operations are included in the Investigations and Operations Program summary, CHA 1.0.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	155.9	156.1	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**155.9**	**156.1**	**0.0**
FTE Positions	**1.0**	**1.0**	**0.0**

Subprogram Summary

INTERNET CRIMES AGAINST CHILDREN

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To develop an effective response to cyber enticement and child pornography.

Description:

The funding provides a grant to the Internet Crimes Against Children Task Force (ICAC). ICAC is a joint federal/local law enforcement task force that investigates child pornography. The program was developed in response to the increasing number of children using the internet and heightened online activity by predators seeking contact with potential underage victims.

Monies in the line item are passed through to ICAC Task Force operated by local police departments.

Subprogram Summary

OFFICE OF CHILD WELFARE INVESTIGATIONS

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-471

Mission:

To protect children by investigating criminal conduct allegations of child abuse or neglect within the State of Arizona.

Description:

The Office of Child Welfare Investigations (OCWI) was legislatively established in 2012, following the recommendation from the Arizona Child Safety Task Force, to investigate criminal conduct allegations, coordinate with the Department and law enforcement, establish task forces for the investigation of criminal conduct, and other duties assigned by the director. OCWI is comprised of highly experienced former law enforcement and Department Specialists who work collaboratively with the Department to protect children and assess, respond, and investigate all criminal conduct allegations received by the Intake Bureau.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	8,365.4	9,444.3	9,444.3
Other Appropriated Funds	0.0	202.0	202.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**8,365.4**	**9,646.3**	**9,646.3**
FTE Positions	**118.0**	**127.0**	**127.0**

Subprogram Summary

CASEWORKERS

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To successfully engage children and families to ensure safety, strengthen families and achieve permancy

Description:

This funding provides funding for the departments caseworkers and their related support.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	38,077.0	42,889.2	44,198.7
Other Appropriated Funds	54,162.4	62,539.4	67,115.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**92,239.4**	**105,428.6**	**111,314.0**
FTE Positions	**1,272.0**	**1,406.0**	**1,406.0**

Subprogram Summary

BACKLOG PRIVATIZATION

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

Description:

Subprogram Summary

NEW CASE AIDES

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To provide additional case support to the DCS field workers and stafff

Description:

The funding provides additional case aides to help support the DCS caseworkers and other field support.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,298.1	1,396.1	1,396.1
Other Appropriated Funds	1,024.0	1,789.1	1,789.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,322.1**	**3,185.2**	**3,185.2**
FTE Positions	**34.0**	**34.0**	**34.0**

Subprogram Summary

LITIGATION EXPENSES

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To provide funding for the support of litigation cost for the Department

Description:

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	3,770.0	0.0	2,602.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**3,770.0**	**0.0**	**2,602.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

PAYMENT DEFERRAL

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

Description:

Program Summary

SUPPORT SERVICES

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-802, 8-481, 8-453

Mission:

To promote services for children to enable them to be safe and live with strong families so they can be successful in life.

Description:

The support services provide an array of services to clients both in out-of-home and in-home placements.

This Program Contains the following Subprograms:

- Preventive Services
- In-Home Mitigation
- Out-of-Home Support Services
- DCS Child Care Subsidy
- Intensive Family Services

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	67,306.1	66,483.8	66,483.8
Other Appropriated Funds	153,308.4	187,122.9	192,522.9
Other Non Appropriated Funds	838.2	355.7	355.7
Total Funding	**221,452.7**	**253,962.4**	**259,362.4**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To enhance the stability of families being served by the Department of Child Safety to create safe, stable, and nurtuing home environments.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of service referral waiting list	98	200	312	75	75
Total Out of Home Service Cost for Parent Aide and Supervised Visits Only.	38,667,600	38,667,600	37,543,317	38,667,600	38,667,600
In days Average Age of referrals on Service Referral Waitlist - Urban Counties	0	0	11	10	10
In days Average Age of referrals on Service Referral Waitlist - Rural Counties	0	0	24	10	10
# of Children In In-Home Care	0	0	4569	0	0
% of reasonable Canidate Children In-Home	0	0	51.3	0	0

Subprogram Summary

PREVENTIVE SERVICES

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To provide services that assist in supporting and improving the family unit and to help keep children safe with their families.

Description:

Prevention services are intended to reduce the risk of involvement with DCS for at risk families. The current programs funded are the Healthy Families Program and Building Resilient Families program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,000.0	4,000.0	4,000.0
Other Appropriated Funds	11,148.3	11,148.3	11,148.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**15,148.3**	**15,148.3**	**15,148.3**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

IN-HOME MITIGATION

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-802, 8-481, 8-453

Mission:

To provide services that assist in supporting and improving the family unit with the goal of maintaining children in the home and reunifying the family whenever safely possible.

Description:

In-home children services seek to prevent further dependency or child abuse and neglect through provision of social services to stabilize family life and preserve the family unit. These services, including voluntary services without court involvement and court-ordered in-home intervention, are available statewide. Services include parent aide, parenting skills training, counseling, self-help, and contracted case management. Families may also receive referrals for services provided by other state agencies including behavioral health services and other community resources.

Contracted services provided are available statewide. Services are provided based upon the needs of the child and family through collaborative partnerships between DCS, community social service agencies, family support programs, and other community and faith-based organizations. Cases served include voluntary foster care, in-home court intervention, in-home dependency, integrated services, and other in-home support cases.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,794.0	6,971.7	6,971.7
Other Appropriated Funds	13,911.2	22,016.4	22,016.4
Other Non Appropriated Funds	213.2	163.2	163.2
Total Funding	**21,918.4**	**29,151.3**	**29,151.3**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

OUT-OF-HOME SUPPORT SERVICES

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-802, 8-453

Mission:

To provide safe and stable placements for children who have been removed from their home.

Description:

Out-of-home support services provide support services for children who have been removed from their homes and their families to assist in reunifying the family and allowing children to safely return to their homes. These primary services provided services include allowances, parent aide, transportation, in-home services, independent living, foster home recruitment, and substance abuse treatment.

The Out-of-Home Support Services subprogram also include the Comprehensive Medical and Dental Program (CMDP) which provides medical and dental care for children in foster care who are under the jurisdiction of the Department, the Arizona Department of Juvenile Corrections, or the Administrative Office of the Courts/Juvenile Probation Offices. CMDP operates as an acute health care plan under the Arizona Health Care Cost Containment System (AHCCCS) for children who are determined Medicaid eligible.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	48,512.1	48,512.1	48,512.1
Other Appropriated Funds	91,260.2	105,398.8	105,398.8
Other Non Appropriated Funds	625.0	192.5	192.5
Total Funding	**140,397.3**	**154,103.4**	**154,103.4**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

DCS CHILD CARE SUBSIDY

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To support the families and individuals caring for children in the Department's custody by providing quality child care services.

Description:

Child care services may be provided to maintain and strengthen families who have an open case, are receiving voluntary services, or whose children are dependent wards of the court but remain in the parent's physical custody. Child care services may also be provided as a support service for out-of-home care providers to enable the providers to work, participate in educational activities, or handle emergency situations.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,000.0	7,000.0	7,000.0
Other Appropriated Funds	36,988.7	48,559.4	53,959.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**43,988.7**	**55,559.4**	**60,959.4**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

INTENSIVE FAMILY SERVICES

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-802, 8-453

Mission:

To provide crisis-oriented service activities for families where conditions represent a threat to child safety and whose children are at significant risk of out-of-home placement due to abuse or neglect.

Description:

Intensive family services provide contracted, intensive, time-limited services in the home to families whose children are at imminent risk of out-of-home placement due to abuse, neglect, or dependency. These services are also delivered to families where a child has been removed from the home with the goal of reunifying the family.

Description, goals and performance measures for this program are contained in the In-Home Preventative Services, CHA 4.2, and Out-of-Home Support Services, CHA 4.3.

Program Summary

OUT-OF-HOME CARE

Robet Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-846

Mission:

To provide permanence, stability, and continuity of care in safe placements that meet the needs of children who enter out-of-home care.

Description:

This Program Contains the following Subprograms:

- Emergency and Residential Placement
- Foster Care Placement
- Grandparent Stipends
- Independent Living Maintenance

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	84,606.0	86,337.0	86,337.0
Other Appropriated Funds	91,810.1	107,572.2	107,572.2
Other Non Appropriated Funds	2,615.8	5,107.5	5,107.5
Total Funding	**179,031.9**	**199,016.7**	**199,016.7**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To promote permanent placements for children who enter out of home care.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total Number of Children in Out of Home Care	14,558	14,750	14,151	0	0
% Congrate Care as a First Placement	0	22	0	0	0
% of days spent with a kinship caregiver	0	45	0	0	0
% of days in shelter and group home	0	12.5	0	0	0
# of Children who were placed in out of home care montly average	0	0	0	0	0
# of Children who were placed in Out of Home Care	0	0	7,914	0	0
Ratio of removals vs children approved by a CAR (as a %)	0	0	66	0	0
Rate of Out of Home Placemetn - Children In Care per 1,000 in Az Population	0	0	8	0	0
% removal rate of children from unsafe homes within 30 days of a report	0	0	10.1	0	0
% of Sibling Groups were all siblings are placed together	0	0	63.1	0	0
% of Sibling groups where at least 2 are place together	0	0	81.5	0	0
Total number of children in Group homes great than 6 months	0	0	629	0	0
# Total of Children in group homes	0	0	1,736	0	0
# Total of Children in Shelters	0	0	94	0	0
# Total of Children in Shelter greater than 6 months	0	0	5	0	0
# Total of Children placed in Congregate care as 1st placement	0	0	184	0	0

Subprogram Summary

EMERGENCY AND RESIDENTIAL PLACEMENT

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-514

Mission:

To provide permanence, stability, and continuity of care in safe homes that meet the needs of children who enter out-of-home care. Services included, but are not limited to, case management, permanency planning, provision of out-of-home care, and other out-of-home support services to individuals or families.

Description:

Description, goals, and performance measures for this program are contained in the Foster Care Placement Program, CHA 3.3, as these programs operate in concert with one another.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	36,028.0	36,028.0	31,076.0
Other Appropriated Funds	52,174.4	62,872.1	58,712.9
Other Non Appropriated Funds	1,591.8	3,391.1	3,391.1
Total Funding	**89,794.2**	**102,291.2**	**93,180.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

FOSTER CARE PLACEMENT

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-514

Mission:

To provide permanence, stability, and continuity of care in safe homes that meet the needs of children who enter out-of-home care. Services included, but are not limited to, case management, permanency planning, provision of out-of-home care, and other out-of-home support services to individuals or families.

Description:

Out-of-home placement services are available statewide for children who are unable to remain in their homes due to immediate safety concerns or impending and unmanageable risk of maltreatment. Placement services promote safety, permanency, and child and family well-being through supervision and monitoring of children in out-of-home placement, and support of the out-of-home caregiver's ability to meet the child's needs.

Placement types include emergency shelters, kinship homes, foster homes, adoptive homes, group homes, residential treatment centers, and independent living subsidy arrangements.

Goals and performance measures for the Foster Care Placement Program, Emergency and Residential Placement line items are contained in this subprogram summary.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	43,608.7	42,839.7	42,477.7
Other Appropriated Funds	38,402.0	42,509.4	42,205.4
Other Non Appropriated Funds	1,024.0	1,716.4	1,716.4
Total Funding	**83,034.7**	**87,065.5**	**86,399.5**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

GRANDPARENT STIPENDS

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-453

Mission:

To provide permanency for children by providing a monetary stipend to Kinship families that meet the financial requirements.

Description:

The Kinship Stipend program provides a monthly stipend to unlicensed kinship, who are unlicensed kinship placements, to assist in offsetting costs associated with caring for a child who has been placed in their home by the Department.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,000.0	4,500.0	4,500.0
Other Appropriated Funds	608.0	500.0	500.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,608.0**	**5,000.0**	**5,000.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

INDEPENDENT LIVING MAINTENANCE

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-521

Mission:

To provide young adults with the opportunity to achieve self-sufficiency with independent living skills.

Description:

The independent living maintenance program provides stipends to former foster youth between 18 and 21, who are now living on their own and are either enrolled in a post secondary program or employed.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,969.3	2,969.3	8,283.3
Other Appropriated Funds	625.7	1,690.7	6,153.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**3,595.0**	**4,660.0**	**14,437.2**
FTE Positions	**0.0**	**0.0**	**0.0**

Program Summary

PERMANENCY

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-814

Mission:

Description:

This Program Contains the following Subprograms:

- Adoption Services
- Permanent Guardianship Subsidy

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	95,539.7	95,539.7	95,539.7
Other Appropriated Funds	177,898.9	195,235.7	195,235.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**273,438.6**	**290,775.4**	**290,775.4**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To promote placement in permanent settings.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total Number of Children who exited Care	10,829	0	8,256	0	0
Total number of Children who exited care through reunification	5,295	0	4,560	0	0
Total number of Children who exited care through adoptions	3,710	0	3,523	0	0
Total number of Children who exited care trough Guardianship	286	0	64	0	0
Of the Children that entered care 1 year ago this month, what % of those children have exited care	0	0	20.1	0	0
Of the children who exited care 1 year ago this month, what % had a re-report of abuse or neglect in the last 12 months	12.4	0	20.11	20.27	20.27
Of the Children who exited care 6 monts ago this month, what % reentered care in the last 6 months	8.4	9.5	9.1	9.3	8.8
Total Number of Children who exited care through Guardianship	0	0	764	0	0
Total Number of Children who exited care through Age of Majority	0	0	798	0	0

Subprogram Summary

ADOPTION SERVICES

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-141 - 8-173

Mission:

To promote timely placements of children into permanent adoptive homes, to provide adoption support services to these children and families to maintain the placement and to provide for the special needs of the children who are adopted.

Description:

The Adoption services program primarily provides adoption subsidy maintenance payments to adoptive parents who adopt a special needs child. A special needs child is defined as A.R.S. § 8-841 as a child with, or at risk of, a physical, mental, or developmental disability, an emotional disturbance; or with characteristics that made adoption more difficult, such as children age six and older, sibling groups, or racial/ethnic factors. The physical, mental, or emotional disorders may be a direct result of the abuse or neglect the children suffered before entering the child welfare system.

In addition to monthly subsidy payments, the Adoption Services program provides special services, non-recurring adoption costs, and adoptive home recruitment. Special services included payments for services not covered by the subsidy, such as specialized therapy, accommodations for a disability or other specialized services needed to maintain the adoptive placement. Non-recurring costs are legal costs associated with the adoption process.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	84,965.8	84,965.8	84,965.8
Other Appropriated Funds	175,955.9	193,292.7	193,292.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**260,921.7**	**278,258.5**	**278,258.5**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

PERMANENT GUARDIANSHIP SUBSIDY

Robert Navarro, Assistant Director of Budget and Finance
Phone: (602) 255-2778
A.R.S. § 8-814

Mission:

To provide permanency for children by strengthening the guardianship placement with a monetary subsidy to persons appointed permanent guardians of a dependent child.

Description:

The permanent guardianship subsidy provides a monthly partial reimbursement to caretakers appointed as permanent guardians of children in the care, custody, and control of the Department. These are children for whom reunification and adoption has been ruled out as unachievable or contrary to the child's best interest. Many of the permanent homes supported by Subsidized Guardianship are kinship placements.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	10,573.9	10,573.9	10,573.9
Other Appropriated Funds	1,943.0	1,943.0	1,943.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**12,516.9**	**12,516.9**	**12,516.9**
FTE Positions	**0.0**	**0.0**	**0.0**

Agency Summary

BOARD OF CHIROPRACTIC EXAMINERS

Martin Kollasch, D.C., Executive Director
Phone: (602) 542-9101
A.R.S. §§ 32-900 et seq.

Mission:

To protect the health, welfare, and safety of Arizona citizens through the enforcement of laws governing chiropractic care.

Description:

The Board of Chiropractic Examiners conducts examinations and evaluates applications from chiropractors seeking original licensure and renewal of licensure, and from persons seeking participation in Board-approved preceptorship or chiropractic assistant programs. The Board investigates complaints made against chiropractors and conducts administrative hearings as required. The Board provides infomrmation to the public concerning applicants, licensees, and regulatory actions.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	333.2	438.6	438.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**333.2**	**438.6**	**438.6**
FTE Positions	**5.0**	**5.0**	**5.0**

5 Year Plan

Issue 1 Update information technology to ensure capable management of practitioner licensure, consumer complaints, and other board responsibilities and activities.

Description The Board's Access database has been in use for over 10 years and does not possess adequate capabilities for the capture, processing, integration, tracking, and reporting of all the above-referenced duties and tasks. There is concern the system might become unstable, corrupt, or lose critical data. The current data base is incompatible with transitioning to an E-Licensing platform.

Solutions:

The first step in guarding against a critical failure is to ensure the stability of the current data base. To this end, the Board has engaged with ASET to identify an appropriate Access expert to review the system's current configuration and recommend and perform necessary modifications to ensure integrity and functionality during the transition to a modern and robust system. The Board is also planning to conduct an "IT Modernization Assessment". The study's purpose is to inform an RFP and help plan the eventual transition.

Issue 2 Improve the timelines to complete investigations, formal interviews and formal hearings.

Description The Auditor General's Office recommends that cases be concluded within 180 days. The Board's ability to increase the percentage of complaints resolved within 180 days of receipt when no hearing is required, as well as the average number of months to resolve cases in which administrative hearings continues to improve.

Solutions:

The Board made changes to the personnel structure, separating the duties of the Deputy Director from that of the Investigator, allowing the Investigator to focus his/her full attention to the receipt, analysis, presentation and processing of all complaints through final adjudication.

The Board approved the establishment of an Interagency Service Agreement with the Attorney General's office to provide for the appointment of a dedicated Assistant Attorney General to represent the Board, prevent the risk of interrupted services, and enhance the timely completion of Formal Interviews and Formal Hearings.

The Board is continuing to reduce the amount of time involved in a case by streamlining the complaint process and having a qualified and trained investigator review and process complaints.

The Board has conducted a AZLEAN process on the complaint process and throught the use of new tools like Google Suite has streamlined the initial complaints process.

Issue 3 Cross-train all staff in routine office, business, and customer service policies, operations, procedures and, processes to the extent appropriate.

Description The board staff consists of 4.5 FTEs and recently experienced an extended absence of one FT employee. Although customer service and Board business affairs were uninterrupted, other staff were taxed with not simply picking up the duties of the absent staff member but with also learning an efficient manner to complete those duties while also attending to their primary responsibilities.

Solutions:

Board staff, in consultation with their ADOA HR team, will update Position Descriptions (PD) and share the PDs among staff. Provide time for staff members to learn and then occaisionally perform those tasks that are apprpriate for them to be cross-trained in.

Issue 4 Establish the capability of accepting licensure and payment for services in electronic formats.

Description The Board previously only accepted hard copy applications for renewal and payments in the form of check or money order.

Solutions:

The Board has worked with ADOA ASET and Dept. of Treasury to implament an online credit card payment portal. The portal opened in August of 2018. The Board has began accepting credit card payments and expects that the number of payments will increase due to increased workflow and time saving.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To issue and renew licenses promptly to those applicants determined to be eligible based on their accurate and complete application and demonstration of the required standards of education, knowledge, and competency while ensuring that the health, safety, and welfare of the public is protected.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of applications for licensure received	95	94	105	95	95
Explanation: This measure is used to assess future revenues.					
Average number of days between receipt of complete application and Board action	15	25	14	15	15
Explanation: This performance measure determines if the Board is meeting the licensing time frames required in law.					
Number of new licenses issued	78	75	88	80	80
Explanation: This measure identifies a trend that impacts revenue, staffing and resources planning					
Number of licenses issued prior to undisclosed conviction being identified	0	0	0	0	0
Explanation: This performance measure is related to the Board's mission to protect the health, welfare and safety of the public.					
Number of licenses eligible for renewal	2,580	2,370	2,569	2,575	2,575
Percent of license renewal applications processed within 15 business days	100	95	100	95	95
Percent of licenses renewed each year	97	95	86	90	90

◆ **Goal** 2 To investigate promptly complaints filed against licensees throughout the state and to proactively identify risks to the consumer public. To timely and knowledgeably determine if a matter should be dismissed or proceed to hearing, to conduct formal interviews and hearings in a timely manner, and to impose appropriate sanctions on those found to have violated the public trust.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of new complaints filed	66	110	45	65	65
Percent of complaints resolved within 180 days of receipt with no hearing required	48	50	45	50	50
Average number of months to resolve an administrative hearing	2	4	3	4	3
Number of licenses revoked, surrendered, or suspended	10	8	3	5	6
Total number of investigations conducted	98	110	67	80	80

◆ **Goal** 3 To ensure Board and staff competence and knowledge.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of survey responses which indicate that staff was knowledgeable and courteous in public communications or that the measure was not applicable.	100	97	100	97	98
Administration as a percent of total cost	9.7	12	10	15	15

◆ **Goal** 4 To increase public awareness of agency functions, resources, and public records accessibility.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Self assessment surveys returned.	10	30	6	10	10
Percent of complaint investigations that the Board found to be outside of its jurisdiction.	0	1	0	0	0

◆ **Goal** 5 To modernize the Board's IT infrastructure. The Board's current database platform is Microsoft Access, this is unsustainable and therefore it must be upgraded and/or replaced.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Develop and distribute an RFP for IT assessment and road map to modenization.	0	0	0	0	1
Loss of data	0	0	0	0	0

Agency Summary

CLEAN ELECTIONS COMMISSION

Thomas M. Collins, Executive Director
Phone: (602) 364-3480
A.R.S. §§ 16-901 et seq.

Mission:

To fairly, faithfully, and fully implement and administer the Arizona Citizens Clean Elections Act.

Description:

The Citizens Clean Elections Act is a campaign finance reform measure initiated by Arizona citizens and passed by voters in 1998. The Act provides for campaign financing for qualified candidates, enhanced campaign finance enforcement and reports for State and Legislative candidates and independent expenditures. The Act also provides for voter and public education, including sponsorship of debates and publication of the primary and general election candidate statement pamphlets.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	8,728.8	11,468.4	11,468.4
Total Funding	**8,728.8**	**11,468.4**	**11,468.4**
FTE Positions	**7.0**	**9.0**	**9.0**

5 Year Plan

Issue 1 Legislation/Commission Rules

Description Simplify and improve the Citizens Clean Elections Act while maintaining its effectiveness and purpose.

Solutions:

Work with the Legislature to develop and provide technical assistance with drafting legislation that will further the purpose of the Act.

Promulgate rules to further the purpose of the Act.

Work with other agencies or groups to improve the implementation of the Act.

Issue 2 Public Education and Public Relations

Description Inform citizens about public issues related to the Citizens Clean Elections Act

Solutions:

To provide the public with communications, reports and publications that are clear and informative.

To effectively use all channels of communication, including new technologies, to publicize the Act and its implementation.

To provide leadership for outreach activities, including debates, public participation, candidate awareness and media relations.

To provide visibility to the new rules, policies and procedures promulgated by the Commission.

To evaluate and improve the effectiveness of the educational programs and information that the Commission provides to the public.

To successfully inform voters about the candidates running for statewide and legislative offices through candidate debates, statement pamphlets, and online publications.

Continue to promote understanding of Arizona's political system and constructive participation within the system.

Issue 3 Training, Management Development, and Commission Operations

Description Ensure that the staff is competent to carry out the objectives and mandates of the Act

Solutions:

Ensure that the staff understands the Commission's mission and the expectations of their jobs.

Eliminate or combine jobs as necessary to maintain a lean staff

Utilize contract services or other services of other agencies

Attend management and leadership classes by staff members.

Issue 4 Enforcement

Description To facilitate easier and more universal compliance with the Citizens Clean Elections Act

Solutions:

Provide frequent and effective client education programs and publications.

Simplify and improve reporting forms and procedures.

Provide clarity and consistency in actions taken by the Commission.

Revise candidate training programs to address new issues and to promote compliance.

Assist the Secretary of State to provide and continually improve a campaign finance management software application and encourage its use by the maximum number of political committees and political funds.

Issue 5 Financial, Fiscal Operations, Information Systems and Strategic Planning

Description To abide by the statutory expenditure authority. To plan, develop and implement effective and efficient information systems that will help the Commission carry out its mission.

Solutions:

Monitor the amounts expended from the budget to ensure that expenditures do not exceed funds available.

Ensure that the revenues from other agencies are paid into the fund.

Use technology more effectively to identify compliance problems and to provide clients with resources to avoid problems.

Evaluate and improve the Commission's financial activities on an ongoing basis.

Ensure the Commission's educational obligations are met efficiently and effectively.

Determine when the fund contains insufficient monies or the spending cap would be exceeded were all candidates' accounts to be fully funded as early as possible.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	9.0	9.0	9.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	7,000.0	7,000.0	7,000.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To provide public funding to qualified candidates.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of certified participating candidates (calendar years)	75	0	0	50	0
Total funds distributed to participating candidates (calendar years; in thousands)	2,600	6,800	0	2,000	0

◆ **Goal** 2 To administer debates and develop a procedure for communicating candidate statements to the citizens of Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of candidates submitting candidate statements (calendar years)	233	0	172	200	0
Number of candidate statement pamphlets mailed to AZ households (calendar years in thousands)	4,100	4,100	0	4,000	0

◆ **Goal** 3 To comply with the caps for spending specified in the Clean Elections Act.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of cap applied to voter education (calendar years)	10	10	10	10	10
Percent of cap spent on administration and enforcement (calendar years)	8	9.0	8	9	0

Agency Summary

ARIZONA COMMERCE AUTHORITY

Sandra Watson, CEO
Phone: (602) 845-1215
A.R.S. § 41-1501

Mission:

To grow and strengthen Arizona's economy and facilitate the creation of quality jobs for its citizens by supporting and attracting businesses in targeted, high-value base sectors throughout the state.

Description:

The Arizona Commerce Authority (ACA) was established in 2011 as a public-private partnership whose primary objective is advancing and diversifying the state's economy, primarily through high-value job creation. The ACA serves as Arizona's state-level economic development organization, leading and coordinating economic development and marketing efforts throughout the state.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	20,957.1	19,275.0	19,275.0
Other Appropriated Funds	0.0	2,500.0	2,500.0
Other Non Appropriated Funds	29,450.2	29,678.4	30,718.7
Total Funding	**50,407.3**	**51,453.4**	**52,493.7**
FTE Positions	**0.0**	**0.0**	**0.0**

Arizona Commerce Authority A.R.S. § 41-1501

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Sandra Watson
Strategic Planner: Lauren Wright
Last modified: 05/30/2019

Vision: Arizona is the top location for high-quality business growth.

Mission: To grow and strengthen Arizona's economy and facilitate the creation of quality jobs for its citizens by supporting and attracting businesses in targeted, high-value base sectors throughout the state.

Agency Description: The ACA was established in 2011 as a public-private partnership whose primary objective is advancing and diversifying the state's economy, primarily through high-value job creation. The ACA serves as Arizona's state-level economic development organization, leading and coordinating economic development and marketing efforts throughout the state.

Executive Summary:

To achieve its core mission, the ACA utilizes a three-pronged strategy focused on attracting businesses to Arizona, growing Arizona's existing businesses and creating new Arizona businesses.

The ACA executes these three strategies through ten specific tactics:

1. Monitor and strengthen competitiveness
2. Increase awareness
3. Lead economic development efforts
4. Target high-value industries
5. Accelerate advanced manufacturing
6. Cultivate entrepreneurial ecosystem
7. Expand international trade
8. Create workforce of the future
9. Encourage infrastructure
10. Enhance rural economic growth

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Attract business to Arizona	2018	Two years* into our 5-year business plan, the ACA is ahead of pace for these key metrics. JOB CREATION 5-year goal: 80,000 projected new jobs Progress: 41,371 129% of 2-year target WAGE GROWTH 5-year goal: Increase average wage of the jobs created to 150% of the state's 2017 median wage. Progress: $59,560 109% of target CAPITAL INVESTMENT 5-year goal: $7 billion in capital investment Progress: $4.73 billion 169% of 2-year target *as of May 31, 2019
2	Grow existing Arizona business	2018	
3	Create new Arizona business	2018	ENTREPRENEURIAL VITALITY 2-year goal: $60 million in capital raised by early-stage clients Progress: $144 million* 240% of 2-year target *as of Q3 FY 2019

Arizona Commerce Authority A.R.S. § 41-1501

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1 & 2	Lead efforts to create 16,000 projected new jobs with a focus on high-wage target industries. (combined total for attraction and expansion).	Number of projected new jobs created	Targeted outreach to high-wage industries in California and other key markets by attraction and expansion teams. Execute marketing campaigns leveraging paid, owned and earned mediums to showcase Arizona as a premier business location for targeted high-wage industry. Establish office in Israel and expand presence in Mexico to leverage relationships in support of AZ inward investment and exports. Activate the Proptech Sandbox and promote Fintech opportunities to improve Arizona's global competitiveness in these next-gen tech sectors. Facilitate the enhancement of broadband connectivity among Arizona's rural communities to increase the rural areas' economic competitiveness.
1 & 2	Attract $1.4 billion in capital investment to from ACA clients (combined total for attraction and expansion).	Amount (in dollars) of capital investment attracted to Arizona	
1 & 2	Add 200 new pipeline opportunities to the ACA's business attraction and expansion pipeline.	Number of new pipeline opportunities	
3	Facilitate the creation of $50 million in new capital formation by ACA early-stage clients.	Investment in Arizona's early stage companies	Expand support for early-stage tech companies through Arizona Innovation Challenge (AIC) -Venture Ready program. Leverage and activate ACA involvement with the 1500+ start-ups that have been advised through the AIC.

5 Year Plan

Issue 1 Job Creation: Lead efforts to create 80,000 projected new jobs with a focus on high-wage target industries.

Description High-wage jobs are the foundation of economic prosperity. They drive the broader economy through higher household incomes and higher discretionary spending. The ACA will continue to focus its attraction, expansion and creation activities on companies offering higher-wage jobs, specifically through the identification and targeting of five established industries (Business Services, Manufacturing, Aerospace & Defense, Bioscience & Health Care and Innovation & Technology). These industries create high-wage jobs, generate exports and encourage capital in-flows, have strong supply chains and multiplier effects, and generate tax revenues that support public services.

Solutions:

Increase business attraction and expansion activities that will achieve key goals in targeted sectors.

Focus a dedicated team on each target industry and consistently support that industry throughout the ACA.

Engage industry stakeholders to maximize awareness and delivery of the Arizona value proposition.

Implement strategies for industry growth identified by the three Arizona Zanjeros subcommittees.

Issue 2 Entrepreneurial Vitality: Facilitate the creation of $210 million in new capital formation by ACA early-stage clients.

Description Arizona's long-term economic vitality relies on entrepreneurship, the creation of new businesses, and the commercialization of ideas and products. The ACA plays a leading role in Arizona's entrepreneurial ecosystem through a variety of programs that foster growth and technology commercialization in Arizona's early-stage companies.

Solutions:

Leverage the ACA's entrepreneurial programs and startup data into an analytics platform for benchmarking and growing Arizona's startup ecosystem.

Increase venture capital investments made in Arizona companies, both originating in Arizona, and from outside the state.

Launch a new public-private accelerator network to mature early stage ventures that attract follow-on venture capital.

Provide mentorship and growth services to new ventures from a network of accomplished business leaders, serial entrepreneurs, investors and technical experts.

Issue 3 Increased Exports: Expand export revenues across target industries by 25% over 2016 export revenues.

Description Exports drive economic growth through job creation, foreign direct investment and the overall expansion of gross state product. Arizona's superior geographic location, adjacent to some of the world's largest economies, make it an ideal location for companies looking to export their goods and services.

The ACA will attract new target industry employers engaged in producing goods and services for export, help existing Arizona exporters expand their business and provide assistance to existing Arizona companies looking to enter into the export market.

Solutions:

Strengthen Arizona's partnerships throughout Mexico, particularly in our neighboring state of Sonora.

Support the economic diversification and trade capacity of Arizona's border communities through engagement of public and private experts to mobilize Arizona's trade-facilitating assets.

Position Arizona as both a gateway and destination for international trade and investment with Mexico, Canada, Asia, and Europe.

Provide international trade and export assistance programs to increase the number of new exporters, new market exports, and global supply chain penetration.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To attract business to Arizona and grow existing Arizona business.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of projected new jobs to be created over three years by ACA clients.	21,102	16,000	21,404	16,000	16,000
Explanation: Projected jobs data for three-year period provided by clients.					
Projected capital investment to be made by ACA clients over three years. In millions of USD.	2,488	1,400	2,229	1,400	1,400
Explanation: Projected investment data provided by clients.					
Number of new opportunities added to the ACA's business attraction and expansion pipeline.	241	200	340	200	200
Explanation: Month-over-month change in opportunity records.					

◆ **Goal** 2 To create new Arizona business.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New capital formation by ACA early-stage clients. In millions of USD.	114	30	40.6	50	50
Explanation: Data provided by ACA early-stage clients.					

Agency Summary

CONSTABLE ETHICS STANDARDS AND TRAINING

Mike Cobb, Chairman
Phone: (928) 727-9728
A.R.S. § 22-136

Mission:

To set the professional standards for constables throughout Arizona, ensure that every constable is meeting his or her continuing education requirements, provide supplemental funding to counties for constable training and equipment, and investigate complaints against constables.

Description:

The Constable Ethics Standards & Training Board regulates constables, enforces a professional code of conduct for constables, and issues grants for constable training and equipment.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	387.6	520.3	520.3
Total Funding	**387.6**	**520.3**	**520.3**
FTE Positions	**0.0**	**0.0**	**0.0**

5 Year Plan

Issue 1 Website

Description Update website and maximise the capabilities

Solutions:
Staff to work with the Board to update the website and add new features to include training and complaint history database, historic documentation including board meeting agendas and minutes

Issue 2 Internal Policies and prcedures

Description Revise the CAN internal policies and procedures

Solutions:
Staff to update and revise the internal policies and procedures on handling complaints, public records requests, grant process and general record keeping

Issue 3 Constable Code of Conduct

Description Revise Constable Code of Conduct

Solutions:
Establish a subcommittee of membership to begin revision of 2009 constable code of conduct and present progress to the Board

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	520.3	520.3	520.3
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To investigate and resolve complaints against constables

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
The number of complaints against constables received by the Board	24	25	9	20	20
The number of complaints against constables resolved by the Board	24	25	9	20	20
The number of constables	88	88	94	94	94

◆ **Goal** 2 To distribute grants for constable training & equipment

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
The number of grants awarded	15	30	19	30	30

◆ **Goal** 3 To ensure compliance with constable training reporting requirements

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of constables reporting approved training	88	88	94	94	94
Percentage of constable training hours reported on time (within 30 days of completion)	100	100	100	100	100
Number of writs served	62,700	60,000	78,375	78,000	78,000

Agency Summary

REGISTRAR OF CONTRACTORS

Jeffrey Fleetham, Director
Phone: (602) 771-6777
A.R.S. § 32-1101 et seq.

Mission:

To protect the health, safety, and welfare of the public through a regulatory system designed to promote quality construction by Arizona contractors.

Description:

The Registrar of Contractors issues and maintains contractor licenses, investigates and cites violators, adopts construction standards, educates the public and contractors regarding such standards and rules and policies, and assists in dispute resolution.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ REGULATORY AFFAIRS	15,711.5	17,035.6	17,035.6
Agency Total:	**15,711.5**	**17,035.6**	**17,035.6**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	9,529.1	12,368.8	12,368.8
Other Non Appropriated Funds	6,182.5	4,666.8	4,666.8
Total Funding	**15,711.5**	**17,035.6**	**17,035.6**
FTE Positions	**102.0**	**109.7**	**109.7**

Registrar of Contractors

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Jeff Fleetham
Strategic Planner: Jeff Zimmerman
Last modified: 07/09/2019

Vision: To be the premier contractor licensing agency, wisely managing our resources and effectively navigating external relationships to further our mission. *Esse Quam Videri - To be, rather than to seem*

Mission: Protect the health, safety and welfare of the public through a regulatory system designed to promote quality construction by Arizona contractors.

Agency Description: The Arizona Legislature established the Registrar of Contractors in 1931.

A.R.S. § 32-1104 enumerates the powers and duties of the Registrar to issue and maintain contractor licenses, investigate and cite violators, adopt construction standards, educate the public and contractors regarding such standard and rules/policies, and assist in dispute-resolution.

Executive Summary:

Increase awareness of Agency activities. Consumers are not aware of the benefits of hiring licensed contractors and that hiring unlicensed entities to do construction comes with significant risk.

Modernize technology/expand self-service options. The expectations of the citizens we serve have fundamentally changed to wanting digital access to services anytime and anywhere.

Continue to reduce "red tape." "Decades of overreach by government and special interest groups have left burdensome regulations scattered throughout our economy," Governor Ducey.

Continue collaboration. The shortage of properly trained Construction Science Professional workforce continues to be a factor in the industry's recovery. Stakeholder collaboration has increased industry awareness, training and apprenticeship efforts..

Support "Open for business" with universal licensing. A person's skills don't diminish when they cross state lines. Legislation recently passed to allow those who have moved from other states to "get to work faster and without all the red tape."

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Increase awareness and improve access to and use of Agency services	2016	52,000 contacts made by ROC Investigators at jobsites and meetings with HOA's, Building Officials and Law Enforcement. ROC.AZ.Gov 94% increase visitors YOY (45K unique visits/month - mostly contractor search)
2	Modernize Agency technology solutions to meet customer needs in growing economy	2015	Successfully implemented the ROC instance of eLicensing to add new capabilities that better serve all citizens. Completed the migration of ROC servers to the cloud for improved service and $26K annual savings.
3	Reduce regulatory burden and scope confusion for improved government outcomes	2015	FY19 - 41 statutes and 10 rules changed/revised to remove unnecessary regulation and improve current language.
4	Collaborate with stakeholders to influence industry awareness, training and apprenticeship efforts	2017	Influenced industry leaders to promote construction career awareness in AZ through Build Your Future campaign. Connected National Association of Bunco Investigators (NABI) and National Association of State Contractors Licensing Association (NASCLA) to collaborate on transient construction scammers.
5	Make it easier for people who are already licensed in another state to get licensed in AZ	2019	Working on implementation. Handling FAQ's from applicants.

Registrar of Contractors

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Continue to increase outreach.	# of events # people reached % engagement (interactions with content)	Add Neighborhood Watch and Night Out Against Crime. Increase communication and outreach to involved parties – mail, email, phone, etc. with documentation in notes. Provide education on process steps/time frames to set expectation with involved parties.
2	Implement public-facing business portal and move all services online.	% services online % use of online services	Move to eLicensing 2.0 and deliver all services online. Communicate and support the public's online interaction with agency.
3	Reduce regulatory burden.	# of improved repealed statutes/rules implemented.	Implement revisions through rule changes, documentation, communication, and training.
3	Reduce regulatory burden.	Policy and process health assessment (ROCumentation audit)	Configure Agency policies and procedures to maintain unbroken and consistent operations
4	Collaborate with stakeholders to influence industry awareness, training and apprenticeship efforts.	# of Agency collaborations	Promote workforce development for Construction Science Technology Professions.
5	Make it easier for people who are already licensed in another state to get licensed in AZ	# applications submitted from another state % allowed	Engage in rulemaking and work on messaging for full implementation.

5 Year Plan

Issue 1 The shortage of properly trained Construction Science Professional employees continues to be a factor in the industry's recovery.

Description The shortage of properly trained Construction Science Professional employees continues to be a factor in the industry's recovery. Stakeholder collaboration has increased industry awareness, training and apprenticeship efforts.

Solutions:
Continue collaboration with Arizona Department of Education Career and Technical Education-Construction Career Pathways, Arizona Department of Economic Security AZ@Work and Apprenticeship Office, Governor's Office of Economic Opportunity, numerous trade associations, and industry champions.

Issue 2 Consumers are not aware hiring unlicensed entities to do construction comes with significant risk.

Description Consumers are not aware hiring unlicensed entities to do construction comes with significant risk. Substandard workmanship, inferior materials, violation of building safety codes and job abandonment are common findings of unlicensed investigations. The hiring person can be held personally liable for damages and injuries caused by the work and can be held in violation of performing unpermitted work and aiding and abetting unlicensed activity.

Solutions:
Increase awareness and improve access to and use of Agency services.

Issue 3 The expectations of the citizens we serve have fundamentally changed to wanting digital access to services anytime and anywhere.

Description Much of the Agency's work is informational and requires lots of paperwork. Paper-bound processes are increasingly seen as too slow and expensive. The expectations of the citizens we serve have fundamentally changed to wanting digital access to services anytime and anywhere. Self-service ROC isn't just convenient, it's expected.

Solutions:
Modernize Agency technology solutions to meet customer needs in growing economy

Issue 4 "Decades of overreach by government and special interest groups have left burdensome regulations scattered throughout our economy,"

Description "Decades of overreach by government and special interest groups have left burdensome regulations scattered throughout our economy," Governor Ducey. Continue to reduce "red tape."

Solutions:
Reduce regulatory burden and scope confusion for improved government outcomes

Issue 5 A person's skills don't diminish when they cross state lines. Legislation recently passed to allow those who have moved from other states to "get to work faster and without all the red tape."

Description A person's skills don't diminish when they cross state lines. Legislation recently passed to allow those who have moved from other states to "get to work faster and without all the red tape." Open for business/universal licensing

Solutions:
Make it easier for people who are already licensed in another state to get licensed in AZ

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

REGULATORY AFFAIRS

Jeff Zimmerman, Asst Dir
Phone: (602) 771-6890
A.R.S. § 32-1101 et seq.

Mission:

To protect the health, safety and welfare of the public through a regulatory system designed to promote quality construction by Arizona contractors.

Description:

The Arizona Legislature established the Registrar of Contractors in 1931. The ROC licenses and regulates residential and commercial contractors. ROC staff investigate and work to resolve complaints against licensed contractors and unlicensed entities.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	9,529.1	12,368.8	12,368.8
Other Non Appropriated Funds	6,182.5	4,666.8	4,666.8
Total Funding	**15,711.5**	**17,035.6**	**17,035.6**
FTE Positions	**102.0**	**109.7**	**109.7**

◆ **Goal** 1 To collaborate with stakeholders to influence industry awareness, training and apprenticeship efforts.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
# of Agency collaborations per month	2	2	4	2	2

◆ **Goal** 2 To modernize Agency technology and process solutions to meet customer needs in a growing economy.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
% of Services Online	25	80	10	80	100
% use of online services	0	0	0	45	60
Average days to issue a new license.	18	20	21	15	10
Average days to close complaint.	35	35	38	40	40
Total number of contractors licensed in state	38,613	39,200	39,641	41,000	42,000
Number of complaints received - unlicensed contractors	1,143	1,700	1,404	1,700	1,700
AMS Implementation Score	2.99	3.0	3.0	3.5	3.5
AMS Deployment %	91	95	80	90	90

◆ **Goal** 3 To reduce regulatory burden and scope confusion for improved government outcomes.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
# of Statues/Administrative Rules Improved or Repealed	39	10	51	10	10
Process health assessment score	0	0	0	3.0	3.5

◆ **Goal** 4 To make it easier for people who are already licensed in another state to get licensed in AZ

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
% applications submitted from another state allowed	0	0	0	90	90

◆ **Goal** 5 To increase awareness and improve access to and use of Agency services

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
# of events	0	0	2	2	2
# people reached	0	0	47,183	44,945	48,000
% engagement	0	0	32.4	30	30

Explanation: Interactions with content

Agency Summary

CORPORATION COMMISSION

Matthew Neubert, Executive Director
Phone: (602) 542-3931
Arizona Constitution Article XV, A.R.S. §§ 40-101 et seq.

Mission:

To exercise exclusive State regulatory authority over public service corporations (public utilities) in the public interest; to grant private-sector corporate status and maintain business entity records; to ensure the integrity of the securities marketplace; and to foster the safe operations of railroads and gas pipelines in Arizona.

Description:

The Corporation Commission is composed of five elected Commissioners. Staffing is provided in nine divisions, each headed by a division director serving under the Commission's executive director. The Commission's primary responsibilities are established in the Arizona Constitution and statutes and include reviewing and establishing public utility rates; regulating the sale of securities; ensuring pipeline and railroad safety; and serving as the repository of corporate and LLC business entity filings in accordance with State law.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	3,213.9	5,558.9	5,558.9
➢ HEARINGS	2,200.5	2,092.2	2,092.2
➢ CORPORATIONS	3,773.3	3,852.2	3,852.2
➢ SECURITIES	4,626.7	4,523.8	4,813.8
➢ RAILROAD SAFETY	999.0	916.2	1,112.2
➢ PIPELINE SAFETY	1,822.8	1,889.1	1,889.1
➢ UTILITIES	5,724.8	5,991.1	5,991.1
➢ LEGAL	1,797.5	1,851.7	1,851.7
➢ INFORMATION TECHNOLOGY	2,241.2	2,449.0	2,449.0
➢ COMMUNICATIONS	592.6	551.6	551.6
Agency Total:	**26,992.3**	**29,675.8**	**30,161.8**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	814.2	620.8	816.8
Other Appropriated Funds	25,571.2	27,148.0	27,438.0
Other Non Appropriated Funds	606.9	1,907.0	1,907.0
Total Funding	**26,992.3**	**29,675.8**	**30,161.8**
FTE Positions	**250.5**	**319.9**	**321.9**

5 Year Plan

Issue 1 Electronic filing for Utilities and Other Parties

Description The Commission set the goal to allow for A, B, and C utilities to electronically file documents for dockets by end of the Fiscal Year. The Commission was able to accomplish that goal by July 9th, 2019. As a result, filings can now be submitted online for all Utilities, as well as all Safety and Securities cases, The exception is cases involving the Power Plant and Transmission Line Siting Committee. Through the end of June 2019, the Commission received more than 1,540 electronic filings and that number is expected to continue to grow.

Solutions:

For FY2020 through FY2021, the Commission is working on a few remaining initiatives to make the Commission as paperless as possible regarding Utilities filings, case dockets, and Securities registrations.

1.To move Utility Annual Report filings online
a.Water Annual Reports integrated with the online filing of the Arizona Department of Water Resources (ADWR) and displaying in ACC systems by end of March FY2020 subject to resource availability from ADWR.
b.Second annual report by end of FY2021.

2.Respondent data tracking in eCommission by Dec 2019.

3.To make exhibit case hearings electronic, starting with Securities cases by the end of FY2020
a.Submission of exhibits electronically by the Securities Division and respondents.
b.Exhibits viewed electronically during hearing events.

4.To move to Securities Mutual Fund electronic payment by end of FY2020, subject to state approval timing.

5.To add electronic note taking capability to docket documents, to avoid printing and duplicating electronic documents by end of FY2021.

Issue 2 Succession Planning

Description Like every knowledge-based organization, our personnel are our most valuable resource. The Commission has been very successful in retaining its personnel for relatively long tenures. However, retention success has created two unintended but significant consequences: 1) limited career development/upward mobility, and 2) impending loss of knowledge base through retirement. Nearly 37 percent (36.6 percent) of the Commission's workforce is eligible for retirement today. This will increase to 56.5 percent by 2024.

Solutions:

The Commission is working to identify the skills gaps we expect to face within the next three fiscal years and identify potential internal candidates to fill these gaps. Likewise, we are seeking out new and better recruitment strategies for entry- and mid-level employees. To ensure we have the very best candidates. The Commission has started to utilize national resources, such as the National Association of Regulatory Utility Commissioners, for leadership recruitment. The Commission will partner with ADOA to continue to enhance and refine our recruitment process, as well as work to create better career paths for ACC employees.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	265.0	265.0	265.0
General Fund	8.0	8.0	8.0
Other Appropriated Funds	242.0	242.0	242.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	15.0	15.0	15.0

Program Summary

ADMINISTRATION

Kimberly Battista, Director
Phone: (602) 542-0747
A.R.S. § 40-105

Mission:

To provide the executive leadership and decision-making authority for the timely resolution of matters coming before the Commission. To plan, coordinate and direct the administrative and fiscal activities necessary to support the Commissioners and all divisions of the Commission.

Description:

The Administration Division is composed of the five elected commissioners and their staff, the Executive Director's Office and the Administrative Services Office. The Chief Executive Officer of the Commission is the Executive Director, who serves at the pleasure of the Commissioners. The Administrative Services Director oversees the administrative and fiscal functions of the Commission. The Administrative Services office provides accounting, payroll, purchasing, building management and personnel support for the entire Commission.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	3,212.9	5,556.9	5,556.9
Other Non Appropriated Funds	1.0	2.0	2.0
Total Funding	**3,213.9**	**5,558.9**	**5,558.9**
FTE Positions	**28.5**	**28.5**	**28.5**

◆ **Goal** 1 To ensure all matters coming before the Commission are resolved in a timely manner, in accordance with administrative procedures.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Open Meeting held	16	16	15	16	16
Open Meeting Agenda items	260	285	324	300	300
Staff Meetings held	17	17	16	17	17
Staff meeting Agenda items	36	40	83	75	75
Special Open Meeting / Workshops held	17	20	11	15	15
Special Open Meeting / Workshop Agenda Items	87	80	52	60	60
Public Comment meetings held	5	5	3	5	5
Public Comment Agenda items	14	15	9	9	9
Joint Appearance (3 or more Commissioners at an event)	8	10	15	10	10
Stakeholder meetings	0	0	8	10	10
Stakeholder Agenda Items	0	0	22	30	30

◆ **Goal** 2 To provide business services to all Divisions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Purchase orders issued	1103	1100	1119	1100	1100
Claims processed	1,496	1,500	1,512	1,500	1,500
Revenue deposited with the Treasurer (in millions)	81.5	90	62.6	65	65

Program Summary

HEARINGS

Jane Rodda, Chief Administrative Law Judge
Phone: (520) 628-6552
A.R.S. § 40-243 to 40-255

Mission:

To preside over administrative hearings and procedural conferences concerning complex utility and securities matters, and to write and submit Proposed Opinion and Orders for the Commissioners' consideration at Open Meeting.

Description:

The Hearing Division exercises the Commission's authority to hold public hearings and arbitrations on matters involving the regulation of public service corporations, the sale of securities, and the registration of non-municipal corporations. Under the direction of the Administrative Law Judges, proceedings are conducted through formal hearings that include taking sworn testimony, cross-examination of witnesses, admission of documentary and other physical evidence, and submission of oral arguments or post-hearing briefs. The Administrative Law Judges process Rate and Certificate of Convenience and Necessity applications under a procedural schedule that complies with the Commission's "timeclock" rules to ensure that Recommended Opinion and Orders are issued in a timely manner. The Hearing Division is also responsible for Commission record-keeping through its Docket Control Center. The Hearing Division is working towards improving efficiency through modernization of electronic processing and enhancing the Division's information technology and infrastructure.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,200.5	2,092.2	2,092.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,200.5**	**2,092.2**	**2,092.2**
FTE Positions	**19.0**	**23.0**	**23.0**

◆ **Goal** 1 To conduct fair and impartial hearings, and to propose timely, factually, and legally sound Orders for the Commissioners' consideration.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of hearings/arbitrations held	36	70	67	70	70
Procedural Orders issued	789	800	1,426	800	800
Proposed Orders issued	96	160	97	125	125

◆ **Goal** 2 To provide timely and efficient docket services to regulated utilities and consumers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Open Meeting items processed	1,595	1,600	1,660	1,600	1,600
Filings docketed (in thousands)	8.8	9.5	10.5	10	10
Number of Decisions	638	600	487	600	600

Program Summary

CORPORATIONS

Tanya Gibson, Director
Phone: (602) 542-3521
A.R.S. Title 10

Mission:

To approve corporate names and grant corporate or limited liability company status to entities organizing under the laws of the State of Arizona; to approve applications from foreign corporations and limited liability companies to transact business in this State; to collect annual reports from all corporations of record; and to maintain corporate and limited liability company records for the benefit of public record and service of process.

Description:

The Corporations Division is comprised of five sections (Examination, Records, Call Center, Customer Contact Center and Initial Processing). The Division also has two staff members in the Tucson office of the Corporation Commission to provide some services to the residents of Southern Arizona.

The Corporations Division approves for filing all articles of incorporation, amendments to articles, mergers, consolidations, withdrawals, and dissolutions for Arizona corporations; approves corporate and limited liability company (LLC) names; approves all articles of organization, amendments, changes and terminations for LLCs; grants authority to foreign corporations and LLCs transacting business in this State; propounds interrogatories when necessary; and may administratively dissolve or revoke corporations and LLCs that do not comply with specific provisions of Arizona law.

The Division collects from every corporation an annual report reflecting the current statutory agent, corporate address, amount of stock issued (for profits), lists of officers and directors, Certificate of Disclosure and Statement of Bankruptcy. The Division updates the corporation's public record with information provided by the annual report and also when amendments or changes are submitted by the corporation. The Division must maintain all information on corporations and LLCs in a data format conducive to public access; respond to public questions concerning Arizona corporations and LLCs; and respond to the needs of the business sector by disseminating information. The Division has limited investigatory powers and no regulatory authority. Arizona corporations and LLCs, however, may be administratively dissolved if certain statutory requirements are not met. Likewise, the authority of foreign (non-Arizona) corporations or LLCs to transact business in Arizona may be administratively revoked. The Division acts as an agent for Arizona corporations and limited liability companies whenever either entity does not maintain a statutory agent or when the agent cannot be located. In these instances, services of process directed to the entity are accepted by the Records Section on behalf of the entity.

Disparity in figures from 2018 to 2019: at the end of last fiscal year we implemented a new system. The transition of data from the old to new system, as well as the implementation of new processes, did not allow for the tracking of metrics as we have done in the past.

Funding:	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
General Funds	0.0	0.0	0.0
Other Appropriated Funds	3,773.3	3,852.2	3,852.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**3,773.3**	**3,852.2**	**3,852.2**
FTE Positions	**45.5**	**65.0**	**65.0**

◆ **Goal** 1 To provide customers with timely processing of their business documents.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of expedited requests achieved within 5 business days on average	69	100	39.52	90	100
Percent of regular requests achieved within 30 business days on average	100	100	85.63	90	100
Range of days to process expedited requests - corporate filings	3-28	3-5	131-136	3-5	3-5
Range of weeks to process regular requests - Corporate Filings	2-12	3-6	10-15	3-6	3-6
Total active corporations and Limited Liability Corporations recorded	942,753	980,000	992,806	1,004,000	1,016,000
Total filings received	326,679	400,000	422,457	517,450	610,450
Average turnaround time (days) for normal Annual Reports	22	20	4	3-5	3-5
Average turnaround time (days) for expedited Annual Reports	5	3	14	1-3	1-3
Annual reports filed	119,738	120,000	116,871	115,000	100,000
Number of e-filed Annual Reports	98,909	110,000	422,452	450,000	475,000

◆ **Goal** 2 To provide customers the most expedient public information services possible.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Division-wide incoming calls for corporate filings and records, annual reports, and calls to Tucson office	159,521	130,000	222,893	125,000	100,000
Division-wide calls answered	128,328	117,000	123,286	112,500	85,000
Days to process expedited requests - Records Section	60-90	1-3	1-3	1-3	1-3
Days to process regular requests - Records Section	90-120	5-7	5-7	5-7	5-7
Mail and counter work orders	15,092	9,800	3,857	3,500	3,000
Number of website hits (in millions)	29.7	31	30.6	32	34
Corps. Forms hits	937,000	800,000	511,203	550,000	575,000
Explanation: Changed from millions to thousands in FY18					
Total number of document images viewed (in millions)	12	20	.86	1.0	1.0

◆ **Goal** 3 To streamline and improve internal customer-related administrative/ operational functions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total mail received - division-wide, including faxes	83,708	55,250	62,434	55,500	53,000
Initial Processing Section documents scanned	218,735	110,000	80,434	100,000	125,000
Total Payments processed	307,913	320,000	284,580	300,000	315,000

◆ **Goal** 4 To expand training opportunities for division staff members.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General in-house class hours	588	800	477	450	450
Class hours per full-time equivalent (FTE)	12	16	15.75	10	10

◆ **Goal** 5 To continually improve customer service and customer satisfaction.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Overall satisfaction score from customer surveys on a 100% scale	55	55	27	50	60

Program Summary

SECURITIES

Mark Dinell, Director
Phone: (602) 542-0626
A.R.S. §§ 44-1801 to 44-2041

Mission:

To ensure the integrity of the securities marketplace through investigative actions as well as the registration and/or oversight of securities, securities dealers and brokers, investment advisers, and their representatives; to enhance legitimate capital formation; and to minimize the unnecessary burden and expense of regulatory compliance by legitimate businesses.

Description:

The Division reviews prospective offerings of securities to ascertain that full and fair disclosure is made to potential securities investors and that the terms of offerings are not inherently fraudulent. Securities dealers and salespersons are required to register with the Division. Investment advisers and their representatives are required to be licensed by the Division unless exempt. The Division reviews these applications and monitors the conduct of dealers and salespersons, investment advisers, and their representatives and investigates possible violations. Where the evidence warrants, the Division brings administrative, civil, or criminal enforcement actions. The Division is working towards improving efficiency through modernization of electronic processing and enhancing the Division's information technology and infrastructure.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	4,615.5	4,523.8	4,813.8
Other Non Appropriated Funds	11.2	0.0	0.0
Total Funding	**4,626.7**	**4,523.8**	**4,813.8**
FTE Positions	**45.0**	**58.0**	**58.0**

◆ **Goal** 1 To ensure that registered securities offered to public investors are structured fairly and equitably and fully disclose all information necessary for an investor to make an informed decision.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of applications/filings	28,327	26,000	28,033	26,000	26,000
Number of registrations/exemptions	31,412	28,000	30,400	28,000	28,000
Number of exemptions (Rule 126)	2,003	1,500	2,208	1,500	1,500
Number of months required to review applications	1.5	1.5	1.5	1.5	1.5
Number of other exemptions	82	75	69	75	75
Number of name changes	2,250	2,000	2,205	2,000	2,000
Number of dealer examinations	0	2	1	2	2
Number of dealer registrations	1,888	1,900	1,801	1,900	1,900
Number of salesman registrations	204,021	200,000	209,690	200,000	200,000
Number of IA registrations	626	500	648	500	500
Number of IAR registrations	9,271	8,000	9,669	8,000	8,000
Number of IA examinations	44	40	33	40	40
Number of Public Educational Programs	41	40	50	40	40
Number of Legislative initiatives	0	0	0	0	0

◆ **Goal** 2 To reduce the public investor losses and protect Arizona's reputation from damage caused by fraudulent sales and services peddled to victims by unlicensed and unregistered frauds.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of complaints	148	200	154	200	200
Enforcement action: number of investigations initiated	75	40	70	40	50
Enforcement action: number of subpoenas issued	196	200	242	200	200
Commission Order: Number of Cease and Desist Orders	25	25	26	25	25
Commission Order: Fines- Number of Respondents	55	30	58	30	30
Commission Order: Restitution - Number of Respondents	43	30	58	30	30
Number of civil cases initiated	1	0	0	0	0
Number of indictments - True Bills	5	5	5	5	5
Number of civil proceedings closed	1	2	4	2	2
Number of civil proceedings open at year end	3	2	8	2	2
Total examinations under oath	24	40	23	40	40
Number of cases to hearing	1	2	3	2	2
Administrative Proceedings: Number Respondents	49	30	48	30	30
Number of administrative proceedings initiated	15	15	17	15	15
Civil Proceeding Initiated : Number of Defendants	5	5	0	5	5
Number Criminal Defendants - Indicted	5	5	10	5	5
Number of Criminal Restitution Orders	4	8	9	8	8
Number of Defendant Pleas and Convictions	6	8	5	8	8

Explanation: 30

Number of Investigations Closed	52	20	74	20	30
Number of Investigations Open at Year End	82	60	78	60	60
Number of Respondents: Commission Orders	63	40	70	40	40

Program Summary

RAILROAD SAFETY

Chris Watson, Director
Phone: (602) 262-5601
A.R.S. §§ 42-201 et. seq.

Mission:

To ensure that the citizens of Arizona as well as railroad employees throughout the State have a Railroad System that is operated and maintained in as safe a manner as possible.

Description:

The Railroad Safety Section is responsible for inspection activities on both intrastate and interstate railroads operating in Arizona. Inspection activities are carried out under the authority of the federal government by way of an Interagency Agreement between the Commission and the Federal Railroad Administration (FRA). It is through this agreement that the Commission's Rail Safety Staff obtains the authority to fulfill its mission objectives.

Under the terms of the agreement, Commission Inspectors must be FRA certified. Inspectors conduct inspections, informing railroads of any defects that are found. Defects must be corrected and verified by a re-inspection. If an inspector finds that defects were not corrected and no effort was made to address the problem, he/she may submit a federal violation against the company. The Division is working towards improving efficiency through modernization of electronic processing and enhancing the Division's information technology and infrastructure.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	814.2	620.8	816.8
Other Appropriated Funds	184.8	295.4	295.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**999.0**	**916.2**	**1,112.2**
FTE Positions	**8.0**	**8.2**	**10.2**

◆ **Goal** 1 To promote and ensure the safe operation of Arizona railroads.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Miles of railroad track inspected	2,922	2,200	2,650	1,600	2,800
Freight cars inspected	2,085	2,100	1,544	1,800	1,800
Locomotive units inspected	278	175	162	200	200
Operating practices inspections	160	150	146	120	120
Hazardous materials inspections	2,471	2,500	1,563	1,500	2,000
Grade crossing inspections	642	350	478	375	350
Industrial spur track inspections	10	12	17	15	20
Federal violations filed	21	18	60	25	25
Derailments	27	25	32	30	25
Number of grade crossing accidents	12	20	18	18	18
Other accidents	3	4	54	40	35
Grade crossing complaints	88	30	53	40	35
Other complaints	14	10	2	10	10
Operation Lifesaver presentations	2	3	0	2	4
HazMat Accidents/Incidents	15	15	8	15	10

◆ **Goal** 2 To ensure rail/highway grade crossings safety.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Grade crossings improved	9	8	7	8	8
New Grade Crossings Installed	0	1	0	0	0
Signal & Train control inspections	119	120	109	120	120
Signal system components inspected	1,178	1,000	1,019	1,100	1,100

Program Summary

PIPELINE SAFETY

Chris Watson, Director
Phone: (602) 262-5601
A.R.S. §§ 42-201 et. seq.

Mission:

To enforce federal and state pipeline safety regulations and to provide training and guidance to pipeline operators to ensure safe operation of pipeline facilities. To enforce the Arizona Underground Facilities Law and to provide training to facility owners and excavators in an attempt to reduce damage to underground facilities and to eliminate personal injuries and deaths associated with underground facilities.

Description:

The Pipeline Safety Office maintains staff in Phoenix and Tucson. The Office has the responsibility for the inspection of all intrastate pipeline operators within the State of Arizona. The Office also has the responsibility to enforce the Arizona Underground Facilities Law and to provide training to facility owners and excavators. The Office conducts training classes for operators of master meter gas systems and is an active participant in the Arizona 811 program. The Division is working towards improving efficiency through modernization of electronic processing and enhancing the Division's information technology and infrastructure.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,245.5	0.0	0.0
Other Non Appropriated Funds	577.3	1,889.1	1,889.1
Total Funding	**1,822.8**	**1,889.1**	**1,889.1**
FTE Positions	**15.0**	**19.0**	**19.0**

◆ **Goal** 1 To protect the public and the environment by providing the highest level of pipeline safety awareness.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Fines collected (in thousands)	27.5	30	33	35	35
Total intrastate inspections (major operator only)	160	250	253	250	260
Violations: Intrastate (major operators only) Prior years include master meter operators	636	600	490	600	250
Violations: Master Meter	1,343	1,500	2,116	1,500	1,500
Total master meter inspections	1,427	1,500	1,790	1,600	1,650
Total number of code compliance inspections	1,587	1,565	804	600	800
Total Underground Facilities Law violations written	121	100	84	150	150
Random Underground Facilities Law inspections	146	146	71	180	100
Seminars/Public awareness meetings held	51	30	23	25	25
Investigated incidents	314	200	358	250	250
Total number of Interstate pipeline safety violations	0	20	0	0	0
Total interstate inspections	10	14	16	15	15

◆ **Goal** 2 To ensure the pipeline operators in Arizona operate gas pipeline systems as safely as possible.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total intrastate violations corrected (major operators only) *Past years included Master Meter violations corrected	178	75	393	150	150
Major pipeline operators training classes held	2	0	0	0	2
Master Meter training classes held/persons attending	22/209	30/400	14/181	15/200	20/300
One Call training classes held/persons attending	29/1,898	25/1,800	37/2,096	30/1,900	30/1,900
Total master meter violations corrected	1,584	1,300	1,870	1,600	1,600

◆ **Goal** 3 To receive and maintain an interagency agreement with the Federal Dept. of Transportation to ensure safe operations of interstate pipeline.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Renewal of interstate agreement for gas and liquid	2	2	2	2	2

◆ **Goal** 4 To maintain and improve the professional skills of the ACC pipeline staff.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Development/updating of training courses for staff	15	6	19	15	15

Program Summary

UTILITIES

Elijah O. Abinah, Director
Phone: (602) 542-4251
A.R.S. § 40-201 et. seq.

Mission:

To recommend thoroughly researched, sound regulatory policy and rate recommendations to the Commissioners, which are based on a balanced analysis of the benefits and impacts on all stakeholders and are consistent with the public interest.

Description:

The Utilities Division carries out its responsibilities through six organizational sections: Revenue Requirements & Audits, Policy & Programs, Engineering, Consumer Services, Administrative Services and Directors office. The Utilities Division makes specific recommendations to the Commissioners to assist them in reaching decisions regarding public utility rates, financial condition and quality of service for approximately 560 traditional utilities. The Division implements Commission rules. The Division conducts research, presents evidence in hearings, and contracts with utility rate analysts and expert witnesses in carrying out its responsibilities. The Division also monitors compliance with Commission decisions. The staff conducts public workshops and other public proceedings on various regulatory topics. The Division is working towards improving efficiency through modernization of electronic processing and enhancing the Division's information technology and infrastructure.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	5,707.4	5,975.2	5,975.2
Other Non Appropriated Funds	17.4	15.9	15.9
Total Funding	**5,724.8**	**5,991.1**	**5,991.1**
FTE Positions	**54.5**	**78.2**	**78.2**

◆ **Goal** 1 To ensure that utility service within the Commission's jurisdiction is available to all consumers at authorized rates.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Utilities regulated	558	542	553	555	555
Rate cases completed	27	33	37	32	32
Tariff applications processed	196	225	113	154	154

◆ **Goal** 2 To ensure that any transition of the telecommunications and electricity generation markets from the current regulated monopoly structure to one of competition maintains safe and reliable service.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
CLEC applications filed	47	54	43	45	45
ILEC applications filed	5	7	5	5	5
CLEC Interconnection Agreements filed	11	18	15	13	13
Certifications processed: CLECs	15	17	13	14	14
Certifications processed: ILEC	0	1	0	1	1
CLEC interconnection agreements processed	19	17	13	16	16
Total Telcom applications filed	62	81	63	62	62
Total Telecom applications processed	51	52	47	49	49

◆ **Goal** 3 To maximize the Division's operating efficiency through modernization of electronic processing and enhancing the Division's information technology.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Consumer complaints/requests submitted electronically	3,924	3,867	3,799	3,861	3,861

◆ **Goal** 4 To maintain public involvement, accessibility, and regulatory oversight by conducting workshops, forums, and community outreach programs.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of public awareness functions	27	28	39	33	33
Number of water workshops	4	3	0	2	2
Number of electric workshops	5	5	12	8	8

Program Summary

LEGAL

Robin Mitchell, Chief Counsel
Phone: (602) 542-6029
A.R.S. § 40-106

Mission:

To provide legal representation to the Corporation Commission in the performance of all of its powers and duties, except for matters pertaining to the activities of the Securities Division.

Description:

Matters handled by the Legal Division fall into five general categories: Commission dockets; federal regulatory dockets; litigation; other administrative matters; and special projects. The Legal Division represents the Commission in all matters relating to public utility-rate setting, and in other areas not associated with the Securities Division. Securities-related legal cases are litigated by the Attorney General's Office. The Division is working towards improving efficiency through modernization of electronic processing and enhancing the Division's information technology and infrastructure.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,797.5	1,851.7	1,851.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,797.5**	**1,851.7**	**1,851.7**
FTE Positions	**15.0**	**19.0**	**19.0**

◆ **Goal** 1 To provide efficient, high-quality legal representation.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Education and training expenditures ($)	13,200	7,200	6,236	7,200	7,200
Attorney legal education classes completed	53	20	12	20	20
Job-related education classes for attorneys	50	75	71	75	75
Classes completed: job-related education for support staff	25	20	0	20	20
Expenditures on advanced research tools	34,847	33,000	33,271	33,000	33,000

◆ **Goal** 2 To provide high-quality representation in administrative matters before the Corporation Commission.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Docketed matters handled	376	500	320	500	500
Administrative hearing days handled by the Legal Division	104	30	57	30	30
Orders to Show Cause prepared by the Legal Division	2	1	0	1	1
Formal complaints prepared by the Legal Division	0	1	1	1	1
Discovery/Data Requests/ Responses/ Oppositions prepared	170	300	152	300	300
Motions, Briefs, & other pleadings prepared	214	300	187	300	300

◆ **Goal** 3 To provide high-quality representation in Judicial matters before various courts.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Commission actions appealed to courts	8	3	22	3	3
Motions, briefs and other pleadings filed in courts	32	20	70	20	20

◆ **Goal** 4 To provide high-quality legal advice to the Commission.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Open/Special Open Meetings attended by Legal counsel	45	40	50	40	40
Explanation: On numerous occassions, more than 1 staff member attend.					
Line Siting hearing days attended by counsel	4	4	0	4	4
Explanation: On numerous occassions, more than 1 staff member attend.					
Commission Staff Meetings attended by counsel	16	20	14	20	20
Explanation: On numerous occassions, more than 1 staff member attend.					

Program Summary

INFORMATION TECHNOLOGY

Letty Butner, IT Director
Phone: (602) 542-0671
A.R.S. § 40-105 (B)(2)

Mission:

To provide accurate, efficient, and timely technology design, development, implementation, communications and maintenance support services to the agency and its respective divisions.

Description:

The Information Technology Division provides technology services and support such as application development, network services, hardware support, and project management for the entire Commission. The Division is working towards improving efficiency through modernization of electronic processing and enhancing the Division's information technology and infrastructure.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,241.2	2,449.0	2,449.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,241.2**	**2,449.0**	**2,449.0**
FTE Positions	**16.0**	**17.0**	**17.0**

◆ **Goal** 1 To provide electronic interaction effectively with the public and other governmental entities. In addition, to implement effective protocols, software, and communication with the public to allow them to retrieve and submit data, forms, and all other documents.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Corporations available via the internet (in thousands)	942.8	970	1541.3	1570	1600
Number of dockets available via the internet	20.1	2.6	21.6	22.2	23.0
Number of internet-submitted electronic filings to the ACC (in thousands)	191	21	284.6	300	320

◆ **Goal** 2 To use information technologies effectively to enhance intra-agency communications and performance.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of hits to agency intranet pages (in thousands)	59.9	62.0	61.5	62.0	62.0
Explanation: metric change this year with new portal site					
Percentage of staff using electronic document management integrated with business processes.	79	79	80	80	80

Program Summary

COMMUNICATIONS

Holly Ward, Director
Phone: (602) 542-3847
A.R.S. § 40-105 (B)(2)

Mission:

To provide the television broadcast and webcast production of all meetings and hearings of the Commission for public viewing and for archiving. Additionally, the Division produces video tutorials and short educational segments on the many varied duties of the Commission. The Division is responsible for all interactions with the media and providing information to the public via the Communications Manager.

Description:

Maintain all live broadcast of meetings, open meetings, hearings and workshops held at the Commission. To develop, direct and produce educational and informational segments for the public.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	592.6	551.6	551.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**592.6**	**551.6**	**551.6**
FTE Positions	**4.0**	**4.0**	**4.0**

◆ **Goal** 1 To provide video and audio production of agency meetings, as well as, educational and informational segments.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Yearly assessment video of all Commissioners	0	0	1	1	1
Introduction video for all Commissioners	0	0	1	1	3
Agency Recognition Committee videos	0	0	2	2	2
Safety and training videos for Division projects	0	0	16	10	10
Open Meetings broadcast	0	0	22	15	20
Hearings broadcast	0	0	130	100	100
Special Open Meetings broadcast	0	0	18	15	15
Staff Meetings broadcast	0	0	15	15	15
Workshops broadcast	0	0	7	8	8

◆ **Goal** 2 To develop proactive internal and external communication strategies to help explain and demystify Corporation Commission proceedings.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
News	0	0	1,680	2,280	3,000
Notices and Agendas	0	0	1,774	2,374	2,974
Business Buzz	0	0	2,676	3,276	3,876
Twitter followers	0	0	0	2,500	3,000
Facebook Likes	0	0	0	1,800	2,500
LinkedIn Followers	0	0	0	1,000	1,200

Agency Summary

DEPARTMENT OF CORRECTIONS

Charles L. Ryan, Director
Phone: (602) 542-5225
A.R.S. § 41-1601

Mission:

To serve and protect the people of Arizona by securely incarcerating convicted felons, providing structured programming designed to support inmate accountability and successful community reintegration, and providing effective supervision for offenders conditionally released from prison.

Description:

The Department of Corrections (ADC) serves and protects the people of Arizona by incarcerating inmates in correctional facilities and supervising conditionally released offenders in the community. During incarceration, welfare and health care services, including medical, dental, and mental health, are provided to inmates. In addition, structured programming - including work, education, career training, substance abuse treatment, sex offender treatment, spiritual services, and recreation - is provided to inmates to promote employability, literacy, sobriety, and accountability to crime victims and to increase the likelihood that inmates will become law-abiding citizens upon release. In the community, the Department supervises offenders released from prison to serve the remainder of their sentence on community supervision. The Department ensures the accurate release, effective re-entry, transition, and supervision of released offenders, utilizing a continuum of supervision services, strategies, evidence-based programs, and meaningful incentives and sanctions. The Department also facilitates the swift return to custody of those offenders who violate conditions of supervision and who represent a serious threat to the safety of the community.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ PRISON OPERATIONS AND SERVICES	1,128,095.6	1,223,957.2	1,246,209.6
➢ COMMUNITY CORRECTIONS	25,963.5	31,064.1	33,357.5
➢ ADMINISTRATION	52,781.2	53,470.4	88,058.2
Agency Total:	**1,206,840.3**	**1,308,491.7**	**1,367,625.3**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,088,900.2	1,167,111.3	1,245,729.2
Other Appropriated Funds	40,296.5	53,280.6	49,939.9
Other Non Appropriated Funds	77,643.6	88,099.8	71,956.2
Total Funding	**1,206,840.3**	**1,308,491.7**	**1,367,625.3**
FTE Positions	**9,819.0**	**9,829.0**	**9,852.0**

Department of Corrections

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Charles L. Ryan
Strategic Planner: Denise M. Stravia
Last modified: 07/11/2019

Vision: Safer communities through effective corrections

Mission: To serve and protect the people of Arizona by securely incarcerating convicted felons, by providing structured programming designed to support inmate accountability and successful community reintegration, and by providing effective supervision for those offenders conditionally released from prison.

Agency Description: The Arizona Department of Corrections (ADC) carries out its mission by incarcerating inmates in correctional facilities and supervising conditionally released offenders in the community. During incarceration, health and welfare services are provided to inmates. Programs such as work, education, and substance abuse treatment increase the likelihood of success upon release. ADC supervises offenders released to community supervision and supports effective reentry using a continuum of strategies and evidence-based programs. ADC facilitates return to custody of offenders who represent a threat to the safety of the community.

Executive Summary: Strategies align to achieve ADC's 10-year goal: *Engaged employees and communities committed to a 25% reduction in recidivism.* **Staff Engagement** – ADC faces significant vacancies and turnover among Correctional Officers. Initiatives include conducting a breakthrough project on employee retention, utilizing available compensation strategies, and expanding the Field Training Officer program. **Correctional Environment and Operational Practices** – Inmate violence results in injury and increased security requirements and is detrimental to a prosocial environment. Initiatives include training staff on inmate management/non-violent crisis intervention, enhancing contraband detection, and increasing inmate work/program involvement. **Community Support and Inmate Preparation** – The recidivism rate for Arizona inmates is 40.6%. Reducing recidivism will help reduce prison population, decrease spending for prisons, and enhance community safety. Initiatives include leading the state-level recidivism reduction breakthrough project, improving inmate programs/increasing program completion, promoting community engagement/volunteerism, improving use of offender interventions/sanctions, and increasing successful completion of community supervision.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategic Priority	Start Fiscal Year	Progress / Successes (FY2019)
1	Staff is engaged in recidivism reduction	2018	• Correctional Officer IIIs trained in Motivational Interviewing techniques • Implemented Spot Incentive Program for staff recognition • Formalized Lieutenant Field Training Officer Program
2	The environment is conducive to recidivism reduction	2018	• Correctional Officers trained in inmate management/crisis intervention • Staff assaults A3 in progress; multi-state effort • Centralized housing for inmates with mental health issues to improve specialized safety, security, and service delivery
3	Operational practices support recidivism reduction	2018	• Increased the number of Health Services Contract Monitoring staff • Awarded contract for new health care provider, effective July 1, 2019 • Awarded contract for inmate tablets • Completed deployment of AMS down to line level
4	Communities are committed to supporting recidivism reduction/reentry	2018	• Designated position as agency Volunteer Coordinator • Engaged with community through participation in Arizona Town Halls • Collaborating with Special Olympics and Thunderbird Charities for multi-purpose hub facility at Perryville prison • Received AmeriCorps grant to enhance program resources • Partnered with Cenpatico to train inmates as Recovery Support Specialists
5	Inmates are engaged in preparation for successful reentry	2018	• Identified available certifications for in-demand trades prior to release • Implemented audit to ensure that inmate mental health needs are met prior to release • Decreased 1 and 2-year recidivism rates • Initiated Fleet 100 program for inmate training and cost-savings

Department of Corrections

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	1. Reduce Correctional Officer II vacancies	• Number of Correctional Officer II vacancies	Develop a comprehensive 'culture plan' to maximize current initiatives, including: • Motivational Interviewing training • Utilize available compensation strategies • Formalize Captain Field Training Program • Retention (Breakthrough Project – A3) • CO Call-Ins (Breakthrough Project – A3) • Expanding/formalizing employee feedback mechanisms and internal communication
	2. Increase employee engagement	• Percent of positive responses to ADOA Annual Employee Engagement Survey • Percent of employee ideas implemented	
2	1. Reduce inmate on staff assaults	• Number of inmate on staff assaults per month	• Staff Assault (Breakthrough Project – A3) • Develop a comprehensive model/multi-year plan for physical plant preventive maintenance , repair, and replacement that optimizes efficient use of resources (Year 1: Emphasis on lock replacement)
	2. Reduce staff assaults resulting in injury	• Number of inmate on staff assaults resulting in injury • Days of work lost due to inmate on staff assault injury • Percent of identified locks replaced	
	3. Reduce inmate suicide attempts	• Number of inmate suicide attempts per month	Mental Health safety, security, and service delivery
	4. Reduce inmate self-injurious behavior incidents	• Number of self-injurious behavior incidents per month	
	5. Reduce inmate major contraband	• Number of major contraband finds per month	Contraband interdiction and detection
3	1. Increase Inmate Health Services stipulation agreement overall compliance	• Health Services stipulation agreement compliance	• Establish a formal Continuous Quality Improvement (CQI) plan/process for Health Services (Year 1: Establish baseline data, explore expanding partnerships) • Monitor vendor compliance with contract requirements for provision of inmate health care
	2. Increase inmate work/program involvement	• Percent of inmates involved in work/programs	• Cognitive Restructuring as a major program • Tablets and WIFI for use in inmate programming
4	1. Increase volunteer hours	• Number of volunteer hours per month	Coordinated, agency-wide volunteer program
5	1. Increase high risk, high needs inmates program completions	• Number of high target , high needs inmates completing programming	High Risk/High Needs (Breakthrough Project – A3)
	2. Increase inmate program availability and effectiveness	• Number of program slots available	Build and monitor capacity to meet inmate population need for programs
	3. Reduce reincarceration due to technical violations	• Number of offenders reincarcerated due to technical violations	• Formal vocational certifications • Use of interventions and sanctions, including release planning and post-release best practices • Optimize Community Corrections
	4. Increase successful completion of community supervision	• Percent of offenders successfully completing community supervision	

5 Year Plan

Issue 1 Building an Engaged and Skilled Workforce

Description ADC faces significant vacancies and high turnover, particularly among Correctional Officers.

Solutions:

FY 2020 strategies continue efforts on the employee retention breakthrough project, utilizing available compensation strategies, and expanding the Field Training Officer program. New strategies for FY 2020 include developing a comprehensive 'culture plan' to integrate and maximize all initiatives related to this issue, along with expanding/formalizing employee feedback mechanisms and internal communication strategy.

Issue 2 Managing the Inmate Population

Description Incidents of inmate violence result in possible injury and increased security requirements and are detrimental to creation of a prosocial program environment.

Solutions:

FY2020 strategies include ongoing staff training on positive interactions with inmates, continuing work on the staff assault breakthrough project, enhancing contraband interdiction and detection, and building program capacity and utilization. New initiatives for FY2020 focus on safety of the physical environment through development of a comprehensive model/multi-year plan for physical plant preventive maintenance, repair, and replacement that optimizes efficient use of resources and promotes staff and inmate safety; year 1 emphasis will be on lock replacement. In addition, ADC seeks to reduce inmate suicides, suicide attempts, and incidents of self-injurious behavior through increased mental health safety, security and service delivery.

Issue 3 Reducing Recidivism through Reentry Preparation and Support

Description The current recidivism rate for Arizona inmates is 40.6%. Reducing recidivism will help to reduce prison population, decrease spending for prisons, and enhance community safety. In FY 2017, the Department of Corrections established the following 10-year goal: Engaged employees and communities committed to a 25% reduction in recidivism.

Solutions:

FY2019 strategies carried forward into FY2020 include: Leading the state-level breakthrough project on recidivism reduction; improving inmate programs, to include expanding education, substance abuse program, and Second Chance Center capacity; increasing emphasis on inmate program completions; increasing community engagement; and improving use of offender interventions and sanctions, including release planning and post-release best practices. To further increase support for successful reentry, ADC's strategic plan includes an initiative to optimize Community Corrections.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	9,589.0	9,589.0	9,589.0
General Fund	1,213,903,300.0	1,213,903,300.0	1,213,903,300.0
Other Appropriated Funds	49,939,900.0	49,939,900.0	49,939,900.0
Non-Appropriated Funds	63,337,300.0	63,337,300.0	63,337,300.0
Federal Funds	8,618,900.0	8,618,900.0	8,618,900.0

◆ **Goal** 1 To create a more effective and efficient adult corrections system in Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
# of Agency FTE Count	8,887	NA	8,612	NA	NA
Explanation: As of 6/30/2019					
AMS Deployment (percent)	34.0	100.0	93.0	100.0	100.0
% of Services Online	89.0	100.0	100.0	100.0	100.0

Program Summary

PRISON OPERATIONS AND SERVICES

Charles L. Ryan, Director
Phone: (602) 542-5225
A.R.S. § 41-1602

Mission:

To ensure public and staff safety by imprisoning inmates, providing inmate programming opportunities, providing statutorily required health care, and administering prison operations in an environment that is secure and humane.

Description:

This program establishes prison operations and administers prison budgets. This encompasses security; physical plant; personnel and business office functions; inmate records; occupational safety; fleet/motor pool; warehouse; laundry; food services; classification; mail and property; telecommunications and security systems; information technology; inmate programs including work, treatment, education, religious services, and recreation; and Arizona Correctional Industries, which develops and manages revenue-generating inmate work activities. This program also ensures provision of medical, dental, and mental health services through a private vendor that is monitored by the Department for contract compliance and quality of care.

This Program Contains the following Subprograms:

- Security
- Inspections and Investigations
- Inmate Education, Treatment, and Work Programs
- Health Care
- Private Prisons
- Prison Management and Support

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,028,788.9	1,104,953.2	1,129,808.7
Other Appropriated Funds	38,865.8	50,575.0	48,488.8
Other Non Appropriated Funds	60,440.9	68,429.0	67,912.1
Total Funding	**1,128,095.6**	**1,223,957.2**	**1,246,209.6**
FTE Positions	**9,243.5**	**9,253.5**	**9,268.5**

Subprogram Summary

SECURITY

Tara Diaz, Division Director
Phone: (602) 542-3894
A.R.S. § 41-1604

Mission:

To maintain effective custody and control over inmates in an environment that is safe, secure, and humane.

Description:

This subprogram is responsible for implementation and oversight of operational areas of inmate accountability; key control; security/facility inspections; inmate regulations; inmate transportation; emergency preparedness; incident management; inmate escape prevention/response; searches; substance abuse detection, interdiction, and control; execution procedures; inmate death or hospitalization notification/disposition; tool and restricted product control; inmate levels of supervision; armory procedures; and security systems. It also includes evaluating and allocating security staff and providing for their in-service training; implementing gang management strategies; developing operational intelligence (acquisition, analysis, storage, dissemination); and enhancing security and safety measures through utilization of service dog resources and security technology transfer and product review.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	700,048.7	766,279.3	772,245.5
Other Appropriated Funds	12,039.7	12,160.8	12,160.8
Other Non Appropriated Funds	0.0	0.1	0.1
Total Funding	**712,088.4**	**778,440.2**	**784,406.4**
FTE Positions	**7,805.0**	**7,805.0**	**7,805.0**

◆ **Goal** 1 To safeguard the public, staff, and inmates through the efficient, safe, and secure operation of prisons

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of escapes of inmates from any location	3	0	0	0	0
Number of staff assaults (average per month)	40	22	59.9	45.3	42.7

Explanation: Initiative to reduce inmate on staff assaults extends into FY2020. Targets have been revised.

Contraband volume (average per month)	222.0	189.0	249.2	169.8	145.6
Number of suicides	7	0	7	6	6

Explanation: National standard is 6 suicides per year. Source of the suicide rates in state prisons comes from the Bureau of Justice Statistics, covering years 2001 and 2005-2014.

Number of suicide attempts (per month)	NA	NA	9.7	8.0	8.0

Explanation: Revised counting rules/definition for this data in October 2018. Separated suicide attempts from self-injurious behavior. Revised definition of suicide attempt is: any act of self-harm with the intention to end one's life. Intentionality shall be determined by health care or mental health professionals

Subprogram Summary

INSPECTIONS AND INVESTIGATIONS

Charles L. Ryan, Director
Phone: (602) 542-5225
A.R.S. § 41-1604

Mission:

To promote Department safety and security by conducting administrative, civil, criminal, and gang-related investigations; conducting daily, weekly, monthly, and annual inspections and performance audits; and ensuring agency compliance with fire and life safety codes.

Description:

This subprogram conducts background and administrative investigations in support of the hiring and retention of professional staff; conducts investigations into criminal acts and civil violations committed by inmates, staff, or others, to support successful prosecution and/or effective applications of discipline; develops intelligence, and investigates Security Threat Group activity to support management of inmates and the safe operation of institutions; conducts annual compliance audits of each prison; and provides consultation and assistance in fire and life safety code compliance to support staff, inmate, and environmental safety in all agency matters.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,656.1	8,176.7	8,176.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.2	0.6	0.6
Total Funding	**7,656.3**	**8,177.3**	**8,177.3**
FTE Positions	**101.0**	**101.0**	**101.0**

◆ **Goal** 1 To conduct investigations and audits to ensure State prisons and Department staff are compliant with Department policies and procedures

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average annual Arizona State-Operated Prison compliance audit percent score	91.05	92.50	92.77	92.50	93.00

Subprogram Summary

INMATE EDUCATION, TREATMENT, AND WORK PROGRAMS

Karen Hellman, Division Director
Phone: (602) 542-5155
A.R.S. § 41-1604, 1604.02, 41-1623

Mission:

To require inmate participation in self-improvement programming opportunities and services including work, education, substance abuse treatment, sex offender treatment, and spiritual access designed to prepare inmates to be responsible citizens upon release.

Description:

This subprogram establishes structured access to work, education, substance abuse treatment, sex offender treatment, and spiritual services to improve the inmate's successful reintegration into the community, in accordance with Department goals, mandates, and statutes.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	26,864.1	27,980.2	38,202.1
Other Appropriated Funds	1,667.9	2,667.2	2,681.0
Other Non Appropriated Funds	54,739.6	59,080.1	58,563.2
Total Funding	**83,271.6**	**89,727.5**	**99,446.3**
FTE Positions	**531.0**	**531.0**	**546.0**

◆ **Goal** 1 To maximize inmate participation in Department programming opportunities

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Inmate work/program involvement (average monthly percent)	89	76	72.5	76.0	76.0

Explanation: Data source and counting rules for this measure were revised at the beginning of FY 2019 to increase the precision of this measure; this resulted in lower estimates for FY 2019 and FY 2020

Inmate Program Completions (average per month)	896	915	885	958	1054
Inmate Program Utilization Rate (average percent per month)	89.4	90.0	92.5	90.0	92.0
High risk, high needs inmate program completions (average percent per month)	22.3	32.0	26.9	32.0	38.1
Volunteer hours (average per month)	3,972	4,220	4,046	4,360	4,549

Subprogram Summary

HEALTH CARE

Richard Pratt, Assistant Director
Phone: (602) 255-2491
A.R.S. § 31-201.01, 41-1604

Mission:

To ensure the provision of medical, dental, and mental health care to inmates through a private vendor.

Description:

This subprogram ensures that the inmate population is provided with statutorily required medical, dental, and mental health services through a private vendor that is monitored by the Department for contract compliance and quality of care.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	6,093.0	7,608.6	7,608.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**6,093.0**	**7,608.6**	**7,608.6**
FTE Positions	**35.0**	**45.0**	**45.0**

◆ **Goal** 1 To provide the inmate population with statutorily required medical, dental, and mental health services through a private vendor that is monitored by the Department for contract compliance and quality of care.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Vendor staffing levels (percent per month)	97.0	100.0	91.5	100.0	100. 0
Stipulation Agreement compliance (average percent per month)	91.0	95.0	91.0	95.0	95.0

Subprogram Summary

PRIVATE PRISONS

Tara Diaz, Division Director
Phone: (602) 542-3894
A.R.S. § 41-1604, 1604-02

Mission:

To develop private prison contracts and provide oversight to monitor their safe, secure and cost-effective operation, while imprisoning inmates according to the Department's mission.

Description:

This subprogram manages all aspects of private prison contracts including initial research and development, proposal evaluation, contract negotiations, and contract maintenance functions. This subprogram works with private prison firms to ensure comparable confinement and program services are provided to all Arizona state inmates, regardless of location. Oversight of private prisons in Arizona is provided by Department staff who monitor facility operations, inmate management, inmate services, clearance of contractor personnel, and payment of fees consistent with the terms outlined in individual facility and service contracts.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	140,000.3	145,400.0	148,168.7
Other Appropriated Funds	21,300.4	29,374.0	29,374.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**161,300.7**	**174,774.0**	**177,542.7**
FTE Positions	**39.0**	**39.0**	**39.0**

◆ **Goal** 1 To develop private prison contracts and provide oversight to monitor their safe, secure, and cost-effective operation, while imprisoning inmates according to the Department's mission

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average annual Contracted Private Prison compliance audit percent score	95.87	96.50	96.7	97.0	97.5

Subprogram Summary

PRISON MANAGEMENT AND SUPPORT

Tara Diaz, Division Director
Phone: (602) 542-3894
A.R.S. § 41-1604

Mission:

To provide leadership and direction in the administration and operations of all prisons to ensure inmate accountability and staff safety.

Description:

This subprogram oversees prison operations, Regional Operations Directors, and Wardens and their immediate staff; administers prison budgets and staffing/safety programs; manages prison activation/deactivation; and directs centralized operational systems and services. This subprogram includes fiscal management, fleet management, fire and safety, food service, warehouse, and maintenance. This subprogram is also responsible for inmate classification, protective segregation, time computation and records, legal access, and inmate family assistance services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	148,126.7	149,508.4	155,407.1
Other Appropriated Funds	3,857.8	6,373.0	4,273.0
Other Non Appropriated Funds	5,701.0	9,348.2	9,348.2
Total Funding	**157,685.5**	**165,229.6**	**169,028.3**
FTE Positions	**732.5**	**732.5**	**732.5**

◆ **Goal** 1 To provide leadership and direction in the management of inmate population growth and the allocation of physical and fiscal resources

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average daily inmate population	42,038	42,308	42,074	42,475	42,775
Average daily rated bed surplus or (deficit)	(3,123)	(3,700)	(3,338)	(3,603)	(3,903)

Program Summary

COMMUNITY CORRECTIONS

Karen Hellman, Division Director
Phone: (602) 542-5155
A.R.S. § 41-1604

Mission:

To provide effective community supervision of offenders, facilitate their successful transition from prison to the community, and return offenders to prison when necessary to protect the public.

Description:

This program is charged with supervising offenders on community supervision and identifying and returning to prison offenders who violate conditions of supervision and represent a serious threat to public safety. The program refers to law enforcement and prosecutorial agencies sex offenders subject to registration, community notification, and sexually violent person laws; coordinates sex offender registration prior to release; assists in the apprehension, extradition and transportation of fugitives; completes due process on all offenders returned to custody; represents the Department at revocation hearings conducted by the Board of Executive Clemency; conducts administrative hearings; provides criminal history information to authorized criminal justice agencies; manages the implementation of the Interstate Compact for the Supervision of Adult Inmates and Offenders (releasees on community supervision); collaborates with state and community agencies; and interacts with individual victims and victim associations. This program also operates Reentry Centers in the community to assist offenders in successful completion of community supervision by offering programming, intermediate sanctions, and temporary housing for offenders released to homelessness; this program contributes to public safety and community well-being, particularly related to housing for homeless sex offenders.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	18,120.9	18,041.8	20,387.5
Other Appropriated Funds	1,430.7	2,705.6	2,691.8
Other Non Appropriated Funds	6,411.9	10,316.7	10,278.2
Total Funding	**25,963.5**	**31,064.1**	**33,357.5**
FTE Positions	**188.0**	**188.0**	**196.0**

◆ **Goal** 1 To promote successful completion of community supervision

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Community supervision successes (average percent per month)	67.7	80.0	69.7	75.0	75.0
Re-incarcerated due to technical violations (average per month)	255	225	248	225	206

Program Summary

ADMINISTRATION

Charles L. Ryan, Director
Phone: (602) 545-5225
A.R.S. § 41-1602, 41-1604

Mission:

To provide leadership, support, and resources that enable Department employees to perform their duties and achieve professional excellence and to ensure that the Department is responsive to internal and external stakeholders

Description:

This program determines current policy and future direction of the Department through the following functional areas: legal services; legislative affairs; public and internal communications; constituent services; policy promulgation; human services, employee relations, equal opportunity, employee grievances and disciplinary actions; training and employee development; budgeting, planning, and research; engineering and physical plant services; financial and procurement services; and information technology services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	41,990.4	44,116.3	95,533.0
Other Appropriated Funds	0.0	0.0	-1,240.7
Other Non Appropriated Funds	10,790.8	9,354.1	-6,234.1
Total Funding	**52,781.2**	**53,470.4**	**88,058.2**
FTE Positions	**387.5**	**387.5**	**387.5**

◆ **Goal** 1 To recruit, retain, recognize, and develop staff

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Quantity of vacant Correctional Officer II positions (as of June 30, 2019)	939	413	1,266	413	413
Correctional Officer II regrettable attrition rate	63.2	52.0	66.2	52.0	52.0

◆ **Goal** 2 To ensure fiscal responsibility in the administration of the agency's budget

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Appropriated funds spending variance (percent)	1.2	1.0	1.5	2.0	2.0

Agency Summary

BOARD OF COSMETOLOGY

Kim Scoplitte, Executive Director
Phone: (480) 784-4632
A.R.S § 32-505(A),(B),©

Mission:

To ensure the public's health, welfare, and safety through education and enforcement of cosmetology laws and rules by the efficient regulation of salons, schools, and individuals who practice cosmetology.

Description:

The Board of Cosmetology issues licenses to salons, schools, and individuals who qualify by Universal Recognition Licensing, reciprocity or through the administration of a written and practical examination. The Board performs health and safety inspections of salons and schools, investigates consumer complaints, conducts hearings, and imposes enforcement action when appropriate. The Board also establishes health and safety standards, establishes educational and curriculum standards and oversight, and provides monthly classes on infection control and statutory and regulatory compliance for the licensees.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,784.8	1,949.1	2,217.4
Other Non Appropriated Funds	0.0	25.2	25.2
Total Funding	**1,784.8**	**1,974.3**	**2,242.6**
FTE Positions	**24.5**	**24.5**	**27.5**

5 Year Plan

Issue 1 Other Operating Expenses

Description Other Operating Expenses

Solutions:

The Board of Cosmetology, (BOC), must be able to effectively and continually improve and update services rendered to its licensees and consumers. The BOC provides, with great efficiency, services to approximately 106,501 licenses within the BOC's database, a number that had been kept at a steady pace of growth annually.

The BOC will continue to use "operating expenses" to educate consumers, licensees and Board Members, through circulars and website updates. Due to the Board's continued endeavors and provided education, we continue to see a reduction in serious injuries to Arizona Consumers.

To allow the Board to fulfill its mandate within constraints of a limited appropriated budget, the Board is seeking to increase our appropriation without intervening with operatinal demands, due to cost increases such as a GL Suites migration replacement, the extra time to scan files, additional Infection Protection/Law Review Classes which will increase due to A.R.S. § 32-506 (14) a legislative change, more applicants due to the new Universal Recognition License A.R.S. § 32-42-4302, increase of examination applications, outside & professional & temporary services, supplies, facility maintenance and other operating expenses.

Issue 2 Improved Enforcement Efficiency

Description Improved Enforcement Efficiency

Solutions:

One of the priorities for The Board of Cosmetology, (BOC), is to fill the two (2) vacant Inspector positions. The importance in conducting health and safety inspections at least once a year is a priority for the protection of consumers and the education of licensee's through inspections. These goals cannot be met, due to the lack of Inspector positions. The hiring of two new inspectors will allow the agency to continue with the Risk Based Salon Inspection approach. We are presently working with only two Inspectors and three Investigators where we need at least two more Inspectors in the field in order to reach the strategic goal of the 1 year inspection requirement, these goals cannot be met at this time due to the increase of licensed salons and schools. Due to our current appropriation contraints, we are unable to fill the two vacant positions in order to meet the agencies goal. The Arizona State Board of Cosmetology plans to request additional appropriation in order to support the cost of additional staff.

The implementation for the handheld devices for Inspectors is a goal to be reached by 2020/2021 which will allow Inspectors out in the field to have the capability to retrieve license information that is in our database to assist in their inspections with up to date information.

Issue 3 Employee Development

Description Employee Development

Solutions:

The BOC recognizes the value of efficient employees and must provide for the professional growth and development of our employees. The BOC must continue to show appreciation to the current employees by providing wage increases, professional development, and implementing the technology necessary for staff to meet the demands for even greater efficiency. As a result the agency will retain personnel longevity and satisfaction. Therefore, BOC would like to provide wage increase(s), promotions, and incentives to employees who are recognized with qualified & efficient performance(s).

Issue 4 System maintenance Support, Equipment Replacement, Enhancement, & Upgrades.

Description System maintenance Support, Equipment Replacement, Enhancement, & Upgrades.

Solutions:

Solutions:

The Arizona State Board of Cosmetology (BOC) must continue to work on the efficiency and accuracy of licensee's electronic filling. Acquiring a new licensing system will allow BOC enhance the out dated functions and will allow user friendly and increase application on-line.

By 2021 – The BOC will need to purchase a new enterprise solution to replace our unfriendly and unfavorable database system.

By 2021 – The BOC must complete the mobile inspection module. The first phase of the inspection module will be completed, but lacking the inspection route mapping and tracking and risk base inspection rating method. With the replacement of the current licensing database, the new solution would aid in the implementation of this project. The project further aligns with the state's initiative for agencies to conduct business electronically where possible.

Funding Issue
GL Suites/Replacement – Agencies Database

BOC is requesting a one- time additional appropriation for purposes of replacing the current licensing database system. The BOC has been faced with numerous operational function issues and lack of security with the agencies database. Changes or updates with the current database takes several months to complete, lack of constant vendors staff & support and the increasing cost of the database has forced the agencies decision to migrate to the statewide enterprise solution.

BOC is currently working with ADOA ASET to select a single vendor, and to finalize the PIJ for this migration. ADOA/ASET has notified OSPB about the situation that the board is facing with completing the PIJ by September 1, 2019 and the selection of the new database. Since there has been issues with other agencies moving over to the states eLicensing platform, BOC is very cautious on what vendor that will be selected. BOC will have a complete assessment of all internal needs & wants for the complete migration system in order to capture the business requirements for all areas of business. This assessment will be completed by a 3rd party that specializes in IT Assessments. This will take place prior to FY 2021, in order to start "Phase One" of our migration. ASET and AZBOC understands the cost for this project will be an enormous to start up, but it must be done to be part of the statewide enterprise solution.

AZBOC, database houses over 106,500 plus licensees, complaint files, student hours and inspections. The requirements for a new database must include customization of school student's hour report module, agencies online applications to include; renewals, first time applications, certifications and the mobile inspections module. The inspection mobile module would be partly in place but will require the agencies licensing database to allow the completion of the project. The BOC hopes that when the vendor has been selected the agencies contract, potentially the cost could be lowered, but based on an assessment of other agencies licensing systems quotes provided in 2020, the BOC is requesting the amount below.

Appropriation Request:

$ 2,200,000 Total FY 2021 Appropriation Request

Equipment Replacement:
-Continued upgrades and replacement computers, and laptops

System maintenance support, enhancement, and upgrades:
-Network services reviewed and renewal of service contracts.

Issue 5 Budget Contingency Plan

Description Budget Contingency Plan

Solutions:

The State Board of Cosmetology is requesting additional appropriation to support other Personal Services, PS, and Employee Related Expenses, ERE, to fund three vacant positions.

The Arizona State Board of Cosmetology has an FTE count of 24.5 positions. The current number of filled position is 19.5, with five vacant positions. During the fiscal year of 2020, one recent separated position, and two vacant positions will be advertised for employment. The Due to the rising cost to maintain the Agency's operations with professional and outside and other operation expenses, the agency has been unable to fill all of its vacant positions.

The Board continues to see and record the continued growth within the Cosmetology community and along with the increase of licenses, there will be an increase of inspections, complaints, investigations, classes administered by staff, fraud investigations, multiple types of applications to be processed and customer service to be provided to licensees and the public.
The number of professional licenses increased 10,530 during Fiscal Year 2019. For Fiscal Year 2019, the Board completed and processed 3,425 examinations, 2,276 salon applications, 9,862 inspections, administered 2,221 classes, and investigated 2,123 complaints.

The fundamental function of the board is to provide the optimal level of service to the public and licensees. The Board would like to continue to meet the Agency's strategic and annual goals, which includes the ability to reduce the number of delinquent licenses, increase the number of required inspections, and reduce the turn -around time for all applications and related transactions. Without an appropriation increase for the vacant full time employees, this may have a negative impact on the level of productivity, and affect the level of service provided by the Board. An increase of appropriation to fill the vacant positions is crucial for the Board to continue to function at a higher level and further serve the public to the best of its ability.

Continued services provided by Rule Writing - In process of updating our rule package and eliminating rules. A rule writer continues to be a service needed by our agency.

Issue 6 A Quality continuity Plan

Description A Quality continuity Plan

Solutions:

To provide continued public protection even in times of disaster, a workable continuity plan for a small agency must be in place. This will require finding a place to set up an office away from the current Board's office in case of a local tragedy, perhaps by coordinating with another State Agency for the use of their offices. There must be a provision in law and rule to allow for licensees to provide services outside of a salon setting in a disaster. Our database is hosted at an outside location providing extra security and minimal down time to the public.

Issue 7 External Partners

Description External Partners

Solutions:

Continuing to maintain its relationship with current partners, the leadership involvement that has proven to assist the Board to benchmark and remain current both as a regulatory agency and as a leader in the Cosmetology profession. These partners include The Internal Revenue Service (for small business participation and investigative tax fraud), National Interstate Council of State Boards of Cosmetology, National Accreditation Commission of Cosmetology Arts and Sciences, Council for Licensure, Enforcement and Regulation Federation Association of Regulatory Boards, AACS American Association of Cosmetology Schools, The Salon Association, ACIA (Arizona Cosmetology Industry Association), PCS (Proffessional Credential Services, Prometrics and others. All require travel to meeting locations or electronic participation at the very least which must continue to be funded. Board members hold office at National levels. Board Chairman, Executive Director, Deputy Director & Co- Chair National committee positions.

Issue 8 Public Communication

Description Public Communication

Solutions:

Ongoing communication with the Arizona Legislature and State Administrations about the importance of the appropriation necessary to continue responsible regulation, is required. Regulatory pamphlets, health and safety educational classes, and issues of public interest, to answer regulatory questions and issues. Reorganization and the continuing restructuring of the Agency website is needed to improve communication . By 2019 and 2020 printing brochures and/or circulars for licensees, salons, and schools for distribution, is a goal of the Board. By 2020 – 2021 by continuing services with our state printing vendors and distributing information will bring employment and information to the public. BOC is currently working on a campaign for consumer awareness.

Issue 9 Rule Promulgation

Description Rule Promulgation

Solutions:

Rule promulgation needs to be on going to promote consumer protection - fighting deregulation. All license renewal applications to be accompanied with current photographs. With an updated system those pictures would be scanned and printed on licenses. At this time the BOC requires pictures to be submitted for all first licenses, but requires rule promulgation for renewals. The goal of the BOC is to continue to udpdate the rules to ensure clarity and to eliminate outdated burdensome rules.

Issue 10

Description

Solutions:

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	19.5	19.5	19.5
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,949.1	1,949.1	1,949.1
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To establish standards for the professional practice of cosmetology.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average calendar days from receipt of completed application to issuance of license	25	25	28	28	28
Total individuals and establishments licensed	70,290	75,000	82,673	85,000	87,000

Explanation: This is total active licenses which was broken down with #5 & #6 as per reccomendation of the Audtor general.

Total delinquent Individual and establishment licensed	4273	4800	11,874	13,000	10,000

Explanation: #2 Justification for lower estimation is due to auditor generals suggestion to break down delinquent and Inactive (#5-#6) which still continue to be serviced.

Total Inactive individual licenses	24173	28000	22,357	25,000	25,000

Explanation: #2 Justification for lower estimation is due to auditor generals suggestion to break down delinquent and Inactive (#5-#6) which still continue to be serviced.

◆ **Goal** 2 To ensure swift, fair, and effective enforcement of statutes and rules governing the profession.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total inspections conducted	4,221	5,000	9,862	10,000	10,000
Explanation: The significant change was due to low in staff -inspectors on med leave with no replacement to carry on work load.					
Total complaints and application denials	1,181	1,300	2,123	2,000	2,000
Explanation: Goal is to have lesser complaints and penalizations, with better training/ awareness.					
Average calendar days to resolve a complaint	120	120	120	120	120

◆ **Goal** 3 To educate the consumers and cosmetology professionals about their rights, resolutions, and responsibilities among the cosmetology community, the public and the Board by delivering courteous, efficient service to the consumers, owners, and employees of state government.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Educational class opportunities offered to the public in class or over the internet	25	28	28	28	28
Explanation: The Board wants to mandate (Rule Law Change) that all reciprocity applications take classes					
Percent of citizen satisfaction surveys reporting Board service as satisfied or higher	95	95	95	95	95

◆ **Goal** 4 To provide services through efficient government.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Constituents aided in transferring to another governmental jurisdiction or educational institution.	832	1000	752	1,000	1,000
Licensees accepted through reciprocity from another state or country.	1704	1750	1,780	1,800	1,800
Percentage of applicants or license holders reporting very good or excellent.	95	95	95	95	95

Agency Summary

CRIMINAL JUSTICE COMMISSION

Andrew LeFevre, Executive Director
Phone: (602) 364-1146
A.R.S. § 41-2401

Mission:

To sustain and enhance the cohesiveness, effectiveness, and coordination of Arizona's criminal justice system; to monitor the criminal justice system and identify needed revisions; to monitor criminal justice statutes and proposed or new criminal justice statutes and identify needed revisions or proposed legislation; acquire and administer designated funds for the enhancement of specified criminal justice programs and activities; and make reports on these activities and functions.

Description:

The Criminal Justice Commission administers federal criminal justice grants provided to State, county, and local law enforcement agencies and non-profit organizations.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ AGENCY MANAGEMENT	875.2	1,178.6	1,178.6
➢ CRIME VICTIMS	5,479.9	5,388.8	5,988.8
➢ STATISTICAL ANALYSIS CENTER	858.1	823.3	823.3
➢ CRIME CONTROL	8,644.4	11,057.7	11,857.7
➢ CRIMINAL JUSTICE SYSTEM IMPROVEMENT	2,340.2	4,839.7	4,839.7
Agency Total:	**18,197.8**	**23,288.1**	**24,688.1**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	700.0
Other Appropriated Funds	6,071.8	7,815.4	8,515.4
Other Non Appropriated Funds	12,126.0	15,472.7	15,472.7
Total Funding	**18,197.8**	**23,288.1**	**24,688.1**
FTE Positions	**25.2**	**25.7**	**25.7**

5 Year Plan

Issue 1 Criminal Justice Records Integration

Description The Records Improvement Program is an ongoing, long-term effort to coordinate the process of the integration of all criminal justice information systems. This is accomplished through the development and implementation of a comprehensive criminal justice records improvement plan.

Activities in this area include, but are not limited to encouraging and facilitating the development of common data standards among criminal justice agencies, facilitating the development and implementation of automated records systems and processes, encouraging and facilitating interagency cooperation and information sharing, and other activities intended to increase the accuracy, completeness and timeliness of criminal justice and criminal history information.

Solutions:

Objectives

To improve the criminal history records in the State of Arizona as well as manage criminal justice records integration and criminal justice system improvements throughout the state.

Strategies

•To establish and publish technology and data standards for criminal justice agencies of the state annually.
•To improve disposition reporting of each county to the central repository each year.
•To introduce legislation to change/improve criminal history reporting as needed.
•To administer, monitor, and evaluate grant projects on a continual basis.
•To develop a strategic plan and allocation plans for utilization of available funds on an annual basis to assist in the completion of the Arizona Records Improvement Plan.
•To apply for available funds from federal Justice Department agencies.

Performance Measures

•Stakeholder meetings coordinated to discuss record improvement challenges by records coordinator.
•Percentage increase in disposition reporting utilizing the Records Quality Index (RQI) tool for record improvement projects funded through the program annually.
•Bills submitted to Legislature.
•Bills passed by the Legislature for the improvement of criminal history record reporting.
•Site visits to grantee agencies.
•Program progress and financial reports received on a quarterly basis from each grantee agency to monitor progress and ensure funding expenditure occurs prior to grant expiration date.
•Grants awarded to agencies for improvement of criminal justice/history records.
•Updates submitted to the integration strategic plan by the Policy Team annually.
•Development and publication of criminal justice records improvement plan for the criminal justice system in Arizona, including evolutionary revisions to the plan.
•Number of grant applications submitted to proper agencies.
•Number of grant awards provided to the Commission by the various granting agencies.
•Number of applicants requesting funding.

Issue 2 Data Driven Policy Decisions

Description To improve the criminal justice system in Arizona through the use of data obtained from the Statistical Analysis Center for data driven policy decisions.

The Statistical Analysis Center's purpose is to oversee the research, analysis, studies, reports, and publications regarding crime and criminal justice statistics for the benefit of criminal justice agencies across the State. The Statistical Analysis Center also conducts the biennial Arizona Youth Survey (AYS) which provides critical information to the Governor and Legislature regarding various risk and protective factors among students in Arizona. Other statistical and research projects are conducted by the Center with the approval of the Executive Director.

Solutions:

Objectives

To improve the criminal justice system in Arizona through the efforts of a quality Statistical Analysis Center.

Strategies

•To develop, implement and sustain processes that provide a relevant, reliable source of information on crime and the criminal justice system in Arizona.
•Maintain an effective and relevant criminal justice research program.
•Develop, implement and operate data and information producing programs and processes on crime activity and the criminal justice system in Arizona.

Performance Measures

•Number of studies/research projects proposed by internal and external customers.
•Number of studies/reports completed and published.
•Number of research products mailed via US mail to external customers (paper reduction).
•Number of public and media data requests processed.
•Number of legislative and policy-maker data requests processed.
•Number of public presentations by SAC staff.

Issue 3 Coordination of Legislative Issues Among Criminal Justice Stakeholders

Description To monitor the progress and implementation of new and continuing criminal justice legislation. Develop and deliver recommendations for constitutional, statutory, and administrative revisions that are necessary to develop and maintain a cohesive and effective criminal justice system.

The coordination of legislative issues is a constant endeavor involving all aspects of the criminal justice system. In accordance with ARS 41-2045.A, The Arizona Criminal Justice Commission shall: 1. Monitor the progress and implementation of new and continuing criminal justice legislation. The ACJC continues to work closely with all stakeholders, as well as other entities affected by criminal justice legislation, on new and current legislation. Representatives from criminal justice stakeholder agencies meet throughout the legislative session to discuss legislative issues impacting the criminal justice system. The Commission also makes recommendations to the Governor and the Legislature as well as provides direction to legislative staff on the position of the Commission regarding new legislation.

Solutions:

Objectives

Monitor the progress and implementation of new and continuing criminal justice legislation. Develop and deliver recommendations for constitutional, statutory, and administrative revisions that are necessary to develop and maintain a cohesive and effective criminal justice system.

Strategies

•To acquire and distribute timely, accurate information regarding relevant criminal justice legislation at both state and federal levels and to provide and effective mechanism for both legislative advocacy and related informational resources.
•To provide a continuous, organized forum for the discussion of the criminal justice system, the identification of changes needed, the development of change mechanisms, including legislative proposals, and the coordination of information regarding these activities.
•To develop, implement and sustain processes that provide a relevant, reliable source of information on crime and the criminal justice system in Arizona.

Performance Measures

•Sustain an effective number of agency legislative events.
•Dissemination of criminal justice related legislative information and materials through meetings, publications, reports, and direct personal contact.
•Organize, support and conduct meetings under the Commission responsibility to produce effective results.
•Liaison with congressional and legislative officials and other officials at all levels of federal, state, county, and municipal governments that produce coordination, cooperation and effective outcomes.

Issue 4 Criminal Justice Coordination

Description The Arizona Criminal Justice Commission is a statutorily authorized entity mandated to carry out various coordinating, monitoring and reporting functions regarding the administration and management of criminal justice programs in Arizona. The ACJC serves as a resource and service organization for Arizona's criminal justice community on issues including; drugs, gangs and violent crime; victim assistance and compensation; and record improvement programs.

As the funding for these programs continues to decline it has become vital that all criminal justice stakeholders continue to work cooperatively to leverage the minimal resources available. The goal of the Arizona Criminal Justice Commission is to facilitate working collectively to fulfill the strategic plan of Arizona while still meeting the needs of those stakeholders with available funds.

Solutions:

Objectives

To continue to improve criminal justice coordination throughout Arizona and the nation.

Strategies

•Build consensus among criminal justice stakeholders.
•Serve as the forum for identifying issues and their solutions.
•Facilitating cooperation that will improve public safety.
•Draw upon state, local and federal agencies and individuals to develop recommendations and strategies.
•To effectively manage the allocation and administration of state and federal funds to provide a high probability of improving the criminal justice system in Arizona.

Performance Measures

•Percent of programs reviewed reflecting compliance with certified assurances and fiscal management practices.
•Conduct training of county and local agency participants in the administration of the programs.
•Administer, monitor, and evaluate program projects and required reports regarding the program.
•Applicants requesting funds.
•Grants awarded in a timely manner.
•Program audits reflecting no deficiencies.
•Program single audits reflecting compliance with Administrative Rules.
•Develop and implement strategies/plans for federal and state resources allocated to commission authority in Arizona.
•Solicit grant applications and funding requests, evaluate requests, and efficiently allocate available resources to appropriate agencies and activities statewide.
•Facilitate focused discussions on criminal justice topics with supporting research.
•Identify, track and highlight trending national criminal justice topics.
•Recommend and periodically review policies for the coordinated implementation of policies.
•Identify needs and recommend agency allocations and resources to meet these needs when appropriate.
•Identify legal and administrative barriers to effective service delivery.
•Review agency funding criteria and make recommendations when appropriate.
•Review plans and make recommendations for plan format and content.
•Review annual performance data and make recommendations for improved service delivery, operating procedures or funding when appropriate.

Issue 5 Staff Development and Retention

Description Recruit, retain, and develop talented personnel to contribute to the mission of ACJC and Arizona's criminal justice stakeholders.

Although ACJC has 25 authorized positions, through automation and restructuring of the agency, we have worked very effectively for several years with 22 employees. The overwhelming majority of our 22 staff members are multiple degreed professionals who are also well established in their field of expertise. In the last few years, ACJC has had a 35 percent turnover among our employees. The costs associated with training and acclimating new employees further burdens strained budgets and staffing challenges. The majority of employees leaving ACJC are being hired by other public entities and are being lured by higher salaries.

Solutions:

Objectives

Recruit, retain, and develop talented personnel to contribute to the mission of ACJC and Arizona's criminal justice stakeholders.

Strategies

- Work with ADOA on new retention strategies.
- Expanded distribution of employment opportunities.
- Membership in professional associations related to key position expertise.
- Identify entities/industries/organizations with corresponding expertise.
- Survey topics among employees to identify methods of increasing employee satisfaction.
- Seek increased state appropriation to use towards salary increases and training opportunities.

Performance Measures

- Maintaining averages of academic achievement among employees.
- Recruit employees with expertise beyond the minimum requirements.
- Raise average tenure of employees.
- Reduce employee turnover rates.
- Reduce training costs associated with training and acclimating new employees.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	11.0	11.0	11.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	7,065.4	7,065.4	7,065.4
Non-Appropriated Funds	15,472.7	15,472.7	15,472.7
Federal Funds	0.0	0.0	0.0

Program Summary

AGENCY MANAGEMENT

Andrew LeFevre, Executive Director
Phone: (602) 364-1146
A.R.S. § 41-2405

Mission:

To provide planning, direction, and administration for all Commission mandates, programs, functions, and activities to carry out the mission of the Agency.

Description:

The Agency Support operations consist of central management, coordination, and administrative functions of the Arizona Criminal Justice Commission. It organizes, supports, schedules, and carries out the many public meetings of the nineteen member Commission; the many meetings of the various committees, task forces, and working groups of the Commission; and implements the decisions of these groups. It serves as the clearing house and liaison focus for the enhancement and coordination of criminal justice system wide concerns and activities. It also provides for the direct management oversight, fiscal administration, and policy establishment functions for the Commission staff and for all programs contained within the Commission.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	442.4	655.5	655.5
Other Non Appropriated Funds	432.8	523.1	523.1
Total Funding	**875.2**	**1,178.6**	**1,178.6**
FTE Positions	**11.0**	**9.1**	**9.1**

◆ **Goal** 1 To acquire and distribute timely, accurate information regarding relevant criminal justice legislation at both state and federal levels and to provide an effective mechanism for both legislative advocacy and related informational resources.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of agency legislative events	200	200	200	200	200
Number of criminal justice legislative liaison meetings coordinated	30	30	30	30	30

◆ **Goal** 2 To develop, establish, and maintain reliable accurate fiscal systems for all Commission activities including grant programs and fund distribution functions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Generate and execute contracts, working agreements and other routine fund distribution and expenditure functions	150	150	150	150	150

◆ **Goal** 3 To provide a continuous, organized forum for the discussion of the criminal justice system, the identification of changes needed, the development of change mechanisms including legislative proposals, and the coordination of information regarding these activities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Organize, support and conduct meetings under the Commission responsibility to produce effective results	30	30	30	30	30
Conduct liaison with congressional and legislative officials and other officials at all levels of federal, state, county, and municipal governments that produce coordination, cooperation and effective outcomes	120	120	120	120	120

◆ **Goal** 4 To develop, implement and sustain processes that provide a relevant, reliable source of information on crime and the criminal justice system in Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Develop, continuously refine and sustain the implementation of a criminal justice records improvement program for the criminal justice system in AZ	100	100	100	100	100
Develop, implement and operate data and information producing programs and processes on crime activity and the criminal justice system in AZ	100	100	100	100	100
Accurately and successfully publish, distribute reports containing reliable info and data on crime activity and the criminal justice system in AZ	100	100	0	100	0

◆ **Goal** 5 To develop and sustain programs, functions and activities related to the criminal justice system that increases productivity in the system, enhances the coordination of the system and the effectiveness of the system.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Develop strategies and implement plans that effectively utilize funds and resources available to the Commission	100	100	100	100	100
Develop and sustain fiscal processes that successfully acquire, allocate, monitor, and report on all programs, functions and activities under the Commission's control	100	100	100	100	100
Organize, support, and conduct all meetings under the Commission responsibility to produce effective results	100	100	100	100	100

◆ **Goal** 6 To provide a continuity of reliable, accurate, responsible service that meets the statutory mandates for the Commission and enhances the cohesiveness, the effectiveness and coordination of the criminal justice system in Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent completion of statutory mandates regarding Commission duties, responsibilities and mandates	100	100	100	100	100
Number of reports	40	40	40	40	40

Program Summary

CRIME VICTIMS

Heather Bohnet, Crime Victims Program Manager
Phone: (602) 364-1168
A.R.S. §§ 41-2407 et. seq.

Mission:

To administer the Crime Victims Programs under the authority of the Arizona Criminal Justice Commission in a reliable and accurate manner which provides support to all agencies that assist and compensate the victims of crime.

Description:

The Crime Victims Program administers the Arizona Crime Victim Compensation Fund, the Arizona Crime Victim Assistance Fund, and the Office of Justice Programs, Office for Victims of Crime, Victims of Crime Act (VOCA) victim compensation grant. The funds are disseminated on a state-wide basis through a grant and formula allocation to public and private service providers and operational units. These provide financial assistance, services, and reimbursement to victims of crime. This program also monitors all victim-related legislation on both the federal and state levels and disseminates this information to victim advocates and programs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	600.0
Other Appropriated Funds	4,026.6	4,223.0	4,223.0
Other Non Appropriated Funds	1,453.3	1,165.8	1,165.8
Total Funding	**5,479.9**	**5,388.8**	**5,988.8**
FTE Positions	**3.3**	**3.5**	**3.5**

◆ **Goal** 1 To increase the number of compensation claims filed and awarded to eligible crime victims.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Obtain increased spending authority for the crime victim compensation program	4.3	4.3	4.2	4.2	4.2
Increase in compensation awards reported by Operational units	4.0	4.0	4.0	3.7	3.7
Increase in eligible benefits available to crime victims	4.0	4.0	4.0	3.7	3.7

◆ **Goal** 2 To effectively manage the allocation and administration of Crime Victim Compensation Funds.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Continuity of administration in the 15 counties	15	15	15	15	15
Percent of counties in which case reviews completed	90	90	90	90	90
Percent of cases reviewed showing no deficiencies	90	90	90	90	90
Percent of programs reviewed reflecting compliance with certified assurances and fiscal management practices	90	90	90	90	90

◆ **Goal** 3 To effectively manage the allocation and administration of state crime victim assistance funds to provide a high probability of relieving the impact of crime on crime victims.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Applicants requesting funds	40	33	47	45	45
Grants awarded in a timely manner to victim services providers	29	24	21	27	25
Number of site visits completed	6	21	18	20	20
Program audits reflecting no deficiencies	15	15	15	15	15
Program single audits reflecting compliance with Administrative Rules	25	25	32	36	35

Program Summary

STATISTICAL ANALYSIS CENTER

Jillian Ware, Program Manager
Phone: (602) 364-1394
A.R.S. § 41-2405

Mission:

To improve the criminal justice system in Arizona through the efforts of a quality Statistical Analysis Center.

Description:

The Statistical Analysis Center's purpose is to oversee the research, analysis, studies, reports, and publications regarding crime and criminal justice statistics for the benefit of criminal justice agencies across the State. The Statistical Analysis Center also conducts the biennial Arizona Youth Survey (AYS) which provides critical information to the Governor and Legislature regarding the use of drugs among students in Arizona. Other statistical and research projects are conducted by the Center with the approval of the Executive Director.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	792.3	613.2	613.2
Other Non Appropriated Funds	65.8	210.1	210.1
Total Funding	**858.1**	**823.3**	**823.3**
FTE Positions	**6.0**	**6.8**	**6.8**

◆ **Goal** 1 To implement and maintain an effective and relevant criminal justice research program.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of studies/research projects proposed by internal and external customers	25	25	25	25	25
Number of studies/reports completed and published	25	25	25	25	25
Number of public and media data requests processed	80	80	80	80	80
Number of legislative and policy-maker data requests processed	30	30	30	30	30
Number of research products mailed via US mail to external customers (paper reduction).	0	0	0	0	00

Program Summary

CRIME CONTROL

Tony Vidale, Crime Control Program Manager
Phone: (602) 364-1146
A.R.S. § 41-2402

Mission:

To enhance and coordinate the funded efforts to deter, investigate, prosecute, adjudicate, and punish drug, violent crime, and criminal street gang offenders.

Description:

The program administers the federally funded Edward Byrne Memorial Justice Assistance Grant (Byrne JAG Grant Program), a congressionally consolidated local law enforcement program in 2004 previously known as Edward Byrne Memorial State and Local Law Enforcement Assistance Grant Program and the Local Law Enforcement Block Grant Program (LLEBG). This grant program provides enhanced funding to state and local law enforcement and related agencies to carry out the purposes set forth under A.R.S. § 41-2402. The Arizona Criminal Justice Commission is designated as the State Administrative Agency (SAA) for this program. In 1996 the Arizona Criminal Justice Commission was also designated as the State Administrative Agency for the Residential Substance Abuse Treatment Grant Program. This program also administers a number of non-grant projects such as Fill the Gap funds for distribution to counties.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	100.0
Other Appropriated Funds	799.1	1,723.7	2,423.7
Other Non Appropriated Funds	7,845.3	9,334.0	9,334.0
Total Funding	**8,644.4**	**11,057.7**	**11,857.7**
FTE Positions	**2.9**	**3.1**	**3.1**

◆ **Goal** 1 To distribute appropriated funds and court fines to County Attorneys as required by A.R.S. § 41-2409 for the purpose of improving case processing and by January 8th each year report to those stated in the legislation on the expenditure of the monies in the state aid to county attorneys fund for the prior fiscal year and on the progress made in achieving the goal of improved criminal case processing.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Completion of annual report by due date.	1	1	1	1	1

◆ **Goal** 2 To distribute appropriated funds and court fines to County indigent defense agencies and contract indigent defense as required by A.R.S. § 41-2409 for the purpose of improving case processing and by January 8th each year report to those stated in the legislation on the expenditure of the monies in the state aid to indigent defense fund for the prior fiscal year and on the progress made in achieving the goal of improved criminal case processing.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Completion of annual report by due date.	1	1	1	1	1

◆ **Goal** 3 To effectively manage the acquisition, allocation and administration of local, state and federal grant funds to provide a high potential for significant productivity and impact on drug, violent and street gang crime in Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Grants identified, applications submitted and approved by funding authorities	2	3	4	3	3
Number of grant applications received from criminal justice agencies requesting grant funds for criminal justice system activities authorized by the Commission.	42	42	42	43	43
Number of grant applications evaluated and awarded to criminal justice agencies for criminal justice system activities authorized by the Commission.	41	41	41	42	42
Number of arrests made by grant-funded task forces	4,397	4,500	4613	4700	4700
Convictions reported by grant-funded prosecution projects	25200	26000	20,979	22,000	22,000
Percent of grant agreements executed in a timely manner by Commission staff	100	100	100	100	100
Percent of requests for training/technical assistance received and filled	100	100	100	100	100
On-site monitoring visits conducted by Commission staff	6	6	6	6	6
Federal grantor agency conferences, workshops and planning sessions attended by Commission staff	2	2	2	2	2
Complaints received by Commissioners regarding actions by the Commission staff in the administration of sub-grants	0	0	0	0	0
Percent of complete, accurate reports submitted on or before due dates	100	100	100	100	100

Program Summary

CRIMINAL JUSTICE SYSTEM IMPROVEMENT

Marc Peoples, CJ Systems Improvement Program Manager
Phone: (602) 364-1146
A.R.S. § 41-2405

Mission:

To improve the criminal history records in the State of Arizona as well as manage criminal justice records integration and criminal justice system improvements projects through out the state.

Description:

The Records Improvement Program is an ongoing, long-term effort to coordinate the process of the integration of all criminal justice information systems. This is accomplished through the development and implementation of a comprehensive criminal justice records improvement plan. Activities in this area include, but are not limited to, encouraging and facilitating the development of common data standards among criminal justice agencies, facilitating the development and implementation of automated records systems and processes, encouraging and facilitating interagency cooperation and information sharing, and other activities intended to increase the accuracy, completeness, and timeliness of criminal justice and criminal history information.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	11.4	600.0	600.0
Other Non Appropriated Funds	2,328.8	4,239.7	4,239.7
Total Funding	**2,340.2**	**4,839.7**	**4,839.7**
FTE Positions	**2.0**	**3.2**	**3.2**

◆ **Goal** 1 To apply for available federal funds in such program areas as DNA and Laboratory Improvements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of grant applications submitted to proper agencies.	4	4	5	5	4
Number of grant awards provided to the Commission by the various granting agencies.	4	4	5	2	3

◆ **Goal** 2 To establish and publish technology and data standards for criminal justice agencies of the state annually.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Meetings conducted annually	3	3	3	3	3

◆ **Goal** 3 To improve disposition reporting of each county to the central repository each year.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Meetings coordinated to discuss record improvement challenges by records coordinator annually.	14	12	18	13	15
Percentage of increase in disposition reporting utilizing the Records Quality Index (RQI) tool for record improvement projects funded through the program annually.	2	5	2	2	5

◆ **Goal** 4 To introduce legislation to change/improve criminal history reporting as needed.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Bills submitted to Legislature	1	1	0	1	1
Bills passed by the Legislature for the improvement of criminal history record reporting	1	1	0	1	1

◆ **Goal** 5 To administer, monitor, and evaluate grant projects on a continual basis.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Site visits to grantee agencies	3	6	3	3	3
Assistance provided to grantee agencies	70	70	65	72	70
Program progress and financial reports received on a quarterly basis from each grantee agency to monitor progress and ensure funding expenditure occurs prior to grant expiration date	184	220	163	138	200

◆ **Goal** 6 To develop a strategic plan and allocation plans for utilization of available funds on an annual basis to assist in the completion of the Arizona Records Improvement Plan.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Grants awarded to agencies for improvement of criminal justice/history records	14	15	16	15	15

◆ **Goal** 7 To apply for available funds from federal Justice Department agencies.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of grant applications submitted to proper agencies	4	4	5	6	5
Number of grant awards provided to the Commission by the various granting agencies	4	4	5	4	5
Number of applicants requesting funding	14	15	20	15	20

Agency Summary

ARIZONA STATE SCHOOLS FOR THE DEAF AND THE BLIND

Annette Reichman, Superintendent
Phone: (520) 770-3704
A.R.S. §§ 15-1300 et seq.

Mission:

To empower children and students who are hard of hearing or deaf or have vision loss by providing the educational opportunities necessary to succeed in college, career, and life.

Description:

Arizona State Schools for the Deaf and the Blind (ASDB) was founded in 1912. ASDB provides education and support services to over 2,000 children who are blind, visually impaired, deaf, hard of hearing, or deafblind, from birth to grade 12. ASDB operates two schools for the deaf, one school for the blind, a statewide birth-to-three early childhood and family education program, and five regional cooperatives that provide services to students attending local schools.

ASDB is committed to excellence and innovation in (a) education for all Arizona children who are hard of hearing or deaf or have vision loss; (b) leadership and service; (c) collaboration with families, school districts, communities, and others; and (d) partnership with other agencies that will enable children who are hard of hearing or deaf or have vision loss to succeed now and in the future.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ PHOENIX DAY SCHOOL	10,904.8	12,245.4	12,245.4
➢ TUCSON CAMPUS	13,421.2	15,041.1	15,041.1
➢ REGIONAL COOPERATIVES	15,421.4	17,283.7	17,283.7
➢ PRESCHOOL/OUTREACH	5,837.0	5,822.5	5,822.5
➢ ADMINISTRATION	7,768.8	6,898.7	6,898.7
Agency Total:	**53,353.2**	**57,291.4**	**57,291.4**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	21,457.0	23,214.4	23,214.4
Other Appropriated Funds	12,062.8	12,921.7	12,921.7
Other Non Appropriated Funds	19,833.4	21,155.3	21,155.3
Total Funding	**53,353.2**	**57,291.4**	**57,291.4**
FTE Positions	**550.7**	**575.4**	**575.4**

5 Year Plan

Issue 1 Enhancing curriculum and instructional accountability

Description Instructional accountability continues to be a critical focus area of the Agency.

Solutions:

A large data base has been collected to compare results of standardized testing with fixed factors. Training is provided for teachers to enhance their use of results from standardized assessment in planning the educational program for their students.

Issue 2 Improving recruitment and retention of employee procedures

Description Hiring qualified teachers is critical to the success of ASDB. The competition for teachers and other specialized staff has become very intense with many districts offering bonuses as well as other incentives.

Solutions:

The Agency works with several university programs around the country to recruit talented future professionals to ASDB. Presentations are made by ASDB staff at universities and colleges that have teacher preparation programs to communicate information regarding ASDB. Student teachers and graduate interns are encouraged to come to ASDB to complete their university program.

An extensive staff development program has been implemented to educate staff in strategies and techniques to improve student classroom performance. Regularly scheduled staff meetings, as well as weekly blocks of time, are reserved for more in-depth staff development opportunities.

Compensation issues are currently not being addressed adequately. The Agency continues to compare salaries of staff with other equal positions at other state agencies and at school districts to keep information current.

Issue 3 Incorporating technology into instructional and operational activities of the Agency

Description Educational technology has become an agency wide effort. Representative groups have worked together to develop an Educational Technology Plan, which was submitted and approved by the Arizona Department of Education. Staff benefit state-wide by actively participating in a variety of technology workshops.

Solutions:

The Agency database is in the process of being centralized for use from anywhere in the state to provide the most up-to-date information on students. The database provides demographic information that can be used for accountability reports at the local and state level. The database will be expanded to include additional information on student progress. The infrastructure of the technology system has been enhanced at ASDB to make communication more effective and efficient. New methods of communication are being provided for students who are Hard of Hearing or Deaf through the implementation of an agency-wide video relay system.

In order to facilitate communication, Internet and e-mail access is available to all agency personnel as well as the public. All programs in the Agency are now connected and able to access the Internet for resources. An updated E-mail system has increased the ability of staff to communicate across the state and results in faster services to students.

The current infrastructure is under review to improve functionality, security, and to reduce downtime. Specifics could include the tying together of (1) assistive technology, (2) dormitory wiring/fiber/wireless, (3) Tucson Campus building wiring/fiber/wireless, and (4) upgrade and combination of overall technological capabilities and resources.

Issue 4 Developing and maintaining a proactive work environment within the Agency

Description The ASDB Human Resources Department is implementing a number of changes to be more responsive to employee needs and requests.

Solutions:

ASDB is part of the HRIS system which will better track work schedules, leave, etc. Specialists in HR have developed a schedule for visiting ASDB sites outside of Tucson. They are conducting employee meetings to answer questions about benefits, policies, etc.

The Professional Development Leadership Team conducted a survey of the schools to assess the environment and to provide information to be used as part of a strategic plan to improve the organizational climate in the most effective and efficient manner possible.

Issue 5 Fostering the development of parent and community partnerships

Description The Principals have implemented and coordinated a number of activities to involve more parents with the schools and their child's educational program.

Solutions:

Parent folders are used to inform parents of learning occurring in the classroom, activities at the school, and events in the community. Parent groups are also active on all three campuses. Parent groups provide support and information to other parents regarding the education of students who are blind or visually impaired and students who are Deaf or Hard of Hearing.

Staff is involved in presenting information to community organizations and parents regarding advocacy and general information for accessing educational programs. Agency staff provide speakers, location, and child care for meetings to occur, and to encourage a larger number of parents. ASDB is developing cooperative arrangements with other community agencies to support provision of service for our students. ASDB participates in local organizational meetings with other professionals in the education field, in the rehabilitation area, and community businesses to foster cooperation and increased success of our students and improve community relations. ASDB works with employers to support students in occupations that will be sustainable after graduation. ASDB works, in conjunction with other agencies serving Hard of Hearing, Deaf, or visually impaired individuals, to increase choices and opportunities for the students.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	562.2	562.2	562.2
General Fund	23,678.7	24,152.3	24,635.3
Other Appropriated Funds	13,180.1	13,443.7	13,712.6
Non-Appropriated Funds	20,106.5	20,508.7	20,918.9
Federal Funds	1,471.9	1,501.3	1,531.3

Program Summary

PHOENIX DAY SCHOOL

Shaina Cooper, Executive Director of Business Services
Phone: (602) 771-4694
A.R.S. § 15-1300 et. Seq

Mission:

To empower children and students with the educational opportunities necessary to succeed in college, career and life.

We are committed to excellence and innovation in:
-Education for all children, throughout Arizona, who are hard of hearing, deaf or have vision loss
-Leadership and Service
-Collaboration with families, school districts, communities, and others
-Partnership with other agencies that will enable children who are hard of hearing, deaf or have vision loss to succeed now and in the future.

Description:

Phoenix Day School for the Deaf was established in 1967 and has expanded over the years from its inception as an elementary school to include a middle school and high school. The campus in North-Central sits on 14 acres and currently provides educational services for students aged 5 through 22 who live within the metropolitan Phoenix area for whom daily transportation is feasible.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,664.2	5,246.9	5,246.9
Other Appropriated Funds	4,574.2	5,504.9	5,504.9
Other Non Appropriated Funds	1,666.4	1,493.6	1,493.6
Total Funding	**10,904.8**	**12,245.4**	**12,245.4**
FTE Positions	**123.6**	**129.6**	**129.6**

◆ **Goal** 1 To increase efficiency and effectiveness in the instructional program for students served by ASDB programs.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Individualized Education Program (IEP) or Indvidualized Family Service Plan (IFSP) with participation of the representatives from school districts.	100	100	100	100	100

◆ **Goal** 2 To ensure 70% of PDSD students who enroll in CTE programs complete the program.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of students who enroll in CTE programs and complete the program in its entirety.	80	70	92	70	70

Explanation: New performance measure in FY 2018

◆ **Goal** 3 To ensure parents are highly satisfied with the educational services and supports provided to their children.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average satisfaction level on a 1-5 Likert Scale is 4.00 or higher.	4.21	4.00	3.82	4.00	4.00

Program Summary

TUCSON CAMPUS

Shaina Cooper, Executive Director of Business Services
Phone: (602) 771-4694
A.R.S. § 15-1300 et. Seq

Mission:

To empower children and students with the educational opportunities necessary to succeed in college, career and life.

We are committed to excellence and innovation in:
-Education for all children, throughout Arizona, who are hard of hearing, deaf or have vision loss
-Leadership and Service
-Collaboration with families, school districts, communities, and others
-Partnership with other agencies that will enable children who are hard of hearing, deaf or have vision loss to succeed now and in the future.

Description:

ASDB's Tucson Campus is the home of Arizona School for the Deaf (ASD), Arizona School for the Blind (ASB) and the Arizona Deafblind Project. The Tucson Campus has boarding facilities for students who live far from the Tucson Campus and need the services that only a special school for the deaf or the blind can provide.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	8,305.3	8,550.3	8,550.3
Other Appropriated Funds	4,021.4	5,088.6	5,088.6
Other Non Appropriated Funds	1,094.5	1,402.2	1,402.2
Total Funding	**13,421.2**	**15,041.1**	**15,041.1**
FTE Positions	**161.4**	**161.2**	**161.2**

◆ **Goal** 1 To increase efficiency and effectiveness in the instructional program for students served by ASDB Programs.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Individualized Education Program (IEP) or Individualized Family Service Plan (IFSP) with participation of the representatives from school districts	100	100	100	100	100

◆ **Goal** 2 To ensure 70% of Tucson campus students who enroll in CTE programs complete the program.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
This measures what percentage of students who enroll in CTE programs complete the program in its entirety. The CTE programs are an excellent way for our students to work on their jobs, careers, and post-school outcomes.	92	70	92	70	70

◆ **Goal** 3 To ensure parents are highly satisfied with the educational services and supports provided to their children.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average satisfaction level on a 1-5 Likert Scale is 4.00 or higher.	4.29	4.00	4.30	4.00	4.00

Program Summary

REGIONAL COOPERATIVES

Shaina Cooper, Executive Director of Business Services
Phone: (602) 771-4694
A.R.S. § 15-1300 et. Seq

Mission:

To empower children and students with the educational opportunities necessary to succeed in college, career and life.

We are committed to excellence and innovation in:
-Education for all children, throughout Arizona, who are hard of hearing, deaf or have vision loss
-Leadership and Service
-Collaboration with families, school districts, communities, and others
-Partnership with other agencies that will enable children who are hard of hearing, deaf or have vision loss to succeed now and in the future.

Description:

The regional cooperatives were created to help support students who are deaf/hard of hearing or blind/visually impaired in the general education classroom within their public school setting. If a student requires full-time intensive services from a teacher of the visually impaired or a teacher of the deaf/hard of hearing, the Individualized Education Program (IEP) team will look at all the options available to best meet those needs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4.6	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	15,416.8	17,283.7	17,283.7
Total Funding	**15,421.4**	**17,283.7**	**17,283.7**
FTE Positions	**149.0**	**165.8**	**165.8**

◆ **Goal** 1 To ensure parents are highly satisfied with the educational services and supports provided to their children

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average satisfaction level on a 1-5 Likert Scale is 4.00 or higher.	4.09	4.00	4.10	4.00	4.00

◆ **Goal** 2 To ensure school districts are satisfied with the services ASDB provides to their students

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average satisfaction level on a 1-5 Likert Scale is 4.00 or higher.	4.06	4.00	4.19	4.00	4.00

Program Summary

PRESCHOOL/OUTREACH

Shaina Cooper, Executive Director of Business Services
Phone: (602) 771-4694
A.R.S. § 15-1300 et. Seq

Mission:

To empower children and students with the educational opportunities necessary to succeed in college, career and life.

We are committed to excellence and innovation in:
-Education for all children, throughout Arizona, who are hard of hearing, deaf or have vision loss
-Leadership and Service
-Collaboration with families, school districts, communities, and others
-Partnership with other agencies that will enable children who are hard of hearing, deaf or have vision loss to succeed now and in the future.

Description:

There are two components to the Early Learning Program offered by ASDB - Early Childhood and Family Education (ECFE) and Preschool. ECFE provides services to children (and to the parents of children) from ages birth to three who are deaf, hard of hearing, blind, visually impaired or deaf-blind. The statewide program serves every county in the state of Arizona. ASDB participates with the Arizona Early Intervention Program (AzEIP) in providing early intervention services to families and their children with sensory impairments under IDEA (The Individuals with Disabilities Education Act) Part C. The AzEIP participating State Agencies are the five state agencies identified in A.R.S. §§ 8-651 and 8-652 as responsible for maintaining and implementing a comprehensive, coordinated, interagency system of early intervention services. The five participating state agencies identified in A.R.S. § 8-652 are: Arizona Department of Economic Security (DES), Arizona State School for the Deaf and the Blind (ASDB), Arizona Department of Health Services (ADHS), the Arizona Health Care Cost Containment System (AHCCCS), and the Arizona Department of Education (ADE). The Preschool program serves children from 3 to 5 in a structured learning environment on the Tucson campus and in Phoenix at several locations throughout the metropolitan area. Services offered to eligible children, their families and school districts include the following: Family education, developmentally appropriate center based preschool education, comprehensive educational assessment, functional vision assessments, audiological assessment, orientation/mobility services, physical therapy, sensory integration therapy, occupational therapy, speech/communication therapy, feeding therapy, transition to kindergarten and transportation. For the child and family, an Individualized Family Service Plan (IFSP) is developed that focuses on the early intervention services that a family needs to help them enhance the development of their child.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,940.7	3,171.0	3,171.0
Other Appropriated Funds	3,406.9	2,079.6	2,079.6
Other Non Appropriated Funds	489.4	571.9	571.9
Total Funding	**5,837.0**	**5,822.5**	**5,822.5**
FTE Positions	**42.2**	**49.0**	**49.0**

◆ **Goal** 1 To increase the average frequency of teacher visits for household per month to optimal levels

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Goal is to ramp up the most frequent number of visits/services families receive per month to 3.5 statewide. New Teachers have already been hired and significant training has happened and will continue to happen to meet this goal.	1.6	2.0	2.0	3.0	3.25

Explanation: New performance measure in FY 2018

◆ **Goal** 2 To ensure parents are highly satisfied with the educational services and supports provided to their children.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average satisfaction level on a 1-5 Likert Scale is 4.00 or higher.	4.41	4.00	4.68	4.00	4.00

◆ **Goal** 3 To increase efficiency and effectiveness in the instructional programs for students served by the Early Learning Program offered by ASDB - Early Childhood and Family Education (ECFE) and Preschool.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Individualized Education Program (IEP) for the Preschool Program and Individualized Family Service Plan (IFSP) for the ECFE Program with participation of the representatives from school districts	100	100	100	100	100

Program Summary

ADMINISTRATION

Shaina Cooper, Executive Director of Business Services
Phone: (602) 771-4694
A.R.S. § 15-1300 et. Seq

Mission:

To empower children and students with the educational opportunities necessary to succeed in college, career and life.

We are committed to excellence and innovation in:
-Education for all children, throughout Arizona, who are hard of hearing, deaf or have vision loss
-Leadership and Service
-Collaboration with families, school districts, communities, and others
-Partnership with other agencies that will enable children who are hard of hearing, deaf or have vision loss to succeed now and in the future.

Description:

Arizona State Schools for the Deaf and the Blind (ASDB) was founded in 1912 – the year of Arizona statehood. ASDB provides education and support services to over 2,000 children who are blind, visually impaired, deaf, hard of hearing, or deafblind from birth to grade 12. ASDB operates two schools for the deaf, one school for the blind, a statewide birth-to-three early childhood and family education program, and five regional cooperatives (which provide services to students attending local schools). ASDB is dedicated to empowering young children and students with the educational opportunities necessary to succeed in college, career, and life.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	6,542.2	6,246.2	6,246.2
Other Appropriated Funds	60.3	248.6	248.6
Other Non Appropriated Funds	1,166.3	403.9	403.9
Total Funding	**7,768.8**	**6,898.7**	**6,898.7**
FTE Positions	**74.5**	**69.8**	**69.8**

◆ **Goal** 1 To ensure the average parent satisfication level with ASDB services and supports provided to their children.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average satisfaction level on a 1-5 Likert Scale is 4.00 or higher.	4.18	4.00	4.11	4.00	4.00

◆ **Goal** 2 To maintain a campus (ASD, ASB, and PDSD) student graduation rate of 75% or higher.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average campus (ASD, ASB, and PDSD) student graduation rate.	81	100	90	75	75

◆ **Goal** 3 To ensure 70% of campus students who enroll in CTE programs complete the program.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
This measures what percentage of students who enroll in CTE programs complete the program in its entirety.	85	70	92	70	70

Agency Summary

COMMISSION FOR THE DEAF AND HARD OF HEARING

Sherri L. Collins, Executive Director
Phone: (602) 542-3336
A.R.S. §§ 36-1941 to 36-1978

Mission:

To ensure, in partnership with the public and private sectors, accessibility for the deaf, hard of hearing, deafblind, and persons with speech difficulties, to improve their quality of life.

Description:

The Commission for the Deaf and the Hard of Hearing (ACDHH) acts as an information bureau for the deaf, hard of hearing, deafblind, and individuals with speech difficulties. The Commission works with State and local government agencies and other public and private community agencies to educate staff to better provide services to their deaf, hard of hearing, and deafblind consumers. ACDHH administers a telecommunications equipment distribution voucher program that loans equipment to qualified Arizona residents. The Arizona Relay Service (7-1-1), which allows equal accessibility of public telephone service, is also administered by the Commission. The relay service is required by the Federal Communications Commission. ACDHH is also mandated to license American Sign Language interpreters and certify American Sign Language teachers.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ COUNCIL ACTIVITIES	2,725.6	4,178.4	4,178.4
➢ TDD - TELECOMMUNICATION DEVICE FOR THE DEAF	344.2	446.5	446.5
Agency Total:	**3,069.8**	**4,624.9**	**4,624.9**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	3,069.8	4,624.9	4,624.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**3,069.8**	**4,624.9**	**4,624.9**
FTE Positions	**16.0**	**17.0**	**17.0**

5 Year Plan

Issue 1 Public Awareness

Description To increase public awareness of accessibility issues related to the Deaf, Hard of Hearing, Deaf-Blind and persons with Speech difficulties.

Solutions:

Objective 1.1: Advocate for the rights to equal access to information for citizens.

Objective 1.2: Provide training to service providers.

Objective 1.3: Provide consumer education series to teach citizens self-advocacy techniques.

Objective 1.4: Submit written educational and informational articles to newspapers, magazines and journals.

Objective 1.5: Continue to utilize social media and advanced technology to promote awareness of issues related to deafness and hearing loss.

Issue 2 Partnership/Collaboratioin

Description To increase the number of public and private sector partnerships in providing training and program services.

Solutions:

Objective 2.1: To further intorduce the Healthcare Providers Curriculum to potential healthcare providers.

Objective 2.2: Continue to identify key partners in the field of public safety to improve the quality of services provided to deaf, hard of hearing and deaf-blind citizens during emergencies.

Objective 2.3 Collaborate with current and new partners to develop a public safety training curriculum for professionals and consumers.

Objective 2.4: Collaborate with current and new partners to provide a statewide conference on deafness and hearing loss.

Objective 2.5: Collaborate with advocacy agencies to establish an effective legal resources to provide consultation, mitigation and representation services to consumers with disabilities.

Issue 3 Partnership with Colleges and Universities

Description To Partner with colleges and universities to promote the establishment of training and degree programs to develop professionals in the field of deafness and hearing loss.

Solutions:

Objective 3.1: Collaborate with a college or university to develop a Support Service Provider Training curriculum.

Objective 3.2: Serve on college and university advisory boards to represent the needs of the deaf, hard of hearing, deaf-blind and citizens with speech difficulities.

Objective 3.3: Provide in-service training and education to the students in current degree programs to prepare them to meet the needs of the deaf and the hard of hearing, deaf-blind and individuals with speech impairments.

Issue 4 Licensure

Description To continue to monitor and improve processes related to the licensing of American Sign Language interpreters.

Solutions:

Objective 4.1: To continue to improve all stages of the application process for all categories of licensing.

Objective 4.2: To Provide instructional resources to assist applicants and consumers in understanding all phases of licensing including initial application, fees, penalties and the complaint process.

Issue 5 Telecommunications Equipment Distribution

Description To continue to monitor and improve processess in the Arizona Telecommunications Equipment Distribution Program (AzTEDP)

Solutions:

Objective 5.1: To assess internal processes of the voucher system of the AzTEDP to increase program efficiency and outreach.

Objective 5.2: To increase the number of vouchers distributed by 5% annually.

Objective 5.3: To improve and increase equipment demonstration services.

Objective 5.4: To research advanced technology to improve the quality of telecommunications available to consumers.

Issue 6 Telecommunications

Description To monitor telecommunications relay services to ensure compliance with current contract; maintain excellent customer service and increase service usage.

Solutions:

Objective 6.1: Conduct monthly reviews of required reports from the current service provider.

Objective 6.2: Monitor customer satisfaction rates.

Objective 6.3: Require an increase in outreach and education efforts for Arizona Relay Services.

Objective 6.4: Increase usage of relay services by 5% annually.

Issue 7 Professional Development

Description To maintain the most proficient staff in the field of deafness and hearing loss through professional development.

Solutions:

Objective 7.1: Promote advanced education and training for staff.

Objective 7.2: Promote all methods of training and education.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	17.0	17.0	17.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	4,624.9	4,624.9	4,624.9
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

COUNCIL ACTIVITIES

Curtis Humphries, Business Manager
Phone: (602) 542-3857
A.R.S. §§ 36-1941 through 36-1978

Mission:

To assist agency administrators and political subdivision directors to improve the quality of services available for the Deaf, Hard of Hearing, DeafBlind and persons with speech difficulties; and to educate the Deaf, Hard of Hearing, DeafBlind and persons with speech difficulties on how best to access services.

Description:

The agency director and staff make numerous presentations to public organizations, agencies and private businesses on the needs of the Deaf, Hard of Hearing, Deaf Blind and persons with speech difficulties. These individuals coordinate consumer workshops, seminars, for interpreters, Deaf, Hard of Hearing, Deaf-Blind, and persons with speech difficulties. Support staff responds to hundreds of inquiries regarding technology, laws, and availability of services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,725.6	4,178.4	4,178.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,725.6**	**4,178.4**	**4,178.4**
FTE Positions	**13.0**	**14.0**	**14.0**

◆ **Goal** 1 To increase public awareness of accessibility issues related to the Deaf, Hard of Hearing, DeafBlind and persons with speech difficulties.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of information and referral contacts	17,470,124	12000,000	14708147	12,000,000	12,000,000
Explanation: Contacts and Trainings					
Total number of website visits	142696	200,0000	85,577	200,000	200,000
Explanation: FY19 Launched a new website to drive visits.					
Total number of advertisements	16,369,550	12000,000 0	32191487	12,000,000	12,000,000
Total number of articles	6,752,308	3000,0000	474246	3,000,000	3,000,000
Number of persons receiving training, exhibits and workshops providing information on the Arizona Commission for the Deaf and Hard of Hearing, the Arizona Relay Service, and the Arizona Telecommunications Equipment Distribution Program	3,291	20,000	15,406	20,000	20,000
Number of newsletters distributed	92,097	90,000	90,710	100,000	100,000
Number of viewers impacted by Community View on an annual basis	3,291	5000	5,573	8,000	8,000
Live Streaming views	207	500	1,246	500	500

◆ **Goal** 2 To increase the number of public and private sector partnerships in providing training and program services.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of partnerships formed	12	10	3	5	5

◆ **Goal** 3 To prepare future American Sign Language instructors for national-level standards and certification.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of workshop hours	0	0	0	0	0

Explanation: National ASL Teacher's Association is not currently active.

◆ **Goal** 4 To improve interpreter support services.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of general licensed interpreters	423	300	503	600	600
Average number of calendar days from receipt of complaint about licensed interpreter to resolution	37	90	153	160	160
Number of complaints about certified/licensed interpreters	12	10	11	5	5
Number of licensed legal interpreters	70	65	71	75	75
Number of provisional interpreters	47	60	53	60	60

◆ **Goal** 5 To improve public relations on issues related to hearing loss.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of printed articles related to the Arizona Commission for the Deaf and Hard of Hearing	6,752,308	3000000	3	5	5
Number of printed articles related to the Arizona Telecommunications Equipment Distribution Program	0	75,000	0	5	5
Number of printed articles related to the Arizona Relay Service	1,170,000	175000	0	5	5

Explanation: I

Number of telecommunication advertisements for Arizona Relay Service	0	0	0	5	5
Number of telecommunication advertisements for Arizona Telecommunications Equipment Distribution Program	0	3	0	5	5

Program Summary

TDD - TELECOMMUNICATION DEVICE FOR THE DEAF

Curtis Humphries, Business Manager
Phone: (602) 542-3857
A.R.S. §§ 36-1941 through 36-1978

Mission:

To provide telecommunications access for the Deaf, Hard of Hearing, DeafBlind and persons with speech difficulties.

Description:

The Agency provides various assistive devices on a loaner basis to Arizona residents who are Deaf, Hard of Hearing, Deaf Blind and persons with speech difficulties. In addition, the Agency contracts with an interstate telephone company to provide telephone relay services 24 hours a day, 7 days a week. This relay service provides a link between Deaf, Hard of Hearing, Deaf Blind and persons with speech difficulties and all other telephone users.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	344.2	446.5	446.5
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**344.2**	**446.5**	**446.5**
FTE Positions	**3.0**	**3.0**	**3.0**

◆ **Goal** 1 To monitor telecommunications relay services to ensure compliance with current contract.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of telecommunications relay service calls completed without a complaint	97.24	99.50	96.25	99.50	99.5
Annual call minutes for the telecommunications relay service	204,310	300,000	189,638	300,000	300,000

◆ **Goal** 2 To administer voucher system of the Telecommunications Equipment Distribution Program.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of customer satisfaction with equipment distribution voucher program	0	0	97.48	95.0	95.0
Number of equipment distributed to consumers	0	0	318	500	500
Number of applications distributed to consumers regarding the equipment distribution program	1,086	1,000	560	800	800
Number of demonstrations performed	163	100	95	150	150

Explanation: AZTEDP staff performs demos to match the consurer and the equipment

Agency Summary

BOARD OF DENTAL EXAMINERS

Ryan Edmonson, Executive Director
Phone: (602) 542-4493
A.R.S. §§ 32-1201 and 32-1299

Mission:

To provide information and professional, courteous service to the dental profession and the public, and to protect the oral health, safety, and welfare of Arizona citizens through a fair and impartial system of examination, licensing, complaint adjudication, and enforcement processes.

Description:

The Board of Dental Examiners examines, licenses, and certifies professionals to practice in the field of dentistry; registers business entities providing dental services; and permits mobile dental facilities. The Board also accepts complaints against licensees, certificate holders, business entities, and mobile dental facilities; investigates allegations; and administratively adjudicates complaints. The Board regulates approximately 9,900 business entities and professionals that are licensed or certified to practice in the state, and serves all Arizona citizens who receive their professional services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,007.3	1,229.8	1,531.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,007.3**	**1,229.8**	**1,531.4**
FTE Positions	**11.0**	**11.0**	**12.0**

5 Year Plan

Issue 1 Improve employee efficiencies with technology

Description When employees can be more efficient by having access to relevant and up-to-date technology, it is beneficial to both licensees and the public. The impact of the online renewal application, which allows dentists, dental consultants, dental hygienists and denturists to renew their license online, continues to be a convenience to the licensees using the online renewal application and in reducing the manpower required to move a paper renewal through the process. The Agency will continue to enhance the online renewal application to increase the number of licensees using the application.

With the success of online renewals, the Agency sees opportunity for other online functionality with the same result of convenience to the licensees/applicants, decreasing manpower and real time information available to the public.

As the Dental Practice Act is amended, the Agency is challenged to maintain a database which supports new processes and allows for consistency and increases employee efficiency. Looking to the future, the Agency acknowledges new levels of dental providers are emerging whose regulation will be added to the Dental Practice Act.

Staying current with technology is a priority of Agency leadership. The Agency is challenged to maintain, upgrade and secure the database to prevent frustration and lack of confidence in the Agency's technology by the public using the online directory of licensees, the licensee using an online function and staff maintaining the data.

Using technology to improve employee efficiencies includes the challenge of eliminating the flow of paper through the office.

Solutions:

Strategy 1

The Agency plans to build on the realized efficiencies by developing an online renewal component for business entities, online initial license application submission, and online address changes to include the ability to order and pay for additional licenses.

Strategy 2

The Agency will ensure database enhancements will be ongoing to support the complaint process. Knowing that the Dental Practice Act may be amended at any legislative session, the Agency must be prepared to make database modifications as they are legislated. The Agency has budgeted funds and allocated manpower to continue the relationship with the database vendor.

Strategy 3

The database is web-based which requires the Agency to stay current with technology to include hardware, software and internet services. The Agency plans to consult with state IT professionals for their expertise in what hardware, software and internet services are best practices for the Agency to follow. Replacement equipment will be budgeted for as needed.

Strategy 4

In FY21, the Agency hopes to continue to use the Enterprise Imaging Solution from the State Procurement Office assuming a one-time appropriation is granted.

Issue 2 Agency website has no fillable forms.

Description The Agency would like to be paperless and more efficient through fillable forms.

Solutions:

Strategy 1

The agency will transition from paper forms to on-line fillable forms for all required documents by FY2021. This will not require any addition allocation of resources. The agency will use current staff knowledge to build the required forms.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To ensure public safety through improved efficiencies in regulating the dental profession.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of applications received	922	806	622	950	650
Total number of individuals or facilities licensed	9,977	10,167	9961	10000	10000
Total number of licenses/renewals issued	3,790	3,394	3316	3350	3350
Average calendar days to renew a license (from receipt of application to issuance)	4	10	10	10	10
Percent of cases adjudicated each fiscal year (ratio of complaints resolved to complaints received)	98	90	88	90	90
Average number of calendar days from receipt of complaint to resolution of complaint	106	150	145	150	150
Percent of investigations resulting in disciplinary or enforcement action	5	15	20	15	15
Number of licenses revoked or suspended	3	2	1	2	2
Total number of investigations conducted	228	233	263	250	250
Total number of complaints received annually	240	236	263	250	250
Percent of total licensees with disciplinary action	1	3	18	10	10

◆ **Goal** 2 To become more efficient with online submissions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of foms on the Agency website that are in a filllable format.	0	0	50	100	100

Agency Summary

EARLY CHILDHOOD DEVELOPMENT AND HEALTH BOARD

Marilee Dal Pra, Chief Executive Officer
Phone: (602) 771-5100
A.R.S. Title 8, Chapter 13, and A.R.S. § 8-1181

Mission:

To partner in creating a family-centered, comprehensive, collaborative, and high-quality early childhood system that supports the development, health, and early education of all Arizona children from birth through age five.

Description:

The Arizona Early Childhood Development and Health Board seeks to ensure the quality and accessibility of early childhood development and health programs at the community level. A voter-approved initiative, Proposition 203, created the Board, which is commonly known as "First Things First."

First Things First establishes regional partnership councils throughout the state. Each regional council is funded based on the number of children, from birth to age five year, living in the area, as well as the number of young children whose family income does not exceed 100% of the federal poverty level. Programs funded through First Things First may be conducted by grantees in the region or by the regional partnership council. First Things First receives revenues from an additional tax levied on tobacco products.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	147,409.2	152,195.4	152,195.4
Total Funding	**147,409.2**	**152,195.4**	**152,195.4**
FTE Positions	**148.6**	**164.6**	**164.6**

5 Year Plan

Issue 1 All children have access to high quality, culturally responsive early care and education that promotes their optimal development.

Description a. Early Care amd Education System Development and Implementation-Convene partners andprovide leadership in the development and implementation of a comprehensive early care and education system that is aligned botha cross the spectrum of settings and with the full continuum of the education system.
Goal-Identify and align early care and education programs and services to ensure a comprehensive early childhood system with coordination and efficient use of resources.

b. Quality Early Care and Education Standards, Curriculum and Assessmet-Convene partners, provide leadership, and provide funding for the development and implementation of quality standards for early childhood care and educatin programs and related curricula and assessments.
Goal-Increase use of research/evidence-based curriculum and comprehensive assessment that is aligned with the Arizona State Standards for birth - PreK.

c. Quality, Access and Affordability of Regulated Early Care and Education Settings-Convene partners, provide leadership, and provide funding for increased availability of, and access to, high quality, regulated, culturally responsive and affordable early care and education programs.
Goal-Increase the number of Arizona children, birth through five, with access to, and participation in, quality early careand education.

Solutions:

a.
•Continue coordination, alignment and leveraging of resources of state and federal programs to support alignment of state and federal programs and common intake systems to support families in enrolling their children in early care and education programs.
•With partners establish an integrated data system to provide data that can be used to evaluate and monitor the Early Care and Education System.

b.
•Alignment of curriculum and child assessment components with Federal, State, and tribal requirements.
•Support early care and education programs in the use of research/evidence-based curriculum and comprehensive assessment,
oSupport early care and education programs in establishing at minimum, an assessment process for: Screening measures; Formative assessment for all children; and Kindergarten entry.

c.
•Make available quality, affordable and culturally responsive early childhood education programs to all children and families across Arizona focusing on access to early care and education programs serving infants and toddlers, children in the child welfare system, children with special needs, and high poverty areas; and bringing Quality First—Arizona's Quality Improvement and Rating System—to scale.

Issue 2 All children have access to high quality, preventive and continuous health care, including physical, mental, oral and nutritional health.

Description a.Access to Quality Health Care Coverage and Services—Collaborate with partners to increase access to high quality health care services (including oral health and mental health) and affordable health care coverage for young children and their families.

Goals-

i.To increase the number of Arizona children birth through five with access to preventive health services, including oral health, behavioral health, and immunizations. This includes oral health, behavioral health, immunizations, and services for families that address the social determinants of health.

ii.To increase the number of Arizona children birth through five that are receiving care coordination services and healthcare through a medical and dental home.

iii.To increase parents and caregivers knowledge and understanding on how to support their child's optimal health and development.

b.Early Screening and Intervention-Collaborate with partners to increase awareness of and access to a continuum of information, support, and services for families and their children who have or are at risk of having developmental, physical, and/or mental health issues.

Goals-

i.To increase the number of Arizona children birth through five receiving appropriate developmental and health screening.

ii.To create, sustain, and expand the development of coordinated statewide and community based systems to identify and serve children with physical, behavioral, developmental and social needs.

iii.To increase the number of Arizona children birth through five that are receiving appropriate supports and intervention services based on screenings.

iv.To increase the number of Arizona pregnant women receiving early and adequate maternal health services, oral health screening, and immunizations.

Solutions:

a.

•Continue efforts to improve children's oral health and work to make sure that oral health care is unduplicated and coordinated for children with a focus on high risk and vulnerable children.

•Support medical homes (including tribal health partners) providing care coordination services for children with an emphasis on children with complex needs and high risk and vulnerable children.

•Work with system partners serving children birth through five to provide timely, coordinated, and appropriate care to families.

•Support health insurance outreach, enrollment and increase health insurance literacy.

• Collaborate with AHCCCS, managed care plans, and tribal health partners to work on issues affecting children birth through five, including:

oAnalysis of data on utilization of healthcare services, including EPSDT and other children's preventive health services. Use data to support work promoting children's access to early and periodic screening, diagnosis and treatment.

oSupport AHCCCS flexibility to provide children's preventive services through home visitation, screening and interventions, and behavioral health services.

•Explore ways to help rural and tribal children better access services such as community health workers, tele-health, transportation, and workforce capacity building.

•Support efforts to increase referrals to maternal health services, and services that address the social determinants of children's health across health programs and policies.

•Partner to increase the health literacy of families so they can effectively advocate within a complex health system for timely, appropriate, and coordinated care for their children.

b.

•Support standardized developmental, autism, oral health and sensory screening services. Screenings should include social determinants and toxic stress to better support the child and family. Refer mothers to maternal health services and screenings; and connect families to appropriate services and interventions.

oPartner to ensure children are meeting national standards for appropriate screenings; getting referred for evaluation, and connected to services and treatment.

oWork with partners to reduce duplication of services, coordinate screenings, help families understand the results, and support the appropriate follow up and referrals needed.

oConvene partners to address children's access to appropriate and timely interventions

oContinue to partner with efforts to increase sensory screening including identification of data sources.
•Explore the use of telehealth services to expand capacity, with attention to shortage areas.
•Work with tribal health partners to improve collaboration with state agencies to increase screening and decrease no show rates.
•Partner to identify opportunities to leverage best practices around the integration of screening and referral for social determinants of health.
•Support organizations working with young children to inform families about and increase access to screenings, maternal health services, and immunizations.

Issue 3 All families have the information, services and support they need to help their children achieve to their fullest potential.

Description a. Supports and Services for Families—Convene partners, provide leadership, provide funding, and advocate for development, enhancement, and sustainability of a variety of high quality, culturally responsive, and affordable services, supports, and community resources for young children and their families.
Goals-
i.To increase the availability of and access to high quality family support services for families with young children.
ii.To continuously improve the quality of family support services.
iii.To increase coordination of planning, development, funding and delivery of family support services to meet the needs of families and leverage available resources.

b. Information and Education for Families - Convene partners, provide leadership, and provide funding for the development and coordinated dissemination of high quality, diverse, and relevant information and education on the importance of the early years, child development, health, early education, and related resources for families, providers, partners, and the public.
Goals-
i.To increase families understanding and use of parenting practices that promote positive child development, health and literacy outcomes for their children.

Solutions:
a.
•Continue to support a continuum of quality family support strategies to meet the needs of families including social determinants of health ranging from low intensity and universal reach to all families to high intensity and reach to targeted populations.
•Continue to support the strengthening of Arizona's Home Visitation System.
•Provide specialized professional development for family support providers to increase knowledge and skills to serve and meet the needs of families:
•Continue to coordinate with state agencies and partners to ensure resources are maximized, avoid duplication, and concentrate on complementary services.
•Provide support and technical assistance to employers to develop family-friendly work policies.

B.
•Increase parent/caregiver awareness with fact-based information and resources that are accessed, and universally, available through web-based, social media, mobile and other technology platforms.
•Partner and work with community partners to ensure parents/caregivers have access to information, activities, and available services.
•Coordinate across system partners to disseminate information and connect parent/caregivers to information, resources and services.
•Support parents/caregivers to be a resource to one another.
•Develop a communication strategy aimed at family, friend and neighbor providers, informing them of available supports.
•Create universal messages and information for all families and targeted messages for various high risk and target populations.

Issue 4 All early childhood education and health professionals are well prepared, highly skilled, and compensated commensurate with their education and experience.

Description a.Professional Development System and Recruitment and Retention of Professionals in the Early Childhood System - Convene partners, provide leadership, and provide funding for the development and enhancement of an early childhood professional development system that addresses availability, accessibility, affordability, quality, and articulation. Convene partners, provide leadership, and provide funding for the recruitment, adequate compensation, and retention of high quality, culturally diverse early childhood professionals.

Goal-

i.To implement, align, and continuously improve Arizona's Professional Development System that supports the education, recruitment, and retention of early childhood professionals.

Solutions:

a.

•Support partners across the early childhood system to promote and utilize the Arizona Early Childhood Career and Professional Development Network, including the Workforce Knowledge and Competencies (WFKC), Workforce Registry, and Instructor and Technical Assistance Provider Standards.

•Collect and maintain accurate and comprehensive early childhood workforce data to inform and support decision making.

•Develop and strengthen a continuum of intentional educational and professional development career pathways for the early childhood workforce, for both pre-service and ongoing in-service, specifically ensuring resources as well as access in rural, tribal, and high poverty areas.

•Design a quality assurance process that supports the delivery of PD based on the Instructor and TA Standards and use of research-based instructional strategies that support behavior change in teachers' implementation of best practices in early care and education.

•Support early childhood workforce compensation, incentives, benefits, work environment, and employee retention efforts through the review of research and use of data from the Registry.

Issue 5 The early childhood System is high quality, child and family centered, coordinated, integrated and comprehensive

Description a.Early Childhood System Leadership - Convene partners, provide leadership, and provide funding for the conceptualization and implementation of a high quality, child and family centered, coordinated, integrated, and comprehensive early childhood system that includes clearly defined roles and responsibilities.

Goals-

i.To clearly describe Arizona's comprehensive early childhood system and define the roles and responsibilities of those involved in its implementation to increase coordination and leverage resources and services for young children.

ii.To have a common understanding of the early childhood system among agencies and organizations involved in the system, share ownership in its implementation and agree to shared outcomes for young children.

iii.To support State, tribal and local jurisdictions in their efforts to conceptualize and design high quality early childhood opportunities.

iv.Early childhood is recognized as a core component of the P-20 education system.

b.Early Childhood System Funding – Secure, coordinate, and advocate for resources required to develop and sustain the early childhood system.

Goals-

i.To leverage FTF resources to secure federal and foundation grants to build and sustain the early childhood system.

ii.To strengthen relationships with Arizona business, individuals, and private sector foundations to secure philanthropic investments and partnerships to enhance and sustain the early childhood system.

iii.To increase alignment of federal, state, local and tribal funding that supports a comprehensive early childhood system.

c. Early Childhood System Data and Evaluation-Define and carry out roles related to collecting, analyzing, and reporting data; utilize data to design, develop, plan, and evaluate the early childhood system; and provide leadership in the evaluation of the early childhood system and collaborate with partners to utilize the results to foster continuous improvement of the system.

Goals-

i.To ensure that data needed to inform and guide program and policy decisions is available, coordinated and utilized at the state and local level.

ii.To conduct a comprehensive evaluation of the early childhood system and use results for continuous improvement of the system.

Solutions:

a.

•Develop and implement a shared agenda across state agency partners that minimally includes:

oPrioritizing high risk and vulnerable populations across the health, education and family serving sectors;

oAligning policies and increasing coordination to reduce duplication across health, education and family support; and

oContinuing focused efforts in improving quality early care and education, improving early language and literacy outcomes, strengthening and expanding professional development, strengthening the comprehensive early intervention system, and alignment with AHCCCS.

•Continue to align and support the intersection of the early childhood system with k-3 education including emphasis on developmentally effective and appropriate practice; leveraging and alignment of resources; and professional development

•Convene state and system partners to address barriers to availability and access to quality services, particularly in rural and tribal areas.

•Continue to develop and strengthen relationships with local governments and tribes and nations to support new and expand early childhood opportunities

b.

•Identify and establish philanthropic, federal, state and tribal partnership and investment opportunities that support and advance the early childhood system.

•Actively prospect, cultivate and steward strategic relationships with national and state foundations, individual/major donors and corporations to invite and secure private philanthropic investments to support established priorities.

•Continue to develop FTF's system to search, vet and pursue both public and private grant opportunities.

•Continue to cultivate and identify partnerships with federal agencies and programs.

C.

•Continue to enhance data to inform FTF strategy impact/outcomes that will link to the Integrated Data System.

•Plan and conduct studies, based on 2018-2022 FTF Research and Evaluation Plan, which will evaluate the impact of FTF-funded work that will inform Early Childhood System work.
•Coordinate with system partners on the development and implementation of an Integrated Data System by:
oCoordinating with system partners to standardize definitions, map, share, and access data indicators to understand impact.
OData should inform child outcomes and system progress.
OFocusing on shared accountability among system partners on quality and integrity of data.
ODeveloping interagency agreements that allow for the exchange and sharing of data among state, tribal and other government agencies that are funding or providing services to young children and families.
OExecuting a small-scale blueprint, to serve as a proof of concept, to demonstrate the feasibility of an integrated data system and how it has practical potential in meeting the Early Childhood System needs and coordinated use.
•Continue coordination with system partners to support implementation of common measure of school readiness.
OPartner with ADE to work on the implementation of the Kindergarten Developmental Inventory with school districts including outreach, professional development, and analysis of data to understand children's school readiness.
•Demonstrate success with a small scale project at community level that evaluates how individual and collective work of early childhood system partners is impacting young children's school readiness.

Issue 6 All Arizonans understand the importance of the early years and the impact of early childhood development and health and education on Arizona's economy and quality of life and, as a result, substantially support early childhood development, health and education both politically and financially.

Description a.Building Public Awareness and Support—Convene partners, provide leadership, and provide funding for efforts to increase public awareness of and support for early childhood development, health and early education among partners, public officials, policy makers, and the public.
Goals-
i.To increase the number of diverse constituencies who use consistent, compelling messages to actively raise awareness of and build public support for the importance of early childhood as an issue that impacts all Arizonans.
ii.To increase families' understanding of the importance of early childhood and awareness of resources available to help them ensure positive experiences in their child's first five years.
iii.To increase policymakers' recognition of the role early childhood plays in educational and economic outcomes and increase regular engagement of early childhood voices in public policy conversations.

Solutions:
a.
•Increase the engagement of diverse constituents across Arizona who act in support of building an effective early childhood system.
•Ensure consistent public messaging about early childhood and increase the presence of consistent early childhood strategic messaging across broad communications channels throughout the state.
•Engage parents and caregivers of young children with relevant, credible and appealing content through digital communications channels.
•Highlight the impact of FTF funded programs on young children and their families.
•Expand the profile and recognition of First Things First as a leader in early childhood policy and practice.
•Leverage opportunities to increase understanding of early childhood's impact on a broad range of topics among state, federal, tribal and local policymakers.
•Build recognition of First Things First strategies as synonymous with improving outcomes in early childhood.

Issue 7 FTF is a model for comprehensive planning and program implementation that integrates innovation and a systems thinking approach with an emphasis on data driven decisions and continuous quality improvement.

Description a.FTF staff and volunteers have the resources, structures and processes in place so that continuous learning can occur and be recognized.

b.Establish and maintain internal systems that promote accountability, efficiency and improvement.

Solutions:

a.

i.Develop fluent, adaptive and responsive systems thinkers who know how to apply systems thinking across the organization (staff and volunteers) and externally with system partners.

ii.Establish mechanisms by which Regional Councils can provide local leadership in developing an early childhood systems model.

b.

i.Implement statewide and regional funding plans that are consistent with FTF's indicators, benchmarks to progress, strategic direction, Standards of Practice based on best and evidence based practice, FTF logic model and the Arizona Model System.

Ii.Advance fiscal policy that is transparent, accountable, a public sector model and that aligns with a systems approach to programmatic implementation.

Issue 8 FTF is a highly sought after place of employment and engagement that attracts and retains exceptional and diverse talent among staff and volunteers.

Description a.Early Care and Education System Development and Implementation—Convene partners and provide leadership in the development and implementation of a comprehensive early care and education system that is aligned both across the spectrum of settings and with the full continuum of the education system.
Goals-
i.Identify and align early care and education programs and services to ensure a comprehensive early childhood system with coordinated and efficient use of resources.

b.Quality Early Care and Education Standards, Curriculum and Assessment—Convene partners, provide leadership and provide funding for the development and implementation of quality standards for early childhood care and education programs and related curricula and assessments.
Goals-
i.Increase use of research/evidence-based curriculum and comprehensive assessment that is aligned with the Arizona State Standards for birth – pre-k.

c.Quality, Access and Affordability of Regulated Early Care and Education Settings—Convene partners, provide leadership, and provide funding for increased availability of and access to high quality, regulated, culturally responsive and affordable early care and education programs.
Goals-
i.Increase the number of Arizona children birth through five with access to and participation in quality early care and education

Solutions:
a.
•Continue coordination, alignment and leveraging of resources of state and federal programs to support alignment of state and federal programs and common intake systems to support families in enrolling their children in early care and education programs.
•With partners establish an integrated data system to provide data that can be used to evaluate and monitor the Early Care and Education System.

b.
•Alignment of curriculum and child assessment components with Federal, State, and tribal requirements.
•Support early care and education programs in the use of research/evidence-based curriculum and comprehensive assessment,
oSupport early care and education programs in establishing at minimum, an assessment process for: Screening measures; Formative assessment for all children; and Kindergarten entry.

c.
•Make available quality, affordable and culturally responsive early childhood education programs to all children and families across Arizona focusing on access to early care and education programs serving infants and toddlers, children in the child welfare system, children with special needs, and high poverty areas; and bringing Quality First—Arizona's Quality Improvement and Rating System—to scale.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	165.0	165.0	165.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	119,793,377.0	119,584,177.0	119,217,875.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To support the building of a comprehensive, high quality early childhood development and health system

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Dollars (in millions) awarded in support of direct program delivery	134.6	130.2	137.7	129.5	129.5
Number of awards made	193	156	191	178	178
Number of Board service program goal areas funded	6/6	6/6	6/6	6/6	6/6

◆ **Goal** 2 To increase public awareness of, and support for early childhood investment.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Dollars (in millions) spent on Communications	3.2	3.2	2.7	3.2	3.2
% of regions participating in a coordinated communications strategy	100	100	100	100	100
% of Arizonans who see Early Education as important and % who see K-12 important.	73/88	75/88	76/90	77/90	77/90

◆ **Goal** 3 To achieve high level of integration, coordination and collaboration with early childhood partners and stakeholders.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Estimated number of grants that have Grant and Sub-Grantee relationship	41	25	32	25	25
Number of multi-agency grants FTF is the recipient of	5	5	4	5	5
% of Council seats/positions (required by statute to have broad and diverse community and sector composition) not filled	11	12	10	10	10

◆ **Goal** 4 To monitor and report on services, results, and outcomes

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Dollars (in millions) spent on evaluation and Needs & Assets	2.4	5.3	2.9	5.3	5.3
% of grantees (providing direct client services and have reporting requirements) reporting on units served	100	100	100	100	100

◆ **Goal** 5 To provide a cohesive and efficient delivery support structure within FTF

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Staff Vacancy Rate (%)	5	4	6	3	3
Staff External Turnover Rate (%)	21	16	17	16	16
Staff External Voluntary Turnover Rate (%)	19	13	16	14	14
% of regional councils with dedicated staff	100	100	100	100	100
% of female (vs. male) employees	86	86	86	86	86
% of minority employees	47	47	45	45	45

◆ **Goal** 6 To be fiscally accountable to the citizens of Arizona

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Major Deficiencies in the Annual Audit	0	0	0	0	0

Agency Summary

DEPARTMENT OF ECONOMIC SECURITY

Michael Trailor, Director
Phone: (602) 542-5678
A.R.S. § 41-1954

Mission:

To make Arizona stronger by helping Arizonans reach their potential through temporary assistance for those in need and through care for the vulnerable.

Description:

The Department of Economic Security (DES) is an integrated human services agency that provides critical opportunity, assistance, and care for approximately two million Arizonans. Across its 40 programs, DES employees seek to serve fellow Arizonans with integrity, humility, and kindness.

More specifically, DES works with job creators to provide employment assistance, including vocational rehabilitation for individuals with physical or mental impairment and job training for economically disadvantaged adults and youth. Eligible working parents receive child care assistance. The Department manages the Unemployment Insurance Program, including collecting taxes and providing benefits.

DES provides assistance and services that support Arizonans' goals of obtaining greater self-sufficiency, including food, health care, and parental financial support to children; services to individuals with disabilities; assistance to victims of domestic violence; aid to individuals experiencing homelessness and hunger, and families needing assistance with utility bills; and protection for the vulnerable by investigating allegations of abuse, neglect, and exploitation.

The Department assists individuals and families by determining eligibility for temporary cash assistance, nutritional assistance, Medicaid, Social Security Disability Insurance (SSDI), and Supplemental Security Income (SSI).

The Department provides early intervention services for infants and toddlers with developmental delays and home and community-based services for clients with intellectual and developmental disabilities. The Department assists parents in receiving child support payments by locating absent parents, establishing paternity and the legal obligation to pay, and evaluating the absent parent's ability to pay.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	122,197.7	130,235.6	130,220.1
➢ DEVELOPMENTAL DISABILITIES	1,802,456.1	2,053,050.6	2,267,922.1
➢ BENEFITS AND MEDICAL ELIGIBILITY	1,434,222.0	1,388,862.0	1,388,862.0
➢ CHILD SUPPORT ENFORCEMENT	47,375.9	62,041.3	62,041.3
➢ AGING AND ADULT SERVICES	129,506.5	148,444.6	147,444.6
➢ DIVISION OF CHILDREN, YOUTH AND FAMILIES	207,564.8	207,409.9	207,409.9
➢ EMPLOYMENT AND REHABILITATION SERVICES	535,150.3	590,717.5	584,817.5
Agency Total:	**4,278,473.3**	**4,580,761.5**	**4,788,717.5**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	662,286.9	749,708.2	812,638.2
Other Appropriated Funds	273,214.4	336,309.0	336,309.0
Other Non Appropriated Funds	3,342,972.0	3,494,744.3	3,639,770.3
Total Funding	**4,278,473.3**	**4,580,761.5**	**4,788,717.5**
FTE Positions	**7,767.2**	**8,122.4**	**8,130.5**

5 Year Plan

Issue 1 To improve the quality and timeliness of services, through the development of a high performing workforce

Description The Arizona Department of Economic Security is committed to improving the timeliness and quality of services and supports to Arizonans in need. As part of the implementation of the Arizona Management System, DES underwent a strategy deployment process to identify the areas that impact our customers the most, and where significant improvements are needed

Solutions:

Reduce vacancy and absenteeism to serve Arizonans better

Equip staff to follow and leaders to manage standard work

Work as a team toimprove outcomes

Retain committed professionals to serve Arizonans better

Improve safety through objective decision making at the AdultProtective Services (APS) Central Intake

Decreasethe Supplemental Nutrition Assistance Program (SNAP) error rate

Decrease the child support debt error rate percentage

Improve the quality of person-centric supports for people with developmental disabilities

Improve the percentage of individuals who retain their employment placement through strengthening the connection between job seekers and employers

Decrease the length of time to complete a comprehensive Adult ProtectiveServices (APS) investigation

Decreasewait times in local benefits and medical eligibility offices

Decrease the number of days from application to payment for child support services

Improve the timeliness of service delivery for people with developmental disabilities

Decrease the average number of days to employment

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To maintain and improve high performing culture

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New Hire Turnover-%	3.3	2.5	6.6	5.9	5.3
Employee engagement score	2.9	4.1	2.9	N/A	N/A

Program Summary

ADMINISTRATION

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954

Mission:

To provide leadership, direction, coordination, and support to enable the Department of Economic Security to achieve its mission and vision.

Description:

The Administrative support areas provide leadership, direction, coordination, and support to the Department and its client divisions in delivering human services to the people of Arizona.

This Program Contains the following Subprograms:

- Central Administration
- Attorney General Legal Services
- Governor's Advisory Council on Aging
- Governor's Council on Developmental Disabilities
- ABLE Program

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	20,785.2	21,100.7	21,100.7
Other Appropriated Funds	10,279.0	11,870.8	11,870.8
Other Non Appropriated Funds	91,133.5	97,264.1	97,248.6
Total Funding	**122,197.7**	**130,235.6**	**130,220.1**
FTE Positions	**988.2**	**1,064.9**	**1,063.9**

Subprogram Summary

CENTRAL ADMINISTRATION

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
Public Law 108-446

Mission:

To provide leadership, direction, coordination, and support to enable the Department of Economic Security to achieve its mission and vision.

Description:

The Central Administration of DES consists of the Office of the Director, Office of Accountability, Business and Finance, Technology Services, Financial Services, Human Resources, Training and the Inspector General.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	19,506.9	19,822.5	19,822.5
Other Appropriated Funds	7,691.8	9,137.0	9,137.0
Other Non Appropriated Funds	81,116.5	86,448.2	86,432.7
Total Funding	**108,315.2**	**115,407.7**	**115,392.2**
FTE Positions	**823.3**	**900.0**	**899.0**

◆ **Goal** 1 to N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average calendar days to hire for open positions in the Department	54.6	45.0	39	40	35
Number of Investigation Cases opened	12,602	12,000	6,649	9,000	9,000
Number of Investigation Cases closed	15,144	11,600	7,876	8,000	8,500
Investigations Workload	2,895	3,295	1,410	2,410	2,910

Subprogram Summary

ATTORNEY GENERAL LEGAL SERVICES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-191

Mission:

To provide the Department of Economic Security with high-quality and timely legal advice and representation to promote the safety, economic self-sufficiency, and well-being of children, adults, and families.

Description:

The Attorney General Child and Family Protection Division is responsible for providing legal services to all programs and business operations of the Department of Economic Security (DES). The division provides these services through two sections: the Child Support Enforcement Section, which represents the Division of Child Support; and the Civil, Criminal Litigation and Advice Section (CLA) which provides legal advice and representation in administrative hearings and state and federal courts to all other programs within the Department, as well as all personnel and operations matters. In addition, CLA prosecutes criminal cases relating to various DES programs, including recipient benefit fraud, employee embezzlement, provider fraud, and criminal nonpayment of child support.

NOTE: Goals and performance measures for this program are included in the Master List for the Attorney General, AGA 1.4, Child and Family Protection Division.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,227.8	1,227.7	1,227.7
Other Appropriated Funds	2,587.2	2,733.8	2,733.8
Other Non Appropriated Funds	8,917.1	9,646.2	9,646.2
Total Funding	**12,732.1**	**13,607.7**	**13,607.7**
FTE Positions	**156.9**	**156.9**	**156.9**

Subprogram Summary

GOVERNOR'S ADVISORY COUNCIL ON AGING

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 46-183

Mission:

To advise the Governor, Legislature, and all state departments that the Council deems necessary on all matters and issues relating to the aging population, including the administration of the State Plan on Aging.

Description:

The Governor's Advisory Council on Aging (GACA) is a policy advisory body and does not have regulatory authority. It was established and organized to meet the responsibilities and duties prescribed in A.R.S. § 46-183. The Council advises the Governor, the Legislature, and state departments about aging policies and programs. The Council works to find solutions to the current aging problems and lay groundwork for the future needs of an increasingly aging population.

Note: The goals and performance of this program are reflected in the measures for the Division of Aging and Adult Services and its programs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	50.5	50.5	50.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	119.3	140.2	140.2
Total Funding	**169.8**	**190.7**	**190.7**
FTE Positions	**2.0**	**2.0**	**2.0**

Subprogram Summary

GOVERNOR'S COUNCIL ON DEVELOPMENTAL DISABILITIES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
Public Law 106-402; E.O. 2009-8

Mission:

To work in partnership with individuals with developmental disabilities and their families through systems change, advocacy, and capacity building activities that promote independence, choice, and the ability of all individuals to pursue their own dreams.

Description:

The Governor's Council on Developmental Disabilities is Arizona’s state planning council for people with developmental disabilities. Formerly known as the Developmental Disabilities Planning Council, it was established in 1974 and organized to meet the responsibilities and duties prescribed in the Developmental Disabilities Assistance and Bill of Rights Act (Public Law 98-527 as amended by Public Law 104-183, Public Law 106-402).

Note: The goals and performance of this program are reflected in the measures for the Division of Developmental Disabilities and its programs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	980.6	1,029.5	1,029.5
Total Funding	**980.6**	**1,029.5**	**1,029.5**
FTE Positions	**6.0**	**6.0**	**6.0**

Subprogram Summary

ABLE PROGRAM

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 46-901 through 46-908

Mission:

To administer the Achieving a Better Life Experience Act.

Description:

Laws 2016, Chapter 214 established the Achieving a Better Life Experience Act (ABLE) program within DES. 26 U.S.C. § 529A, the ABLE Act allows for tax free savings accounts to be used for qualifying expenses benefitting individuals with significant disabilities, and eliminates penalties for work and saving by generally exempting ABLE account funds from counting towards eligibility for federal benefits programs.

Laws 2016, Chapter 214 establishes within DES an oversight committee comprised of members appointed by the Department, the State Treasurer, and specified community representatives selected by the governor.

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of account holders enrolled under the AZ ABLE Program	182	520	759	1,309	1,859

Program Summary

DEVELOPMENTAL DISABILITIES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 36-554

Mission:

To support the choices of individuals with developmental disabilities and their families by promoting and providing flexible, quality, consumer-driven services and supports.

Description:

The Division of Developmental Disabilities, in partnership with individuals with developmental disabilities, their families, advocates, community members, and service providers, administers and manages the various programs, services, and supports to Arizonans and their families who have autism, cerebral palsy, epilepsy, or a cognitive disability, which is manifested before the age of 18, and children who are below the age of six and at risk of having a developmental disability.

The Division serves both Arizona Long Term Care System (ALTCS) eligible individuals and state only eligible individuals with developmental disabilities. ALTCS is a federally matched Medicaid research and demonstration program. Individuals with developmental disabilities who are eligible for services through the Division may also be eligible for services through the Arizona Long Term Care System.

This Program Contains the following Subprograms:

- Developmental Disabilities Operations
- Case Management - Title XIX
- Case Management - State Only
- Home and Community Based Services - Title XIX
- Home and Community Based Services - State Only
- Institutional Services - Title XIX
- Medical Services
- ATP-Coolidge - Title XIX
- State-Funded Long Term Care
- Medicare Clawback Payments
- Arizona Early Intervention Program

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	554,051.6	642,431.2	706,361.2
Other Appropriated Funds	28,545.2	27,779.6	27,779.6
Other Non Appropriated Funds	1,219,859.3	1,382,839.8	1,533,781.3
Total Funding	**1,802,456.1**	**2,053,050.6**	**2,267,922.1**
FTE Positions	**2,095.0**	**2,264.5**	**2,273.6**

Subprogram Summary

DEVELOPMENTAL DISABILITIES OPERATIONS

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 36-554

Mission:

To enhance supports and services to consumers and families through the effective and efficient use of state and federal funding.

Description:

The Division of Developmental Disabilities Operations subprogram provides administrative oversight and operating support for the all of the Division's programs, including programs for both Arizona Long Term Care System (ALTCS) eligible individuals and state only eligible individuals with developmental disabilities. The Division of Developmental Disabilities coordinates services and resources through five district offices and approximately 58 local offices in various communities throughout the state.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	48,875.9	144,674.2	145,324.2
Other Appropriated Funds	3,000.0	1,220.0	1,220.0
Other Non Appropriated Funds	225,052.4	325,868.7	326,010.2
Total Funding	**276,928.3**	**471,762.9**	**472,554.4**
FTE Positions	**454.0**	**565.5**	**571.6**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Current Members who Received Services within 14 Days from Assessment Date	72.0	90	77.4	80.0	80.0

Subprogram Summary

CASE MANAGEMENT - TITLE XIX

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 36-554

Mission:

To coordinate services and supports in a timely manner for eligible individuals with developmental disabilities and their families to promote attainment of maximum potential for independence, productivity, and integration into the community.

Description:

Case management services coordinate services and supports for Long Term Care eligible individuals and their families.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	21,120.5	22,811.7	22,811.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	44,131.8	53,152.8	53,152.8
Total Funding	**65,252.3**	**75,964.5**	**75,964.5**
FTE Positions	**1,016.0**	**1,124.4**	**1,124.4**

◆ **Goal** 1 To provide quality case management services for all eligible consumers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of consumer satisfaction with case management services (Title XIX only)	91.0	100	96.0	95.0	95.0
Average number of consumers with developmental disabilities served	32,310	33,764	33,988	35,752	37,575
Case management ratio (including metro, rural, Title XIX, TCM, and state-only)	1:92	1:80	1:51	1:40	1:40

Subprogram Summary

CASE MANAGEMENT - STATE ONLY

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 36-554

Mission:

To coordinate services and supports in a timely manner for eligible individuals with developmental disabilities and their families to promote attainment of maximum potential for independence, productivity, and integration into the community.

Description:

Case management services coordinate services and supports for state-only eligible individuals and their families.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,913.4	6,194.6	6,444.6
Other Appropriated Funds	1,000.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**5,913.4**	**6,194.6**	**6,444.6**
FTE Positions	**57.0**	**77.6**	**80.6**

◆ **Goal** 1 To promote quality case management services for all eligible consumers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of consumers with developmental disabilities served	4,025	4,206	3,806	4,000	4,250
Case management ratio (including metro, rural, Title XIX, TCM, and state-only)	1:92	1:80	1:51	1:40	1:40

Subprogram Summary

HOME AND COMMUNITY BASED SERVICES - TITLE XIX

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 36-552

Mission:

To effectively meet the needs of eligible individuals with developmental disabilities and their families, in the least restrictive home- and community-based settings, using the principles of family support and self-determination to promote independence and inclusion within the community.

Description:

This program consists of home- and community-based services including, but not limited to, respite, habilitation, therapies, and attendant care delivered in the consumer's home and community.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	373,924.5	427,036.4	489,636.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	773,601.7	968,825.7	1,119,625.7
Total Funding	**1,147,526.2**	**1,395,862.1**	**1,609,262.1**
FTE Positions	**156.0**	**156.0**	**156.0**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of child and adult consumers with a developmental disability that live with their family or in their own home or in a community-based setting	88.0	90.0	89.9	90.0	90.0
Average number of individuals served (ALTCS)	28,930	30,232	31,927	35,215	38,843
Percent of relatives and caregivers of consumers stating the services received meet the consumer's needs	91.0	93.0	96.0	96.0	96.0
Percent of relatives and caregivers satisfied with the providers of services received	91.0	93.0	96.0	96.0	96.0
Percent of eligible adult consumers placed in community employment	13.4	16.0	13.5	13.5	14.0

Subprogram Summary

HOME AND COMMUNITY BASED SERVICES - STATE ONLY

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 36-552

Mission:

To effectively meet the needs of eligible individuals with developmental disabilities and their families, in the least restrictive home- and community-based settings, using the principles of family support and self determination to promote independence and inclusion within the community.

Description:

This program consists of home- and community-based services, including, but not limited to, respite, habilitation, therapies, and attendant care delivered in the consumer's home and community.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	13,589.0	13,589.0	13,589.0
Other Appropriated Funds	120.0	0.0	0.0
Other Non Appropriated Funds	5.3	5.3	5.3
Total Funding	**13,714.3**	**13,594.3**	**13,594.3**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of child and adult consumers with a developmental disability who live with their family or in their own home or in a community-based setting	98.0	98.0	99.3	98.0	98.0
Average number of individuals served (TCM)	4,992	5,217	4,922	5,000	5,000
Average number of individuals served (DDD State-Only)	3,623	3,786	3,806	4,000	4,202

Subprogram Summary

INSTITUTIONAL SERVICES - TITLE XIX

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 36-552

Mission:

To provide services and supports to eligible individuals with developmental disabilities that will promote home- and community-based placement whenever appropriate.

Description:

This program consists of state and privately operated intermediate care facilities (ICF) and nursing facilities.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	13,621.8	15,015.5	15,015.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	25,674.8	34,987.3	34,987.3
Total Funding	**39,296.6**	**50,002.8**	**50,002.8**
FTE Positions	**338.0**	**338.0**	**338.0**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of consumers in ICF/MRs and skilled nursing facilities (*point in time 6/30)	169	177	145	125	110
Number of consumers in Institutional Settings	38	40	34	30	25

Subprogram Summary

MEDICAL SERVICES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 36-2939

Mission:

To provide cost-effective, quality medical services that enable Arizona Long Term Care System (ALTCS) eligible individuals with developmental disabilities to achieve and maintain optimal health and well-being.

Description:

The program provides medical care and services for ALTCS-eligible individuals including hospital care; physician, pharmacy, laboratory, and rehabilitation services; durable medical equipment; and early and periodic screening, diagnosis, and treatment and other medical services, care, and supports.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	65,421.4	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	151,393.3	0.0	0.0
Total Funding	**216,814.7**	**0.0**	**0.0**
FTE Positions	**71.0**	**0.0**	**0.0**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of consumers receiving acute care services through the Division of Developmental Disabilities	32,040	33,480	33,512	35,054	36,666

Subprogram Summary

ATP-COOLIDGE - TITLE XIX

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 36-2939

Mission:

To provide active treatment, residential care, supervision, and services to eligible individuals to promote home and community placements whenever possible and appropriate.

Description:

The Arizona Training Program at Coolidge is an Intermediate Care Facility (ICF) consisting of certified residential facilities that provide active treatment and other services in accordance with federal and state regulations.

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of consumers at ATP in Coolidge at group homes	19	17	18	17	17
Number of consumers at ATP in Coolidge at ICF	61	59	57	53	50

Subprogram Summary

STATE-FUNDED LONG TERM CARE

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
Laws 2007, Chapter 255, Section 28

Mission:

To effectively meet the needs of Long Term Care-eligible individuals with developmental disabilities.

Description:

This funding provides non-Title XIX services to Long Term Care-eligible consumers.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	8,400.0	8,592.0	9,022.0
Other Appropriated Funds	24,425.2	26,559.6	26,559.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**32,825.2**	**35,151.6**	**35,581.6**
FTE Positions	**3.0**	**3.0**	**3.0**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Long Term Care-eligible consumers that receive state-funded room and board to live in community-based homes	3,277	3,452	4,567	5,000	5,000

Subprogram Summary

MEDICARE CLAWBACK PAYMENTS

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
Laws 2007, Chapter 255, Section 28

Mission:

To provide Medicare clawback funds as required by federal law under the Medicare Modernization Act.

Description:

The Medicare clawback payment budget provides for a payment each year to Medicare, as required by the Medicare Modernization Act (MMA). The health plan medical costs are reconciled on actual claims data rather than on accrued audited financial statements. A data warehouse has been developed to house claims data and to facilitate the production of standard reporting.

Note: The Department has no control over the payment.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,185.1	4,517.8	4,517.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**4,185.1**	**4,517.8**	**4,517.8**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

ARIZONA EARLY INTERVENTION PROGRAM

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
Public Law 108-446

Mission:

To enhance the capacity of families to support the infants and toddlers with delays or disabilities to thrive in their homes and communities.

Description:

The Arizona Early Intervention Program (AzEIP) is Arizona's statewide, interagency system of supports and services for infants and toddlers with developmental delays or disabilities and their families. AzEIP is established by Part C of the Individuals with Disabilities Education Act (IDEA), which provides eligible children and their families access to services to enhance the capacity of families and caregivers to support the child's development.

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total AzEIP cases	9,269	9,686	9,675	9,965	10,264
Average cost for AzEIP Referral Determined as Non-Eligible (Reduce)	218	208.73	258	240	220
Percent increase of referrals	0.7	1.5	2.6	3.0	3.0
Percent of infants and toddlers showing emotional growth upon exit from AzEIP programs	71.0	75.0	70.3	75.0	75.0

Program Summary

BENEFITS AND MEDICAL ELIGIBILITY

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954

Mission:

To promote the safety, well-being, and self-sufficiency of children, adults, and families.

Description:

The Division of Benefits and Medical Eligibility determines eligibility, operates an evaluation and monitoring program, and pays benefits for the Temporary Assistance for Needy Families (TANF) Cash Assistance, Nutrition Assistance (formerly Food Stamps), and Tuberculosis Control programs. The Division also provides financial assistance to Native American tribes operating their own TANF programs and provides child passenger restraint seats.

This Program Contains the following Subprograms:

- Benefits and Medical Eligibility Operations
- Disability Determination Services Administration
- TANF Cash Benefits
- Tribal Pass-Through Funding
- Nutrition Assistance Benefits
- Coordinated Hunger

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	41,204.5	38,896.9	38,896.9
Other Appropriated Funds	34,427.2	33,827.2	33,827.2
Other Non Appropriated Funds	1,358,590.3	1,316,137.9	1,316,137.9
Total Funding	**1,434,222.0**	**1,388,862.0**	**1,388,862.0**
FTE Positions	**2,719.0**	**2,749.0**	**2,749.0**

Subprogram Summary

BENEFITS AND MEDICAL ELIGIBILITY OPERATIONS

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954

Mission:

To promote the safety, well-being, and self-sufficiency of children, adults, and families.

Description:

Division of Benefits and Medical Eligibility Operations includes the following areas:

The Family Assistance Administration (FAA) provides support to field staff by providing leadership, oversight, policy and procedures, training, system support, financial and purchasing control, human resources, and management information. FAA programs ensure conformity with federal and state laws in the Nutrition Assistance (formerly Food Stamps), Cash Assistance under Temporary Assistance for Needy Families (TANF), General Assistance, and Tuberculosis Control programs; coordinate eligibility determination for Medical Assistance programs; and provide child passenger restraint seats.

The Office of Program Evaluation (OPE) evaluates and monitors eligibility for the following programs: Cash Assistance, Nutrition Assistance, and specialized areas within the Arizona Health Care Cost Containment System (AHCCCS) through the application of approved quality control and performance measurements. OPE performs a management evaluation function by reviewing local office processes to determine Supplemental Nutrition and Cash Assistance program accuracy and compliance with state and federal mandates.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	35,269.6	32,962.0	32,962.0
Other Appropriated Funds	11,190.8	10,590.8	10,590.8
Other Non Appropriated Funds	152,444.7	171,670.9	171,670.9
Total Funding	**198,905.1**	**215,223.7**	**215,223.7**
FTE Positions	**2,487.5**	**2,517.5**	**2,517.5**

◆ **Goal** 1 to-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
FAA Call Center - Percent of Clients Served	38.0	51.0	68.6	82.1	82.1
Longest Wait Time in Maricopa County	10:49:00	6:00:00	7:50:00	4:49:00	4:49:00
Longest Wait Time in Pima County	9:33:00	4:00:00	9:23:00	4:14:00	4:14:00

Subprogram Summary

DISABILITY DETERMINATION SERVICES ADMINISTRATION

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954; 46-251

Mission:

To provide timely and accurate disability determinations for applicants

Description:

The Disability Determination Services Administration (DDSA) adjudicates Social Security Disability Insurance (SSDI) and Supplemental Security Income (SSI) benefit claims from Social Security offices in Arizona. Federal statutes and regulations require the states to administer the disability documentation and decision-making process for claimants who are residents. DDSA operates under federal statutes and regulations that require states to make SSDI and SSI disability determinations for their residents. The Social Security Administration (SSA) funds 100 percent of the program cost and mandates specific program guidelines and performance standards. In addition, DDSA reviews and determines entitlements for referred initial and continuing Arizona Health Care Cost Containment System acute care claims. The applicant's potential for vocational rehabilitation is considered, with referrals made as appropriate. DDSA measures are reported on federal fiscal year.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	34,083.9	37,409.0	37,409.0
Total Funding	**34,083.9**	**37,409.0**	**37,409.0**
FTE Positions	**231.5**	**231.5**	**231.5**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
DDSA Error Rate for SSI/SSDI Case Determinations	4.6	3.7	6.5	6.3	6.0

Subprogram Summary

TANF CASH BENEFITS

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954; 46-291

Mission:

To promote the safety, well-being, and self-sufficiency of children, adults, and families.

Description:

Cash Assistance (CA) under Temporary Assistance for Needy Families (TANF) provides for financial benefit payments to those individuals who meet the eligibility criteria. The CA program also offers a grant diversion program which offers a one-time up-front payment to needy CA applicants who are likely to obtain immediate employment. The one-time diversion payment is intended to eliminate the applicant's need for ongoing enrollment in the CA program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	22,736.4	22,736.4	22,736.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**22,736.4**	**22,736.4**	**22,736.4**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 to-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of TANF Cash Assistance issued timely	98.3	98.5	98.1	98.5	98.5
Number of Days to Determine New TANF Cash Assistance Applications	21.33	21.01	20.83	20.50	20.00

Subprogram Summary

TRIBAL PASS-THROUGH FUNDING

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 46-134

Mission:

To promote the safety, well-being, and self-sufficiency of children, adults, and families.

Description:

Tribal Pass-Through Funding provides financial assistance to Native American tribes who elect to operate their own Temporary Assistance for Needy Families (TANF) programs by providing cash assistance for eligible households to help them become self-sufficient through increased educational and employment opportunities and supportive services while maintaining tribal values. In addition to monies received from this pass-through, these tribes independently receive TANF block grant monies from the federal government.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,680.3	4,680.3	4,680.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**4,680.3**	**4,680.3**	**4,680.3**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 to-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Monthly average of individuals receiving Cash Assistance benefits through a Tribal Cash Assistance program.	685	700	685	700	700

Subprogram Summary

NUTRITION ASSISTANCE BENEFITS

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954

Mission:

To promote the safety, well-being, and self-sufficiency of children, adults, and families.

Description:

Food Stamps, now known as the Supplemental Nutrition Assistance Program, provides low-income households increased food-purchasing power, enabling them to obtain a more adequate nutritional diet. This is a federal program regulated by the U.S. Department of Agriculture (USDA). The state administers the distribution of nutrition assistance through electronic benefit transfers (EBT).

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,164,987.1	1,099,840.0	1,099,840.0
Total Funding	**1,164,987.1**	**1,099,840.0**	**1,099,840.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 to improve quality of supplemental Nutrition Assistance Benefits Program

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Call Center First-Time Completion Rate	37.9	60.0	58.4	61.1	80.0

Subprogram Summary

COORDINATED HUNGER

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954; 41-1981; Public Law 97-35; Title VI

Mission:

To implement effective policies, services, programs, and partnerships that address food security in Arizona.

Description:

The Coordinated Hunger Program provides a focal point for addressing hunger issues in Arizona and promoting food security. The program coordinates with various federal, state, and local organizations that provide food assistance to the hungry and contracts with various hunger organizations to leverage federal and state resources.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,254.6	1,254.6	1,254.6
Other Appropriated Funds	500.0	500.0	500.0
Other Non Appropriated Funds	7,074.6	7,218.0	7,218.0
Total Funding	**8,829.2**	**8,972.6**	**8,972.6**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total pounds of food distributed by Department contracted food banks from all food sources (millions of pounds)	164.7	175.0	166,588	168,644	171,000

Program Summary

CHILD SUPPORT ENFORCEMENT

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954: Laws 1994, Ch 374

Mission:

To collect child support from parents who are legally obligated to pay, the Child Support Services program was established in 1975 as part of Title IV-D of the Social Security Act, a federal, state, and local program.
The goals are threefold:
•To ensure that children are supported by their parents,
•To foster family responsibility by offering services and resources to families that will help them become more self-reliant, and
•To reduce the costs of welfare to the taxpayer.

Description:

This program provides intake services, locates absent parents, establishes paternity, and establishes the legal obligation to pay child support and provide medical support in local and interstate cases. The program enforces child support obligations and medical support through various administrative and judicial remedies. Child support services are provided to custodial persons who receive Cash Assistance, Arizona Health Care Cost Containment System (AHCCCS) medical assistance services, foster care assistance, as well as to any other custodial or non-custodial person who applies. These services are provided pursuant to Title IV-D of the Social Security Act. Services in 12 counties are provided by the Department of Economic Security's Division of Child Support Enforcement (DCSE), in conjunction with the Attorney General's Office. DCSE has an intergovernmental agreement with the County Attorney to provide services in one county. The program also provides payment processing services statewide for all cases, Title IV-D and non-Title IV-D.

This Program Contains the following Subprograms:

- Child Support Enforcement Operations
- County Participation

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	11,990.7	12,006.1	12,006.1
Other Appropriated Funds	7,716.8	14,593.1	14,593.1
Other Non Appropriated Funds	27,668.4	35,442.1	35,442.1
Total Funding	**47,375.9**	**62,041.3**	**62,041.3**
FTE Positions	**511.0**	**513.0**	**513.0**

Subprogram Summary

CHILD SUPPORT ENFORCEMENT OPERATIONS

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954; Laws 1994, Ch 374

Mission:

To provide effective and fair child support services.

Description:

This program provides intake services, locates absent parents, establishes paternity, and establishes the legal obligation to pay child support and provide medical support in local and interstate cases. The program enforces child support obligations and medical support through various administrative and judicial remedies. Child support services are provided to custodial persons who receive Cash Assistance, Arizona Health Care Cost Containment System (AHCCCS) medical assistance services, foster care assistance, as well as to any other custodial or non-custodial person who applies. These services are provided pursuant to Title IV-D of the Social Security Act. Services in 12 counties are provided by the Department of Economic Security's Division of Child Support Enforcement (DCSE), in conjunction with the Attorney General's Office. DCSE has intergovernmental agreements with County Attorneys to provide services in three counties. The program also provides payment processing services statewide for all cases, Title IV-D and non-Title IV-D.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	11,990.7	12,006.1	12,006.1
Other Appropriated Funds	7,615.2	13,514.0	13,514.0
Other Non Appropriated Funds	23,090.1	27,781.0	27,781.0
Total Funding	**42,696.0**	**53,301.1**	**53,301.1**
FTE Positions	**511.0**	**513.0**	**513.0**

◆ **Goal** 1 To increase IV-D cases and collections, including the number of court ordered cases and compliance with court orders.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Ratio of current IV-D child support collected and distributed to current IV-D support due	58.9	60.4	59.8	60.0	60.0
Increased the percentage of cases referred for the next action within 30 days of application from 23.0% to 44.0%	N/A	0	23.0	44.0	44.0

Subprogram Summary

COUNTY PARTICIPATION

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954; Laws 1994, Ch 374

Mission:

To ensure that the participating County Attorney-operated child support offices provide effective and fair child support services.

Description:

The Division of Child Support Enforcement has intergovernmental agreements with three participating County Attorneys to provide multiple services to custodial persons who receive Cash Assistance, Arizona Health Care Cost Containment System (AHCCCS) medical assistance services, foster care assistance, as well as any other custodial or noncustodial person who applies for child support services.

Note: Performance measures for the counties operating their own programs are included in the state-wide measures in Division of Child Support Enforcement Operations.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	101.6	1,079.1	1,079.1
Other Non Appropriated Funds	4,578.3	7,661.1	7,661.1
Total Funding	**4,679.9**	**8,740.2**	**8,740.2**
FTE Positions	**0.0**	**0.0**	**0.0**

Program Summary

AGING AND ADULT SERVICES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954

Mission:

To support and enhance the ability of at-risk and older adults to meet their needs to the maximum of their ability, choice, and benefit. To assist refugees in Arizona with attaining social and economic self-sufficiency and well-being. To provide leadership by establishing partnerships and building community networks that deliver premiere human services to vulnerable, at-risk populations.

Description:

The Division of Aging and Adult Services administers a statewide program of advocacy, social services, and programs to serve at-risk and older adults. Emphasis in the delivery of services is placed on at-risk and older adults with the greatest social and economic needs. Aging and adult services include investigative and protective services, case management, home care (housekeeper, home health aide, personal care, and home nursing), home repair/adaptation/renovation, transportation, the State Health Insurance Assistance Program, the Family Caregiver Support Program, the Long-Term Care Ombudsman, legal assistance, congregate meals, home-delivered meals, socialization/recreation, counseling, subsidized employment, volunteer opportunities and training, and adult day care.

Through its community services programs, the Division addresses urgent, short-term basic needs and strategies for long-term solutions by providing direct services and utilizing comprehensive networks and partnerships.

The Arizona Refugee Resettlement Program (RRP) supports and advances successful resettlement of refugees, individuals forced to flee their home countries due to persecution, war, and human rights violations.

This Program Contains the following Subprograms:

- Aging and Adult Services Operations
- Adult Services
- Community and Emergency Services
- Coordinated Homeless
- Domestic Violence Prevention
- Refugee Resettlement Program

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	21,220.3	22,231.0	21,231.0
Other Appropriated Funds	15,733.0	16,333.7	16,333.7
Other Non Appropriated Funds	92,553.2	109,879.9	109,879.9
Total Funding	**129,506.5**	**148,444.6**	**147,444.6**
FTE Positions	**239.0**	**252.0**	**252.0**

Subprogram Summary

AGING AND ADULT SERVICES OPERATIONS

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954

Mission:

To support and enhance the ability of at-risk and older adults to meet their needs to the maximum of their ability, choice, and benefit. To assist refugees in Arizona with attaining social and economic self-sufficiency and well-being. To provide leadership by establishing partnerships and building community networks that deliver premiere human services to vulnerable, at-risk populations.

Description:

Division of Aging and Adult Services Operations provides administrative oversight and operating support to the programs in the Division. This program also includes the Adult Protective Services (APS) program. APS accepts and evaluates reports of abuse, neglect, and exploitation of vulnerable and incapacitated adults and offers appropriate services. Elder Rights, as part of Title VII of the Older Americans Act, includes four major components under state leadership. These components are Elder Abuse Prevention, Legal Services Assistance, the State Long-Term Care Ombudsman, and the State Health Insurance Assistance Program. Elder Rights is an advocacy program that incorporates all services, support, and protection to assist vulnerable adults in understanding their rights, maintaining and exercising control over decision making, and benefiting from services and benefits promised by law.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	8,332.3	8,343.0	8,343.0
Other Appropriated Funds	239.5	239.5	239.5
Other Non Appropriated Funds	9,410.0	15,341.8	15,341.8
Total Funding	**17,981.8**	**23,924.3**	**23,924.3**
FTE Positions	**227.0**	**240.0**	**240.0**

◆ **Goal** 1 To improve timeliness of Adult Protective Services investigation process.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Adult Protective Services investigation percentage rate	100.0	100.0	100.0	100.0	100.0
Number of aged cases >90 days	241	0	25	12	12

Subprogram Summary

ADULT SERVICES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954; 46-191

Mission:

To further develop and provide a continuum of services designed to meet the needs of older or at-risk adults so they may retain independence and autonomy; to provide statewide leadership in the areas of planning, developing, and coordinating a comprehensive system of protection and advocacy programs that assist disabled and vulnerable elders to exercise their rights and choices promised by law; and to empower economically disadvantaged persons aged 55 or older with job opportunities in training programs or stipend volunteer programs to enhance the participants' quality of life.

Description:

The system of home- and community-based services includes services that assist disabled adults and the elderly to live as independently as possible in their homes and community. Services provided include home care, home delivered meals, transportation, adult day health care, respite, home repair, and case management. Services are also available for family caregivers.

The Senior Community Service Employment Program (SCSEP), also known as Title V of the Older Americans Act, provides job training and subsidized employment to workers 55 years of age and older who are at or below 125 percent of the federal poverty levels. The purpose of Title V is to train workers to enable them to move to unsubsidized employment in the public and private sectors.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	8,731.9	8,731.9	8,731.9
Other Appropriated Funds	1,171.0	0.0	0.0
Other Non Appropriated Funds	39,857.8	44,169.0	44,169.0
Total Funding	**49,760.7**	**52,900.9**	**52,900.9**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To improve timeliness of Home and Community Based Services waitlist

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of individuals on HCBS wait list in home care services cluster 1	1,735	N/A	1,125	N/A	N/A
Number of service authorizations on the waitlist	N/A	N/A	N/A	1,942	1,359

Subprogram Summary

COMMUNITY AND EMERGENCY SERVICES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954; 46-241; Public Law 97-35; Title VI

Mission:

To assist Community Action Agencies in addressing the causes of poverty, pursue community revitalization, and assist low-income people to become more self-sufficient.

Description:

This program funds Community Action Agencies both for services that assist with short-term basic needs and to develop responses to poverty. Areas addressed by agencies include issues associated with energy assistance and homelessness prevention.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	1,000.0	0.0
Other Appropriated Funds	3,724.0	3,724.0	3,724.0
Other Non Appropriated Funds	31,932.3	36,999.7	36,999.7
Total Funding	**35,656.3**	**41,723.7**	**40,723.7**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 to-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of vulnerable households that received utility assistance	86.0	87.0	70.0	75.0	80.0

Subprogram Summary

COORDINATED HOMELESS

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954; Public Law 100-77; Public Law 100-628

Mission:

To work toward preventing and ending homelessness for homeless individuals and families and those at risk of homelessness throughout the state.

Description:

The Coordinated Homeless Program is responsible for staffing the Interagency and Community Council on Homelessness, co-chaired by the DES Director and Department of Housing Director and for the development and implementation of the State Plan to End Homelessness. Additional areas of responsibility include administration of homeless shelter and supportive services contracts, implementation of the Statewide Program Evaluation Project, data collection and analysis, and support for and participation in local homeless planning activities.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	873.1	873.1	873.1
Other Appropriated Funds	1,649.5	1,649.5	1,649.5
Other Non Appropriated Funds	3,311.4	3,583.2	3,583.2
Total Funding	**5,834.0**	**6,105.8**	**6,105.8**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 to-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Households exiting rapid re-housing to permanent housing	t	77.0	78.0	78.0	79.0

Subprogram Summary

DOMESTIC VIOLENCE PREVENTION

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 36-3001

Mission:

To provide safety and services to the victims of domestic violence and their children and to improve the comprehensive Domestic Violence Program in Arizona.

Description:

The Domestic Violence Program provides contractual funding for shelter and supportive services for victims of domestic violence and their children utilizing a statewide network of private nonprofit shelter facilities including safe houses. Technical assistance is provided to the domestic violence network members in collaboration with a statewide coalition against domestic violence.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,283.0	3,283.0	3,283.0
Other Appropriated Funds	8,949.0	10,720.7	10,720.7
Other Non Appropriated Funds	0.0	952.9	952.9
Total Funding	**12,232.0**	**14,956.6**	**14,956.6**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Clients who indicated safety has improved	92.0	95.0	92.0	94.0	94.0

Subprogram Summary

REFUGEE RESETTLEMENT PROGRAM

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
Public Law 96-212

Mission:

To assist refugees in Arizona with attaining social and economic self-sufficiency and well-being.

Description:

The Arizona Refugee Resettlement Program (RRP) supports and advances successful resettlement of refugees, individuals forced to flee their home countries due to persecution, war, and human rights violations, through the coordination of public and private resources that best enable them to be firmly established on the path to success and well-being. RRP partners with a wide array of organizations, including local Voluntary Agencies (VOLAGs) and Mutual Assistance Associations (MAAs), to coordinate and provide core employment and case management services that promote self-sufficiency and integration, such as housing, school enrollment, cultural orientations, employment orientations, benefits applications, and ongoing adjustment services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	8,041.7	8,833.3	8,833.3
Total Funding	**8,041.7**	**8,833.3**	**8,833.3**
FTE Positions	**12.0**	**12.0**	**12.0**

◆ **Goal** 1 To promote refugee social and economic self-sufficiency and well-being.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Displaced Persons employed within 6 months	37.0	58.0	49.0	55.0	55.0

Program Summary

DIVISION OF CHILDREN, YOUTH AND FAMILIES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954; 8-800

Mission:

To promote services for children to enable them to be safe, and live with strong families so they can be successful in life.

Description:

Laws 2014, 2nd Special Session, Chapter 1 moved the Division of Children, Youth and Families from the Department of Economic Security and established a new agency, the Department of Child Safety. The Department continues to partner with the Department of Child Safety (DCS). This program is retained in the Department's budget and planning structure to show DCS related pass-thru expenditures.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	207,564.8	207,409.9	207,409.9
Total Funding	**207,564.8**	**207,409.9**	**207,409.9**
FTE Positions	**0.0**	**0.0**	**0.0**

Program Summary

EMPLOYMENT AND REHABILITATION SERVICES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. §§ 41-1967; 41-1954; 46-801; 46-136

Mission:

To increase self-sufficiency and well-being for individuals and families through programs and services that promote and support employment and independent living.

Description:

The Division of Employment and Rehabilitation Services administers a comprehensive range of employment programs, services, and supports to Arizonans and their families that includes employment, education, and training services to individuals receiving TANF Cash Assistance and Supplemental Nutrition Assistance, child care assistance for eligible recipients, assistance to individuals with disabilities in achieving and/or maintaining employment, independent living services and supports to individuals with significant disabilities, Workforce Investment Act (WIA) programs for adults, dislocated workers, and economically disadvantaged youth administered through Local Workforce Investment Areas (LWIAs), Unemployment Insurance benefits to eligible individuals and collection of payroll taxes from employers to fund the payment of those benefits, and employment services to assist job seekers and employers to achieve a quality workforce.

This Program Contains the following Subprograms:

- Employment and Rehabilitation Services Operations
- JOBS
- Day Care Subsidy
- Independent Living Rehabilitation Services
- Workforce Investment Act Services
- Rehabilitation Services
- Unemployment Insurance
- Employment Services

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	13,034.6	13,042.3	13,042.3
Other Appropriated Funds	176,513.2	231,904.6	231,904.6
Other Non Appropriated Funds	345,602.5	345,770.6	339,870.6
Total Funding	**535,150.3**	**590,717.5**	**584,817.5**
FTE Positions	**1,215.0**	**1,279.0**	**1,279.0**

Subprogram Summary

EMPLOYMENT AND REHABILITATION SERVICES OPERATIONS

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. §§ 41-1967; 41-1954; 46-801; 46-136

Mission:

To increase self-sufficiency and well-being for individuals and families through programs and services that promote and support employment and independent living.

Description:

Division of Employment and Rehabilitation Services Operations provides administrative oversight and operating support for all Division programs. The costs reflected in this line item include the costs associated with the Rehabilitation Services Administration, Child Care Administration, Employment Service, Unemployment Insurance and the Workforce Investment Act. For the Jobs program, the administrative costs paid from this program do not include the contracted costs, as they are paid from the Jobs program.

Note: Goals and performance for the operating function of the division are reflected in the goals and performance of the division's programs and special line items.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	5,974.2	5,981.9	5,981.9
Other Appropriated Funds	20,196.2	18,969.7	18,969.7
Other Non Appropriated Funds	64,277.5	72,918.1	72,918.1
Total Funding	**90,447.9**	**97,869.7**	**97,869.7**
FTE Positions	**1,215.0**	**1,279.0**	**1,279.0**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Employment Placement Retention Rate	88.3	87.0	88.9	89.5	90.1

Subprogram Summary

JOBS

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 41-1954; 46-136

Mission:

To provide eligible individuals the opportunity to become economically independent through employment. Jobs removes barriers by providing a variety of services that make a positive difference in their lives.

Description:

The Jobs Program provides comprehensive employment, education, and training services to work eligible individuals receiving Temporary Assistance for Needy Families (TANF) Cash Assistance benefits. The services provided include employment skills assessment, job search/job readiness activities, work experience, vocational training, GED preparation, job development and placement, case management, and support services.

The Supplemental Nutrition Assistance Employment and Training (SNA E&T) program provides short-term training, work experience and also offers limited support services for mandatory Supplemental Nutrition Assistance recipients in the program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	300.0	300.0	300.0
Other Appropriated Funds	10,094.7	10,705.6	10,705.6
Other Non Appropriated Funds	397.8	261.7	261.7
Total Funding	**10,792.5**	**11,267.3**	**11,267.3**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 to-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of job placements (TANF) monthly	334	350	321	308	295

Subprogram Summary

DAY CARE SUBSIDY

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. §§ 41-1967; 46-801

Mission:

To support the well-being and economic independence of Arizona's families by providing child care assistance and developing quality child care

Description:

The program provides child care assistance for eligible recipients under state appropriation of state and federal block grant funding sources, certifies small family child care homes that serve eligible families, provides funding to increase the availability and improve the quality of child care services, and provides leadership for statewide coordination and collaboration of various child care and early childhood development programs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	90,395.5	146,796.6	146,796.6
Other Non Appropriated Funds	239.5	154.9	154.9
Total Funding	**90,635.0**	**146,951.5**	**146,951.5**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To expand access to quality child care for children receiving subsidy

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of children placed in quality child care settings	35.0	45	43.0	49.0	52.0

Subprogram Summary

INDEPENDENT LIVING REHABILITATION SERVICES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
(SLI) Public Law 93-112

Mission:

To work with individuals who have significant impairments to maintain and increase self-determination and independence (placing primary emphasis on core services: information and referral services, independent living skills services, peer counseling, and self-advocacy) in partnership with the Centers for Independent Living, other Independent Living Programs, and the Statewide Independent Living Council.

Description:

The Independent Living Rehabilitation Services (ILRS) program promotes and advocates for the independent living needs and goals of individuals with significant disabilities, provides information and referral services, provides peer support and counseling services, provides grants and contracts to community programs to provide services and for community development, provides training in independent living skills to individuals, provides other independent living services as necessary and appropriate to individuals including: technology assistance, adaptive aids and devices, home modifications, etc.; and provides eye exams and glasses.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	166.0	166.0	166.0
Other Appropriated Funds	1,123.4	1,123.4	1,123.4
Other Non Appropriated Funds	822.2	766.8	766.8
Total Funding	**2,111.6**	**2,056.2**	**2,056.2**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of individuals receiving services in order to achieve or maintain their independence	564	620	588	575	589

Subprogram Summary

WORKFORCE INVESTMENT ACT SERVICES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. §§ 41-1954; Public Law 105-220

Mission:

To provide leadership and support to programs that prepare eligible individuals for long-term employment and self-sufficiency.

Description:

The Department of Economic Security is the agency and grant recipient for the Workforce Investment Act (WIA) Title I-B federal funds. It has the responsibility for state program planning and policy direction, overall management, program development, and performance oversight of the employment and training programs operated in 12 Local Workforce Investment Areas (LWIAs). The LWIAs administer the programs for adults, dislocated workers, and economically disadvantaged youth. In addition, five percent of the federal WIA allocation is available for discretionary purposes such as administration, statewide initiatives, and competitive grants for employment and training programs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	54,048.7	53,654.6	53,654.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**54,048.7**	**53,654.6**	**53,654.6**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 to-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of adults who entered employment	5,217	5,478	0	5,250	5,270
Number of youth who entered employment	1,364	1,432	0	1,385	1,395
Number of dislocated workers who entered employment	803	843	0	885	830
Percent Retention for Clients Placed	79.8	80.0	80.0	80.0	80.0
Total Job Placements per month (ARIZONA@WORK -AMS Core Deployed Sites)	305	386	487	N/A	N/A

Subprogram Summary

REHABILITATION SERVICES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. §§ 23-501; 36-552

Mission:

To work with individuals with disabilities to achieve gainful employment through the provision of jointly developed and individually planned vocational rehabilitation services in a partnership with the State Rehabilitation Council (SRC), Community Rehabilitation Programs (CRP), and all other stakeholders.

Description:

This subprogram assists individuals with disabilities to evaluate and determine appropriate employment goals and to identify the activities and services necessary to achieve these goals, including the provision of employment support services. To assist individuals in achieving and/or maintaining employment, this subprogram provides counseling and an array of individually planned and purchased services, including medical and psychological restoration, training, job development and placement, job coaching, rehabilitation technology aids, etc. The subprogram also provides program development grants to community rehabilitation programs to develop new or different patterns of services that will benefit clients of the Vocational Rehabilitation (VR) program and provides for the purchase of services and goods that benefit groups of individuals eligible for the VR program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	6,594.4	6,594.4	6,594.4
Other Appropriated Funds	654.7	654.7	654.7
Other Non Appropriated Funds	51,847.6	56,384.3	56,384.3
Total Funding	**59,096.7**	**63,633.4**	**63,633.4**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 to-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Individuals in the Vocational Rehabilitation program successfully rehabilitated	1,574		1,689	1,700	1,711
Average hourly wage-dollars	12.59	12.90	13.09	13.59	14.09

Subprogram Summary

UNEMPLOYMENT INSURANCE

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
A.R.S. § 23-601

Mission:

To collect taxes from covered employers and to pay benefits to eligible unemployed workers.

Description:

The program provides Unemployment Insurance benefits to eligible individuals based on their past earnings and collects payroll taxes from subject employers to fund the payment of those benefits.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	226,318.0	213,500.0	207,600.0
Total Funding	**226,318.0**	**213,500.0**	**207,600.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 to-N/A

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of days to obtain employment	63	61	62	61	60

Subprogram Summary

EMPLOYMENT SERVICES

Wes Fletcher, Financial Services Administrator
Phone: (602) 542-6080
(SLI) Public Law 93-112

Mission:

To assist job seekers and employers to achieve a quality workforce through an improved service delivery system.

Description:

The program provides job placement, counseling, job search assistance, referral to training, and certification of employers who qualify for a tax credit for providing jobs to eligible job seekers.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,699.9	1,784.8	1,784.8
Total Funding	**1,699.9**	**1,784.8**	**1,784.8**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To improve quality of the Employment Services Program

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of individuals employed through ADC Second Chance Centers or Community Based Reentry Centers	872	1,455	2,276	2,705	3,134

Agency Summary

BOARD OF EDUCATION

Alicia Williams, Executive Director
Phone: (602) 542-0120
A.R.S. §§ Title 15 et seq.

Mission:

To develop successful citizens through robust public education.

Description:

The State Board of Education is constitutionally charged with regulating the conduct of the public school system. Arizona law requires the Board to regulate and exercise general supervision over the conduct of the public school system and adopt rules and policies it deems necessary to accomplish this purpose. Regulation and supervision includes the following:

(a) prescribe a minimum course of study and competency requirements for promotion of students from third and eighth grade as well as for graduation from high school;
(b) supervise and control the certification of persons engaged in instructional work in a school district;
(c) approve alternative teacher and administrator preparation programs;
(d) adopt proficiency exams and passing scores for those exams;
(e) adopt rules governing the methods for administering proficiency exams;
(f) impose disciplinary action on all certificate holders who are found to have engaged in immoral conduct;
(g) serve as the State Board for Vocational and Technological Education; and
(h) delegate to the Superintendent of Public Instruction the execution of board policies and rules.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	906.2	1,158.9	1,158.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**906.2**	**1,158.9**	**1,158.9**
FTE Positions	**6.0**	**6.0**	**6.0**

5 Year Plan

Issue 1 School Accountability and School Improvement

Description To review the accountability systems for accuracy and impact, communicate timelines of implementation to the educational field and stakeholders and ensure all Arizona students have access to a high quality education.

Solutions:

To ensure academic achievement of K-12 public school students by supporting and incentivizing the increase of A Schools and decrease of D and F schools. This will be accomplished by working collaboratively with the Department of Education, the field and educational stakeholders to ensure resources are available to those schools who need assistance in school improvement. Furthermore, by utilizing the accountability system to determine need and recognizing success, the field will be able to collaborate with one another of similar demographics to implement best practices.

The State Board of Education and staff will continue to work with stakeholders to collect and analyze accountability trends in Arizona, while following an adopted timeline of change and implementation. From this information, the State Board of Education will continually review and inspect potential revisions to the statewide accountability system for traditional schools. Finally, the State Board of Education will continue to plan and implement the accountability systems for alternative schools, online instruction schools, district and small school/K-2 schools to ensure accurate reporting.

Issue 2 Achieve 60 Initiative for completing credentials

Description To ensure 60% of Arizonans have an industry certificate or college degree by 2030.

Solutions:

To develop and increase career pathways for K-12 students. The State Board of Education will continue to work with stakeholders to develop new pathways for industry certification and recognizing that this may involve statutory language that recognizes student success in Career and Technical Education. Furthermore, the State Board of Education plans to review the collection of information and data from statewide high schools within the College and Career Readiness rubric to drive future policy decisions.

Issue 3 Move on When Reading

Description To review data and current trends with the Move on When Reading requirements in Arizona

Solutions:

The State Board of Education will study assessment and outcome data for the Move on When Reading (MOWR) legislation and implementation. From this data and research, plus feedback from field experts on the K-3 Literacy Ad Hoc, the State Board of Education will engage in discussions and policy recommendations to drive outcomes to meet the statewide literacy expectation of 72% by 2030 for third grade students.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	6.0	6.0	6.0
General Fund	1,158.9	1,158.9	1,158.9
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To review the accountability systems for accuracy and impact.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of A Schools in Arizona.	19	22	27	33	33
Percentage of D & F schools.	12	11	12	10	10

◆ **Goal** 2 To ensure 60% of Arizonans have an industry certificate or college degree by 2030.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of Arizonans with an industry certificate or college degree.	43	45	45	47	47

Agency Summary

DEPARTMENT OF EDUCATION

Kathy Hoffman, Superintendent of Public Instruction
Phone: (602) 542-5460
A.R.S. Title 15 et seq.

Mission:

To serve Arizona's education community and actively engage parents, to ensure that all Arizona children have the knowledge to determine their future, achieve their goals, and be successful citizens.

Description:

The Department of Education is administered by the Superintendent of Public Instruction, an elected position. The Superintendent, in conjunction with the State Board of Education, leads the State in developing and implementing educational guidelines and standards. The Superintendent supports direct services to 236 locally governed school districts, including 14 vocational districts and nine accommodation districts. The Superintendent, in conjunction with the State Board for Charter Schools, oversees 543 charter school sites (as of August 2019). The Department executes educational guidelines through evaluation, training, school improvement assistance, dissemination of information, and administration and allocation of funds. The Department also serves as the primary source for information on the status and needs of the public school system.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ OFFICE OF THE SUPERINTENDENT	2,194.4	2,765.6	2,765.6
➢ ADMINISTRATION	470,026.6	484,979.4	488,179.4
➢ SCHOOL FINANCE	5,503,785.2	6,164,590.6	6,164,590.6
➢ HIGHLY EFFECTIVE SCHOOLS	689,894.4	782,192.9	786,792.9
➢ HIGHLY EFFECTIVE TEACHERS AND LEADERS	38,138.2	43,159.9	43,715.9
➢ HIGH ACADEMIC STANDARDS FOR STUDENTS	69,088.8	61,628.4	61,628.4
➢ ACCOUNTABILITY AND ASSESSMENT	43,348.7	44,930.4	46,131.3
Agency Total:	**6,816,476.3**	**7,584,247.2**	**7,593,804.1**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,675,275.4	5,200,184.9	5,206,541.8
Other Appropriated Funds	286,141.0	304,065.2	307,265.2
Other Non Appropriated Funds	1,855,059.9	2,079,997.1	2,079,997.1
Total Funding	**6,816,476.3**	**7,584,247.2**	**7,593,804.1**
FTE Positions	**592.6**	**597.3**	**628.3**

5 Year Plan

Issue 1 In order to improve student success pre K through age 22, instructional programs must be strengthened and based on student needs.

Description Students are expected to master rigorous statewide academic standards. In order to accomplish this goal, instructional techniques must match the academic needs of students and be evidence-based.

Solutions:

1. Define and maintain rigorous Arizona standards
2. Support students' readiness for post-secondary options (college and career)
3. Provide a rigorous, well-rounded education with comprehensive systems of support for students
4. Improve outcomes for special populations

Issue 2 Inadequate retention and recruitment of teachers has led to a shortage of teachers.

Description Highly effective teachers in the classroom are the biggest predictor of student success. Retaining highly effective teachers will ensure that our students have equal access to high quality classroom instruction and environments.

Solutions:

1. Increase support and training to teachers
2. Strengthen teacher preparation programs
3. Strengthen beginning teacher inductive and mentoring programs
4. Provide teacher leadership opportunities

A. Provide effective and aligned professional learning and technical assistance

Issue 3 Our cadre of strong, effective leaders must be increased in order to support the needs of students and teachers.

Description After highly effective teachers, effective leaders have the next largest impact on student achievement. Additionally, the effectiveness of the leader directly impacts retention of high quality instructors.

Solutions:

1. Provide oversight and guidance to schools in proper administration of funds
2. Ensure valid and reliable accountability to support student, teacher and school success
3. Strengthen leadership development
4. Strengthen administrative preparation and mentoring programs

Issue 4 Disengagement of families and communities from their schools decreases the supportive structures available for students.

Description Through the implementation of culturally inclusive practices and specific attention to high need communities, we will increase engagement of families and communities thus improving support for our leaders, teachers and students.

Solutions:

1. Engage and support Arizona parents
2. Protect parents' rights
3. Educate stakeholders on innovation, technology, and privacy concerns
4. Support adult basic education
5. Empower school choice through providing access to transparent school and district data
6. Ensure equitable access to high quality educational opportunities and supports

Issue 5 Schools require more supports to maintain strong, effective practices and structures.

Description Through highly effective technical assistance, guidance documents and professional development, schools will be able to maintain and develop practices which will fully support leaders, teachers, students and parents.

Solutions:

1. Provide data literacy professional development
2. Enhance factors affecting student achievement
3. Support comprehensive needs assessments to develop strong school-wide improvement plans
4. Assist with development of strong school climates and comprehensive systems of support

Issue 6 Agency services and supports must be enhanced and streamlined so schools can focus on student needs.

Description As internal agency controls are enhanced, administrative burden on schools will be reduced and communication to the field will be improved.

Solutions:

1. Reduce Administrative burdens
2. Improve efficiency of internal procedures
3. Provide internal leadership and staff development
4. Maintain focus on effective customer service
5. Effectively utilize Agency funding to support students, teachers, leaders, families, and communities
6. Facilitate collection of valid and reliable accountability data

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	243.0	243.0	243.0
General Fund	5,474,886,442.0	5,748,630,764.0	6,036,062,303.0
Other Appropriated Funds	332,582,771.0	332,260,254.0	342,228,061.0
Non-Appropriated Funds	806,151,281.0	830,335,820.0	855,245,894.0
Federal Funds	1,242,634,215.0	1,261,273,728.0	1,280,192,834.0

Program Summary

OFFICE OF THE SUPERINTENDENT

Kathy Hoffman, Superintendent of Public Instruction
Phone: (602) 542-5460
A.R.S. § Title 15 et seq.

Mission:

To serve Arizona's education community, and actively engage parents, to ensure that all Arizona children have the knowledge to determine their future, achieve their goals, and be successful citizens.

Description:

Policy Development and Government Relations:
The Policy and Government Relations Office is focused on representing the Superintendent of Public Instruction and the department to all levels of local, state, and federal government. Policy and Government Relations keeps policymakers informed of the Department's perspective on issues affecting K-12 education, while keeping internal customers informed of what changes are necessary to comply with state or federal policy changes. Policy and Government Relations also develops and disseminates guidance and technical assistance to the department's external customers as necessary.

Office of Communications:
The Communications Office oversees the Department's internal and external communications, works closely with the Policy and Government Relations team to message the Department's policy and program objectives, and assists the Superintendent's office with scheduling and staffing. To accomplish its objectives, the Communications Office emphasizes and facilitates highly effective communication, collaboration, and a commitment to excellence in all the Department does.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,988.6	2,559.3	2,559.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	205.8	206.3	206.3
Total Funding	**2,194.4**	**2,765.6**	**2,765.6**
FTE Positions	**16.5**	**18.0**	**18.0**

◆ **Goal** 1 To increase customer satisfaction.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Maintain the baseline percentage for agency Ombudsman requests resolved within two weeks.	98	TBD	99*	95**	97

Explanation: *For FY19 actual, out of over 400 emails and calls and letters and in-person referrals that the ADE Ombudsman received from ADE staff and the public, only 3 cases took longer than 2 weeks to resolve, and all 3 of those were during the transition of Administrations.
**In FY20 we will have some staffing transition of our Ombudsman, therefore case management may be a bit slower as we get someone up and running.

Internal customer satisfaction rating on Policy Development and Government Relations effectiveness of communication.**	N/A	N/A	N/A**	N/A**	N/A**

Explanation: **This objective is no longer being measured.
**This objective is no longer being measured

Internal customer satisfaction rating on Policy Development and Government Relations timeliness of service.*	N/A*	N/A*	N/A*	N/A*	N/A*

Explanation: *This objective is no longer being measured.

Increase ADE Twitter followers by 5 percent annually.	NA	Base+5**	NA**	Base+5	Base+5

Explanation: *New objectives for FY2020 and FY2021.
**New objectives and measures are defined in its place for 2018 and 2019 due to transition between administrations.

Increase the satisfaction rating for email responses (on a 1.0 – 5.0 scale).*	N/A*	N/A*	N/A*	N/A*	N/A*

Explanation: *Email satisfaction is no longer under the purview of Communications.

Respond to and answer all media requests within 48 hours.	4.3	4.25	Yes*	Yes	Yes

Explanation: *The Communications team does not facilitate conference planning any longer. This has been replaced with a new objective and performance measure.

Program Summary

STATE BOARD OF EDUCATION / VOC AND TECH EDUCATION

Alicia Williams, Executive Director
Phone: (602) 542-5057
Arizona State Constitution, A.R.S. § 15-201-231

Mission:

To aggressively set policies that foster excellence in public education.

Description:

The Arizona State Board of Education (the Board), created by Article 11 of the Arizona Constitution, is responsible for the supervision and regulation of the public school system. The primary powers and duties of the Board are prescribed in A.R.S. § 15-203. For the purposes of federal law, the State Board of Education also serves as the State Board for Vocational and Technological Education.

◆ **Goal** 1 To set fair and reasonable policies and standards that foster excellence in public education

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Arizona high school students who enter 9th grade and graduate within four years	78.02	79.6	78.36	78.36	78.36

Explanation: *Data is not available until the end of September, after the report is submitted.

◆ **Goal** 2 To ensure student safety by investigating and taking appropriate action on complaints made against professional educators

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of investigative cases closed	802	500	962	700	750
Adjudications by State Board of Education	N/A**	90^^	138	N/A**	140

Explanation: **Numbers come from the State Board.
^^2019 Estimates are based on the unit having all 7 positions filled.

Completed list of evaluated LEA K-3 Literacy Plans submitted to the State Board (A.R.S. 15-211).*	Dec. 2018	Dec. 2019	Dec. 2019	Dec. 2020	Dec. 2021

Explanation: *Completion date by scheduled board meeting of indicated month.

Program Summary

ADMINISTRATION

John Carruth, Chief of Staff
Phone: (602) 364-1972
A.R.S. § 15-231-15-272, P.L. 107-110

Mission:

To serve Arizona's education community, and actively engage parents, to ensure every student has access to an excellent education.

Description:

The Administration Program provides the support for efficient and effective operations through Business and Finance, Information Technology, Human Resources, Building Operations, and Organizational Development. This Program provides the facilities and technology infrastructure, fiscal management and controls, guidance and supplies necessary to accomplish the daily operations of the Agency. Its duties involve obtaining and managing a competent workforce and ensuring a high level of customer service is provided to assist in accomplishing the overall Agency mission. Lastly, the auditing of school Average Daily Membership (ADM) reports and monitoring responses to single audit findings is conducted through this area.

This Program Contains the following Subprograms:

- Business and Finance
- Information Technology
- Research and Evaluation
- Health and Nutrition Services

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	10,201.6	9,256.4	9,256.4
Other Appropriated Funds	1,269.7	3,983.4	7,183.4
Other Non Appropriated Funds	458,555.3	471,739.6	471,739.6
Total Funding	**470,026.6**	**484,979.4**	**488,179.4**
FTE Positions	**214.0**	**215.7**	**235.7**

Subprogram Summary

BUSINESS AND FINANCE

Ross Begnoche, Chief Financial Officer
Phone: (602) 542-7883
A.R.S. § 15-251-15-272, P.L. 107-110

Mission:

To provide exceptional customer support in a safe work environment through a commitment to continual process improvements with timely, efficient, and cost-effective financial, procurement, grants management, building operations, human resources, payroll, audit and organizational development services to the Arizona Department of Education and its customers, ensuring compliance with Federal, State and Agency laws, regulations and policies.

Description:

The Business and Finance subprogram is responsible for providing financial, procurement, audit, building operations and distribution, human resources, and organizational development support services to the Agency. Financial services include budgeting, accounting, grants management, and audit functions. The Grants Management Unit facilitates the pass-through of assistance funds to District and Charter schools. The Audit Unit administers external ADM audits and internal audits. Procurement services include contracts management and purchasing. Building Operations and Distribution include facilities, print shop, and central mail distribution functions. Human Resource services include personnel functions. Organizational Development services include Agency Strategic Plan development and implementation, internal/external surveys, process improvement functions, and staff/leadership development. These administrative functions are centralized to ensure efficient and effective operational support to the Agency, and consistent application of state, federal and agency rules, regulations, guidelines, and procedures.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,055.0	1,965.9	1,965.9
Other Appropriated Funds	1,246.1	3,983.4	7,183.4
Other Non Appropriated Funds	7,493.8	8,842.3	8,842.3
Total Funding	**11,794.9**	**14,791.6**	**17,991.6**
FTE Positions	**119.6**	**113.0**	**133.0**

◆ **Goal** 1 To improve process efficiency

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of internal maintenance requests completed within 7 business hours.	98.35	97.00	98.00	97.00	97.00
Average turnaround time on pending classification position actions (in weeks).	2.75	3.00	1.61	2.50	2.00
Percent of print jobs completed on time.	98.58	98.50	98.75	98.50	98.50

◆ **Goal** 2 To improve employee and customer satisfaction

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
NA*	4.18	4.25	NA*	NA*	NA*

Explanation: *No longer tracked

Supervisor overall satisfaction rating for Organizational Development services. (average of all quarterly ratings)	4.63	4.35	4.53	4.35	4.35
Internal customer overall satisfaction rating for Business and Finance services.	4.18	4.25	3.72	3.90	4.00
Client overall satisfaction rating on services provided by EDCC. (average of all quarterly ratings)	4.80	4.35	4.68	4.35	4.35
Employee rating on 'Overall, I am satisfied with my job'.	75*	76	79	76	76

Explanation: *Results are shown in percentage. Is an increase from 2017 actual which was 74%.

◆ **Goal** 3 To provide accurate and helpful information to the public

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Issue preliminary draft audit reports of at least 40 Average Daily Membership (ADM) audits to the audited school districts and charter schools during the Fiscal Year, including at least one on-line school.	34*	38	38	40	42

Explanation: * FY18 – There was a lot of turnover during this year, and for a large portion of it the Audit unit was significantly understaffed so the goal for that year was reduced down to 34 audits from the initial 36.

Perform at least 100 federal fiscal monitoring reviews of school districts and charter schools by June 30th of each year.	229	100	175	100*	100

Explanation: *FY19 and 20 – Changes from 175 to 100 are due to additional grants being monitored by the department for each school scheduled. Previously only one grant was monitored by the department.

FY19 and 20 – Changes from 175 to 100 are due to additional grants being monitored by the department for each school scheduled. Previously only one grant was monitored by the department.

Subprogram Summary

INFORMATION TECHNOLOGY

Satish Pattisapu, Chief Information Officer
Phone: (602) 542-1562
A.R.S. § 15-251-15-272, P.L. 107-110

Mission:

To provide information technology application development, as well as consulting services for integration of off-the-shelf services or custom development, while ensuring network and operations capability in order to exceed the expectations of both internal and external education stakeholders.

Description:

Information Technology (IT) is a subprogram of the Arizona Department of Education that manages the agency's overall technology management initiatives. Through working with all business units' subject matter experts and leadership, the subprogram focuses on internal and external education stakeholder needs and requirements. This subprogram implements established guidelines to ensure data quality and maximize technology resource utilization. The primary activities that IT supports include assisting stakeholders with data collection, data use, data security, data storage, data integration, and reporting. IT offers technical assistance to enable all of Arizona's educational stakeholders to effectively utilize ADE's offered technology services and information and recommends policy changes and additions based on best-in-class technology. Staff collaborate with strategic partners to provide timely technology tools needed to support reporting and decision-making by all education stakeholders (educators, the Arizona legislature, the state government, the federal government, business groups, researchers, parents, etc.), while also providing development and support for the implementation of the Arizona Education Learning and Accountability System (AELAS).

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,068.3	7,203.7	7,203.7
Other Appropriated Funds	23.6	0.0	0.0
Other Non Appropriated Funds	4,059.7	2,791.5	2,791.5
Total Funding	**11,151.6**	**9,995.2**	**9,995.2**
FTE Positions	**28.0**	**35.8**	**35.8**

◆ **Goal** 1 To ensure customer business success

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Service availability on critical applications at 99.75% uptime.	99.99	99.75	99.75*	99.75	99.75

◆ **Goal** 2 To ensure customer system availability

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Meet/exceed baseline target of 57% for First Call resolution by Support Center.	87.5	85	85	NA*	NA*

Explanation: *The objective was very generic. It has been modified to capture metrics for IT related issues and service requests. This objective has been modified to set a target timeframe for issue resolution in the subprogram.

◆ **Goal** 3 To increase quality of customer delivery

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Deploy 92% of all production changes on time and performing as designed.	99.99	92	95*	95	95

Explanation: *FY2019 actual input value is based on estimate. We have implemented Agile methodology and DevOps release management as a practice that enabled us to get higher percentage of collaboration between program areas and this subprogram.

Subprogram Summary

RESEARCH AND EVALUATION

Wendy Davy, Chief Accountability Officer
Phone: (602) 364-1983
A.R.S. § 15-743, 15-746, P.L. 107-110

Mission:

To serve the Arizona Department of Education and Arizona's education system by providing reliable and valid research, evaluation of various education initiatives, and implementation of state and federal accountability of Arizona's students, public schools and LEAs.

Description:

The ADE Accountability and Research team is responsible for measuring the growth in quality of Arizona schools and districts by producing timely and reliable accountability determinations as required by state and federal law and providing support services to the Agency in the areas of research, data reporting, and evaluation to/of programs that are aligned with the strategic objectives and mission of ADE divisions and the Agency. The section works closely with Assessments and the State Board of Education in order to accurately label schools in a fair and systematic manner. Staff support schools, districts, and other stakeholders to refine the system as well as utilize data in an appropriate and effective manner. Staff also represent the Agency with research and evaluation entities and activities throughout Arizona and nationally.

Accountability services are provided primarily to the State Board of Education who oversees the state accountability system. Accountability staff responds to data questions and provides impact data to the Board. They work closely with the field and IT to ensure data quality and accuracy. This subprogram is also responsible for implementing the state and federal accountability system delivering data, letter grades, and federal determinations to Districts and schools through secure web-based applications and reports. Accountability subprogram additionally creates and produces data for state and school report cards.

Research services are provided at the request of other Agency programs and include project design, strategies and technical aspects of data collection, primary and secondary data analyses, literature and policy reviews, interpretation of findings, and implementation of findings into practice. This subprogram is also primarily responsible for producing publicly available data sets that meet state and Federal privacy laws. Staff provide services in program or process evaluations, including developing evaluation plans, coordinating and monitoring of program evaluation RFPs, designing evaluation instruments, collecting quantitative and qualitative data, analyzing results, and evaluation reports.

Data Governance for the agency is housed within the Accountability and Research Department. Data Governance is the overall management of the availability, usability, integrity and security of the data used in the ADE data systems.

◆ **Goal** 1 To issue on time, valid and reliable evaluations of school and student performance as required by State and Federal statutes.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of students in grade 3 meeting or exceeding State academic standards in English Language Arts.	44	45	TBD*	TBD(	TBD*
Explanation: *Data is not available until the end of September, after the report is submitted. ** Performance measure changed to reflect focus on highest assessment rather than grade level.					
Percent of students meeting or exceeding State academic standards in English Language Arts 11.	28	29	TBD*	TBD*	TBD*
Explanation: *Data is not available until the end of September, after the report is submitted.					
Percent of students meeting or exceeding State academic standards in Algebra II.	34	35**	TBD*	TBD*	TBD*
Explanation: **The Fiscal Year 2019 Estimates were changed to meet the challenges of 2018 that were not accomplished for Grade 3 and for Algebra II. *Data is not available until the end of September, after the report is submitted.					

Subprogram Summary

HEALTH AND NUTRITION SERVICES

Melissa Conner, Associate Superintendent
Phone: (602) 542-8709
Nat. School Lunch and Child Nutrition Acts, P.L. 108-265

Mission:

To ensure our customers receive the maximum benefits from all the programs we administer.

Description:

The Health and Nutrition subprogram provides technical assistance to support and improve the health environment of schools, daycare centers and homes, cash assistance, and donated foods to serve nutritionally adequate meals to children in schools, preschools, daycare centers, and homes. Over two-thirds of the children served are low income, based on free and reduced-income eligibility status. The free and reduced status is based on the federal poverty guidelines and is an indicator of a child's at risk status. Training, technical assistance, and compliance reviews are conducted to ensure health and nutrition integrity and fiscal accountability as prescribed by the United States Department of Agriculture.

The Health and Nutrition subprogram includes various health programs, and the meals served in these programs are planned to meet the U.S. Dietary Guidelines for Americans. These guidelines provide advice about food choices that promote health and prevent disease, encouraging an increased intake of fruits, vegetable,s and grains, while limiting fat, salt, and sugar. These programs include: the National School Lunch Program, the After School Snack Program, the School Breakfast Program, the Child and Adult Care Food Program, the Summer Food Service Program, the Food Distribution Program, the Special Milk Program, the Fresh Fruit and Vegetable Program, and School Health Programs.

School Health and Safety Programs:
The School Health and Safety Programs provide funding, training, and technical assistance for safe and supportive learning environments that meet the continuum of school safety, school health, prevention, intervention and response. Through collaboration with diverse local, state, and federal partners, the SHSP support Arizona schools so that students are safe, healthy, and ready to learn. Strategies utilized by the SHSP are grounded in evidence of effectiveness, and the SHSP contribute to the knowledge base through its own data collection, program evaluation, and research efforts.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	78.3	86.8	86.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	447,001.8	460,105.8	460,105.8
Total Funding	**447,080.1**	**460,192.6**	**460,192.6**
FTE Positions	**66.5**	**66.9**	**66.9**

◆ **Goal** 1 To ensure compliance with State and Federal statutes and regulations along with other contractual obligations.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Food Service Management Contracts in program compliance with invoicing SFAs.	93	93	94	94	95
Percent of claims reimbursed within 45 days.	99.99	99*	99	99	99

Explanation: *To account for the possibility of system issues and potential errors.

Percent of Child and Adult Food Care Program Sponsor reviews with no serious deficiencies.	95	92	95	94	94

◆ **Goal** 2 To increase customer satisfaction

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Overall external customer rating on Health & Nutrition Services.	4.24	4.26	4.25	4.32	4.35
External customer overall satisfaction rating on School Safety.	66**	75**	75	75	75

Explanation: **Estimates reflect percentage of respondents to the survey. The objective for 2018 was changed last year to state "Initiate external customer service satisfactory survey to establish baseline rating for School Safety Program". The values for the customer service survey provided for 2018, were based on responses ranging from "strongly disagree to strongly agree" to the question "ADE provides the appropriate assistance and support you need to implement the School Safety Program". There was no initial estimate provided last year for 2018, as this year is a baseline year.

Percent of participants rating "Technical Assistance and monitoring feedback help us understand our legal requirements" in the 21st CCLC External Customer Survey.	98**	4.5*	4.09*	84	86

Explanation: **For 2017, the satisfaction survey was not used. However using the satisfaction survey from the "New Grantee Orientations" (NGO) data, 2017 would have an equivalent of 4.275 (85.5%) for "Training met my expectations." The same evaluation tool will be used for continuing NGO trainings yearly and the upwardly mobile goals are entered accordingly with (86%) 4.3 as the FY18 estimate, and (87%) 4.35 as the goal for FY19.

Program Summary

SCHOOL FINANCE

Lyle Friesen, Deputy Associate Superintendent
Phone: (602) 542-8250
A.R.S. § 15-185, 15-901-917, 15-941-15-1033, 37-521

Mission:

To distribute state aid for the education of students in preschool (with disability), kindergarten, and grades one through twelve, monitor compliance with statutory expenditure limitations, and provide prompt customer service while collecting and analyzing data required for the distribution of state aid.

Description:

School Finance disburses equalization assistance (Basic State Aid) to school districts and charter schools pursuant to a statutory formula, which requires the first portions of school district funding to be generated by a local property tax levy and a state equalization assistance property tax levy (levied by the counties). The equalization formula is designed to provide equitable per-pupil funding among school districts and charter schools for maintenance and operation and certain capital needs. Equalization assistance is based on the school district's or charter school's student count (Average Daily Membership) and funding levels set in statute.

School Finance collects student level data, which becomes the basis for payment of state aid and other monies. This data is also used by numerous other areas within the Department of Education. In addition to student data, transportation and employee data is collected. Assistance is provided to districts and charters to ensure accurate data is available for payment and budget analysis purposes.

School Finance also disburses other special formula funding for the following programs: (1) Additional State Aid (Homeowner's Rebate Program); (2) Assistance to School Districts (education of children whose parents or legal guardians are employed by certain state institutions); (3) Certificate of Educational Convenience (education of children who reside in areas of the state which are not included within an organized school district); (4) Residential and Institutional Vouchers; (5) County Jails and Detention Centers; (6) Juvenile Corrections and Adult Corrections; (7) Classroom Site Fund (additional funds for teacher compensation and other specified purposes); (8) Instructional Improvement Fund (also additional funds for teacher compensation and other specified purposes); and (9) County Small Schools Service Program; (10) Proposition 123; (11) Result Based Funding; (12) Unorganized Territory.

School district compliance with statutory expenditure limitations is determined for each school district based on each district's adopted budget. Monthly updates are provided throughout the year. Final compliance testing is performed after the close of the fiscal year, upon the submission of school districts' Annual Financial Reports.

Further, School Finance collects data to meet the reporting requirements for the National Public Education Finance Survey (NPEFS) and the federal Common Core of Data, fiscal (revenues and expenditure) and non-fiscal (student counts). Data submitted is the basis for determining Arizona's Title I monies, and is used in numerous studies and reports. In addition, School Finance provides education related data to other governmental agencies and taxpayers as requested and/or required.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,575,717.1	5,067,944.0	5,067,944.0
Other Appropriated Funds	277,115.3	290,489.1	290,489.1
Other Non Appropriated Funds	650,952.8	806,157.5	806,157.5
Total Funding	**5,503,785.2**	**6,164,590.6**	**6,164,590.6**
FTE Positions	**19.0**	**19.0**	**19.0**

◆ **Goal** 1 To provide timely and reliable customer service.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Instructional Improvement Fund (IIP) payments made on a biannual basis.*	100	100	100	100	100

Explanation: *Fund payments paid biannually, due to small amounts of money available for some quarters.

Percent of Classroom Site Fund payments made on a monthly basis	100	100	100	100	100
External customer overall satisfaction rating for School Finance.*	NA*	NA*	NA*	NA*	NA*

Explanation: *For Fiscal Years 2017, 2018 and 2019, the transition to a new student data collection system (AzEDS) in conjunction with the change to current year funding for school districts is expected increase school district and charter district training and support needs from School Finance. Current staff levels are insufficient to meet the anticipated demand.

Number of days to process budget analysis from July 18.	100	100	98	100	100

Program Summary

HIGHLY EFFECTIVE SCHOOLS

Mike Mannelly, Associate Superintendent
Phone: (602) 542-1556
A.R.S. § 15-531-15-551, 15-704, 15-919-15-920, P.L. 107-110

Mission:

To promote the development and the implementation of quality education for all learners by providing quality services and resources to schools, parent groups, government agencies, and community groups to enable them to achieve their goals.

Description:

The Highly Effective Schools Division, consisting of Exceptional Student Services (ESS), Adult Education Services (AES), and 21st Century Community Learning Centers (21CCLC), provides funding, technical assistance, and resource coordination to local education agencies and public/private organizations in their administration of preschool through adult programs including before and after school programming and summer programming. It also provides development opportunities to teachers and administrative professionals and supports local efforts focused on parental and community involvement. This Division includes efforts aimed at:
1. Serving children with disabilities between the ages of 3 years and 22 years; ensures that public education agencies in Arizona have special education programs, policies, and procedures that comply with the federal Individuals with Disabilities Education Act (IDEA) and its implementing regulations, and that eligible children and youth with disabilities receive a free appropriate public education (FAPE). providing professional learning opportunities, providing technical assistance to schools, supporting the needs of families of students with disabilities, monitoring schools for compliance with the regulations that implement the IDEA, and administers the IDEA Entitlement grant.
2. Serving children whose economic, cultural, or intellectual situations create the need for additional school extension opportunities offered through school day extension programs that support academic achievement, family engagement and social/emotional growth;
3. Serving Arizona's education community by ensuring adult learners, 16 years of age and older who are not enrolled in a K-12 school, have quality educational opportunities to support employment, job training and higher education aspirations. These services help adult learners to acquire the knowledge and skills necessary for effective participation in society, helping citizens realize their potential, businesses benefit and communities thrive.

This Program Contains the following Subprograms:

- Exceptional Student Services
- School Improvement and Intervention
- Career and Technical Education
- Title I
- Emergent Student Services

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	48,620.4	79,752.5	84,352.5
Other Appropriated Funds	725.9	250.0	250.0
Other Non Appropriated Funds	640,548.1	702,190.4	702,190.4
Total Funding	**689,894.4**	**782,192.9**	**786,792.9**
FTE Positions	**215.2**	**217.0**	**223.0**

Subprogram Summary

EXCEPTIONAL STUDENT SERVICES

Alissa Trollinger, Deputy Associate Superintendent
Phone: (602) 364-4004
A.R.S.§15-236, 15-761-15-774, 15-881, 15-1181-15-1205, IDEA

Mission:

To provide high quality service that builds capacity to improve outcomes for students with disabilities.

Description:

Exceptional Student Services ensures that public education agencies in Arizona have special education programs, policies, and procedures that comply with the federal Individuals with Disabilities Education Act (IDEA) and its implementing regulations, and that eligible children and youth with disabilities receive a free appropriate public education (FAPE).

Funding:	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
General Funds	48,620.4	79,752.5	84,352.5
Other Appropriated Funds	725.9	250.0	250.0
Other Non Appropriated Funds	640,548.1	702,190.4	702,190.4
Total Funding	**689,894.4**	**782,192.9**	**786,792.9**
FTE Positions	**215.2**	**217.0**	**223.0**

◆ **Goal** 1 To ensure that all students with disabilities have access to an excellent education.

Performance Measures	**FY 2018 Actual**	**FY 2019 Estimate**	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
Percent of students with IEPs graduating from high school with a regular diploma.	69.98*	80	52.8*	80	80

Explanation: *Data may be slightly higher when reported federally through EDFacts due to reporting requirements.

Percent of children with IEPs scoring at or above proficient in reading as measured by the state approved standardized assessment.	7.8*	10.9	7.9*	12.99	12.99

Explanation: *The objective has been revised for FY 2018 and FY 2019 to align with the State-identified Measurable Result (SiMR) ESS identified in the State Systemic Improvement Plan (SSIP) required by the Office of Special Education Programs.

Percent of children with IEPs scoring at or above proficient in math as measured by the state approved standardized assessment.	NA*	NA*	NA*	NA*	NA*

Explanation: *No longer tracking this measure. It is not aligned with the State Performance Plan/Annual Performance Report Indicators required for submission by the Office of Special Education Programs.

◆ **Goal** 2 To improve customer satisfaction.

Subprogram Summary

SCHOOL IMPROVEMENT AND INTERVENTION

Devon Isherwood, Deputy Associate Superintendent
Phone: (602) 364-0379
A.R.S. § 15-241, 15-741.01, 15-809, P.L. 107-110

Mission:

To improve Local Education Agencies (LEAs) and school systems in order to significantly increase and sustain quality outcomes for Arizona students.

Description:

Support and Innovation (SI) provides innovative support and intervention services to LEAs and schools to dramatically improve outcomes for all students. SI provides leadership and evidence based technical support to close achievement and opportunity gaps for underserved students, and focus on system transformation to improve outcomes for all students, as required by State and Federal Accountability Systems. Through a tiered system of supports, SI employs evidence based decision-making to provide actionable data to inform the iterative process of continuous improvement planning increasing student achievement. SI's system of support emphasizes building the capacity of the LEAs/Charter Holders and site leadership to support the continuous improvement cycle. SI provides ELEVATE, an Executive Leadership Development Program as well as Multi-Tiered Systems of Support Professional Learning program for LEA and school teams. In addition SI provides Comprehensive Needs Assessment, root cause analyses and Integrated Action Planning trainings, guidance, support and monitoring, other professional development based on identified needs, onsite visits, desktop monitoring, programmatic progress monitoring and evaluation, fiscal monitoring, and compliance monitoring.

◆ **Goal** 1 To provide technical assistance and training for districts and schools to improve effectiveness

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Ensure 90% of all "D" and "F" schools conduct a high-quality Comprehensive Needs Assessment with thorough root cause analyses and develop aligned Integrated Action Plans.*	97	90	93	90	90

Explanation: * Attention to "D" and "F" schools is now imperative.

Annual external customer overall satisfaction rating for Support and Innovation.*	NA*	NA*	NA*	NA*	NA*

Explanation: *SI opts out of this objective for 2017, 2018, 2019 and moving forward.

80% completion rate of Comprehensive Support and Improvement school Integrated Action Plan action steps specific to school improvement SMART goals quarterly through site visits and desk top monitoring.	86	80	82	80	80

Explanation: * Grant Funded was added because the only real leverage SI has is funding. If a school in improvement doesn't have funding, there is no incentive to follow through or consequence if they don't. Therefore, while we work diligently with non-funded schools, we can only influence, not ensure compliance. ** Low achievement schools was added to specify the category of schools.
**SI is no longer solely responsible for Integrated Support Teams. This new goal is appropriate for new ESSA requirements.

Subprogram Summary

CAREER AND TECHNICAL EDUCATION

Cathie Raymond, Deputy Associate Superintendent/State Director
Phone: (602) 364-2211
A.R.S. § 15-781-15-790, P.L. 109-270

Mission:

To engage Arizona learners in relevant experiences leading to purposeful and economically viable careers.

Description:

The Career and Technical Education (CTE) subprogram at the Arizona Department of Education oversees all State and Federal funding specifically earmarked for all secondary and postsecondary CTE programs designed to prepare individuals for postsecondary education and transition to employment in current or emerging careers. This subprogram directs and is responsible for the quality of all CTE programs under secondary and postsecondary districts and all CTE programs under Career Technical Education Districts (CTED). This includes oversight of over $28.6 million of Federal Carl Perkins funds and $11.6 million of State Block Grant funding. The subprogram is responsible for assuring quality and compliance with all associated Federal and State legislation for CTE funding, including budgeting and directing funds to specific programs, providing reports to Federal and State entities, collecting, analyzing and reporting related data, including performance measures, and establishing fiscal accountability for funds.

The CTE subprogram is also responsible for directing the development and approval of quality CTE programs in 56 program career areas leading to placement of students in postsecondary education and/or into employment. The subprogram directs development of industry validated technical standards which not only meets occupational needs and employability skills but also focuses on related academic skills and standards. The subprogram oversees the development of end-of-program assessments and maintains the assessment management system. Leadership is provided for curriculum, assessment development, dissemination of materials and professional development opportunities, including pedagogy, and articulation of secondary to postsecondary education.

The CTE subprogram directs CTE research and assessment, which supports the need for specific programs, based on Arizona labor market information identifying occupations with high wage, high skill or in demand, and
collects, reports and analyzes data for districts and other entities to provide accurate information and industry evaluation for continuous improvement of CTE programs. The CTE subprogram also supports implementation of new and emerging programs such as those in the Science, Technology, Engineering and Math (STEM) cluster, and the Bioscience areas, based on research in Arizona services workforce strategy by Battelle. The subprogram works with stakeholder groups to establish partnerships with business and industry and workforce development agencies to ensure the CTE programs are preparing students to be college and career ready by having the professional employability skills, technical skills and industry recognized certifications needed for careers leading to economic independence. The subprogram gives direction to identification of priorities, such as specific occupations or work-based learning, to align with labor market and business and industry needs into the future.

The subprogram oversees and conducts all Federal compliance reviews for CTE programs through Office for Civil Rights. The seven co-curricular CTE student organizations, FFA, FCCLA, Educators Rising Arizona, FBLA, DECA,
HOSA and SkillsUSA, also function under this subprogram to provide students with leadership development and community service skills. Technical assistance in implementation and continuous improvement of quality CTE programs including the previously described initiatives is provided to all secondary and postsecondary districts offering approved CTE programs.

◆ **Goal** 1 To ensure compliance with State and Federal statutes and regulations along with other contractual obligations

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Annual external customer overall satisfaction rating for CTE.	4.72	4.72	4.85	4.80	4.95

Explanation: *The external customer satisfaction rating for CTE will no longer be derived from the annual External Customer Satisfaction Survey distributed by ADE/CTE. CTE will include an "overall satisfaction" measure in all CTE customer surveys and report results quarterly.

Default Performance Measure*	N/A*	N/A*	N/A*	N/A*	N/A*

Explanation: *This performance measure was created in error.

Percent of 12th grade students in the same cohort year who are CTE program concentrators.	31.0	28.0	31.0	35.0	35.0

Explanation:
**Estimates were updated to reflect change in language from previous "grades 9-12" to "12th grade students". CTE concentrators are not reported until after student graduates.
***FY2017 data not available until 8/31/17.

Percent of CTE program concentrators who earned an industry recognized credential.	15	9	11	20	21

Explanation:
**Estimates were updated to reflect change in language from previous "grades 9-12" to "12th grade students". CTE concentrators are not reported until after student graduates.
***FY2017 data not available until 8/31/17.

Subprogram Summary

TITLE I

Keith Snyder, Deputy Associate Superintendent
Phone: (602) 364-1957
P.L. 107-110

Mission:

To provide technical assistance, service, and support to local educational agencies (LEAs) and schools to help ensure every child has access to an excellent education.

Description:

The purpose of Title I-Improving the Academic Achievement of the Disadvantaged of the Every Student Succeeds Act (ESSA - signed into law on December 10, 2015, replacing No Child Left Behind) is to "provide all children significant opportunity to receive a fair, equitable, and high-quality education, and to close educational achievement gaps". Title I provides technical assistance, service, and support to local educational agencies (LEAs) and schools to help ensure every child has access to an excellent education.

◆ **Goal** 1 To ensure compliance with State and Federal statutes and regulations along with other contractual obligations

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of districts in compliance in (Cycle 1) Federal indicator.	35*	98	82*	98	98

Explanation: *The unit had six vacant Education Program Specialist positions during the majority of the spring semester, so we focused our efforts on grant review to ensure LEAs and schools received their entitlement funding in a timely manner. Now that we are almost fully staffed, we have shifted our priority to Cycle Monitoring and technical assistance. We are continuing to work with LEAs to ensure all are in compliance. Updated data will be available October 1, 2019.

Percent of districts in compliance in (Cycle 2) Federal indicator.	87*	99	95*	99	99

Explanation: *The unit had six vacant Education Program Specialist positions during the majority of the spring semester, so we focused our efforts on grant review to ensure LEAs and schools received their entitlement funding in a timely manner. Now that we are almost fully staffed, we have shifted our priority to Cycle Monitoring and technical assistance. We are continuing to work with LEAs to ensure all are in compliance. Updated data will be available October 1, 2019.

Percent of districts in compliance in (Cycle 3) Federal indicator.	24*	97	68*	97	97

Explanation: *The unit had six vacant Education Program Specialist positions during the majority of the spring semester, so we focused our efforts on grant review to ensure LEAs and schools received their entitlement funding in a timely manner. Now that we are almost fully staffed, we have shifted our priority to Cycle Monitoring and technical assistance. We are continuing to work with LEAs to ensure all are in compliance. Updated data will be available October 1, 2019.

Percent of districts in compliance in (Cycle 5) Federal indicator.	100*	97	100	97	97

Explanation: *The unit had six vacant Education Program Specialist positions during the majority of the spring semester, so we focused our efforts on grant review to ensure LEAs and schools received their entitlement funding in a timely manner. Now that we are almost fully staffed, we have shifted our priority to Cycle Monitoring and technical assistance. We are continuing to work with LEAs to ensure all are in compliance. Updated data will be available October 1, 2019.

Percent of districts in compliance in (Cycle 6) Federal indicator.	92*	99	95*	99	99

Explanation: *The unit had six vacant Education Program Specialist positions during the majority of the spring semester, so we focused our efforts on grant review to ensure LEAs and schools received their entitlement funding in a timely manner. Now that we are almost fully staffed, we have shifted our priority to Cycle Monitoring and technical assistance. We are continuing to work with LEAs to ensure all are in compliance. Updated data will be available October 1, 2019.

Subprogram Summary

EMERGENT STUDENT SERVICES

Nadine Groenig, Director
Phone: (602) 542-5235
A.R.S. § 15-1241, P.L. 89-329, P.L. 101-610, P. L. 107-110

Mission:

To serve Local Educational Agencies (LEAs) in accessing quality educational programs on reservations and urban areas with high populations of American Indian students through technical assistance, timely allocation and distribution of program funds, monitoring state and federal grants, and providing data collection related to school safety to ensure that every child has access to a safe school environment and an excellent education.

Description:

The Special Projects sub-program (formerly Emergent Student Services, now part of the Office of the Superintendent) serves Arizona's indigenous school populations through targeted initiatives.

Office of Indian Education:
The Office of Indian Education, under the Office of the Superintendent, administers federal and state programs to meet the educational and cultural needs of American Indian students in participating LEAs. The office implements A.R.S. 15-244, Indian Education Act. Outreach is provided to all of Arizona's local educational agencies on reservations and urban areas with high populations of American Indian students. Technical assistance is provided in collaboration with all units at ADE that interface with these LEAs. Conferences and training, as well as parental involvement activities, are also provided on-site and at ADE. The Director of Indian Education serves as a liaison between the tribal education departments and the ADE, works via partnerships with outside agencies to provide resources for Native American students, and facilitates the Superintendent of Public Instruction's initiatives to benefit the academic achievement and cultural awareness of Arizona's indigenous youth.

◆ **Goal** 1 To provide timely and reliable customer service

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Meet with at least five tribal council that have not yet met with ADE.**	5	5	4	5	5

Explanation:

**New Performance measure for FY2018

Program Summary

HIGHLY EFFECTIVE TEACHERS AND LEADERS

Kelly Koenig, Associate Superintendent
Phone: (602) 364-2811
A.R.S. § 15-531-15-551, 15-919-15-920, P.L. 107-110

Mission:

To promote attainment of high academic achievement for all students through implementation of valid and reliable assessments and accurate measurement of school and student performance.

To increase student academic achievement through strategies to: improve the quality and effectiveness of teachers, principals, and other school leaders in addition to providing services to educators to assist them in obtaining and maintaining their Arizona Educator Certification.

To measure, support, and seek to improve LEA and school systems in order to significantly increase and sustain quality outcomes for Arizona students.

Description:

The Accountability and Assessment program focuses on improving student achievement through development and administration of valid and reliable assessments and report academic outcomes in order to make informed decisions about students, classroom practice, schools, and districts in Arizona. Support and Innovation provides support and intervention services to schools seeking to improve student achievement and academic outcomes as required by State and Federal Accountability Systems.

The Accountability Section measures performance and quality of Arizona schools, as required by State and/or Federal laws. The section works closely with School Finance, IT, Assessments, and the State Board of Education, in order to accurately label schools in a fair, transparent, and systematic manner. Accountability staff support schools, districts, and other stakeholders through appropriate and effectively reporting student outcome data for over 1 million students enrolled in almost 2000 charter and district schools throughout Arizona.

The purpose of Title I-Improving the Academic Achievement of the Disadvantaged of the Every Student Succeeds Act (ESSA) is to “provide all children significant opportunity to receive a fair, equitable, and high-quality education and to close educational achievement gaps”. Title I provides technical assistance, service and support to local educational agencies (LEAs) and schools to help ensure every child has access to an excellent education.

The Certification Unit at the Arizona Department of Education provides services to educators to assist them in obtaining and maintaining their Arizona Educator Certification. Educators are certified in a myriad of areas which include Early Childhood, Elementary, Secondary, CTE, STEM, Arts, Physical Education, Administration, Special Education, Adult Education and others as well as adding approved content areas and endorsements. The unit also assists out-of-state educators in obtaining Arizona Certification as well as supports Human Resource departments through staff training and facilitating on-site certification events to meet the needs of their educators.

Effective Teachers and Leaders (Title II-A) is responsible for increasing student academic achievement through strategies to: improve the quality and effectiveness of teachers, principals, and other school leaders; increase the number of teachers, principals, and other school leaders who are effective in improving student academic achievement in schools; and provide low-income and minority students greater access to effective teachers, principals, and other school leaders. Effective Teachers and Leaders staff work closely with Local Educational Agencies (LEAs) to provide guidance, strategies, and resources to:

- Improve the effectiveness of teachers and leaders
- Achieve equitable access to effective teachers
- Support targeted professional development based on identified needs
- Assist with the implementation of the Arizona Framework for Measuring Educator Effectiveness

Support and Innovation seeks to improve LEA and school systems in order to significantly increase and sustain quality outcomes for Arizona students. The unit drives academic reform, promoting systemic change through on-site visits and desktop supports to LEAs and schools as well as a variety of professional learning opportunities. Support and Innovation actualizes systemic change in LEAs and schools by supporting the creation and sustaining of a culture of learning; planning and implementing of evidence-based Integrated Action Plans based on a comprehensive needs assessment and root cause analysis; growth of bold, turnaround leaders who significantly influence student learning, as well as, other aspects of school conditions; an instructional focus with processes and supports for teacher collaboration to constantly improve and refine standards-based, evidence based instructional and assessment practices; and data driven

decision making with consistent processes for using data in all decisions as well as to measure both program implementation and student outcomes.

The purpose of the Title IV-A Student Support and Academic Enrichment (SSAE) grant is to improve students' academic achievement by increasing the capacity of States, local educational agencies, schools, and local communities to provide all students with access to a well-rounded education, improve school conditions for student learning, and improve the use of technology in order to improve the academic achievement and digital literacy of all students.

The Gifted Education program provides leadership and assistance to Arizona public schools in providing appropriate gifted education services K-12 for their gifted and advanced learners (approximately 8% of Arizona's public school population), so they may develop and achieve according to their abilities and potential. The Advanced Placement Program provides leadership and assistance to Arizona public schools in expanding access to, and success within, advanced placement programs for all learners, so they may develop and achieve according to their abilities and potential, and to ensure that all Arizona learners graduate college and career ready.

The mission of the Arts Education program is to provide support to Arts educators, classroom teachers, school and district administrators, and Arts stakeholders – including Arts and education organizations, community groups, and service organizations – so that every student has the opportunity to experience the power and beauty of the Arts, and the joy, creativity, and intellectual stimulation that instruction in the Arts provides.

This Program Contains the following Subprograms:

- Office of Arizona Charter Schools Programs (AZCSP)
- Educator Excellence/Title II - A

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	690.1	1,078.1	1,634.1
Other Appropriated Funds	1,880.2	2,342.7	2,342.7
Other Non Appropriated Funds	35,567.9	39,739.1	39,739.1
Total Funding	**38,138.2**	**43,159.9**	**43,715.9**
FTE Positions	**35.3**	**39.6**	**44.6**

Subprogram Summary

OFFICE OF ARIZONA CHARTER SCHOOLS PROGRAMS (AZCSP)

Mark Francis, Director
Phone: (602) 542-4020
A.R.S. § 15-181-15-189.03

Mission:

To ensure high-quality educational choices by selecting, monitoring, and assisting transformative leaders.

Description:

The Arizona Charter Schools Program (AZ CSP) is a competitive start-up grant that supports visionary leaders who will form high quality charter schools focusing on improving the academic outcomes and closing the achievement gaps for all educationally disadvantaged students; and improving educationally disadvantaged high school student achievement and graduation rates.

◆ **Goal** 1 To ensure high-quality educational choices

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of academic, governance, and financial monitoring visits conducted.	30	20	20	18	26

Explanation: *40 monitorings was incorrectly stated. The estimate and actual was 20.

Provide Governance and Formative Assessment training for awarded schools.	16	10	10	8	8

Subprogram Summary

EDUCATOR EXCELLENCE/TITLE II - A

Bruce Duplanty, Deputy Associate Superintendent
Phone: (602) 542-4000
A.R.S. § 15-531-15-551, 15-919-15-920, P.L. 107-110

Mission:

To improve student achievement in public education through high quality professional learning, educator certification, credentialing, and evaluation systems that support effective teachers and administrators.

Description:

The Educator Excellence Section, within the Student Achievement and Educator Excellence Division consists of the following units: Effective Teachers and Leaders and Certification.

The Effective Teachers and Leaders unit is responsible for overseeing the implementation of ESSA federal legislation for achieving the goal of having an effective teacher in every classroom, achieving equitable access to effective teachers, working collaboratively with stakeholders and Institutions of Higher Education to design and implement a rigorous professional preparation program approval process and rigorous educator assessments based on the AZ professional educator standards, providing guidance/technical assistance to LEAs while reviewing and approving Title II-A grant applications and revisions, assisting LEAs with meeting federal and state requirements for principal and teacher evaluation, and overseeing pay for performance initiatives.

Additionally, the unit oversees and administers the Teacher Professional Development Scholarship to certified teachers in the state to be utilized to gain additional credentials and certifications to teach in math, science, technology, engineering, and career and technical education. Each $2000 scholarship is designed to increase the teaching pool for these high-need content areas.

The Certification unit certifies teachers, administrators, speech language pathologists, speech language technicians, school psychologists, and guidance counselors. The unit provides technical assistance regarding certification statutes and state board rules to the field in the form of on-site visits, phone calls, counter service and e-mails. The Certification unit also implements new certification rules that have been created through legislation and State Board rule.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	690.1	1,078.1	1,634.1
Other Appropriated Funds	1,880.2	2,342.7	2,342.7
Other Non Appropriated Funds	35,567.9	39,739.1	39,739.1
Total Funding	**38,138.2**	**43,159.9**	**43,715.9**
FTE Positions	**35.3**	**39.6**	**44.6**

◆ **Goal** 1 To provide timely and reliable customer service

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average days for processing of certification services requiring an evaluation.*	10.8	9.5	9.9	9.4	9.0

Explanation: *Due to rule change, evaluation services have become more time intensive. Although our average days has decreased from the prior year's average of over 10 days, we hope to continue to make gains through implementation of efficiency strategies and tools.

Customer service satisfaction rating at the counter and for outreach services.	4.4	4.5	4.5	4.55	4.6
Percent of Title II-A applications/amendments reviewed by program specialists within 10 days of being submitted to the ADE within the existing grants management system.*	**	96	NA*	NA*	NA*

Explanation: **We will have FY18 actual data by 8/10/18.
*In October 2018, Title I and Title II Units were combined into Educator and School Excellence Section. All specialists in the unit are responsible for a caseload and review ESEA consolidated grants (Title I-A, Title II-A, RLIS, Title ID, Title IV-A) assigned to them. Because of this merger, we are not able to provide data for this objective.
*Data will be received next week 8/19/19.

◆ **Goal** 2 To ensure the quality of Arizona's educators through evaluation and certification

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Increase the percent of core academic teaching positions taught by appropriately certified teachers within the state.	95	96	NA*	96	96

Explanation: *Data will be available by September 30, 2019.

Program Summary

HIGH ACADEMIC STANDARDS FOR STUDENTS

Dr. Heather Cruz, Associate Superintendent
Phone: (602) 364-1985
A.R.S. § 15-241, 15-751-756.01-.13, 15-910, 41-1279.03, P.L. 107-110

Mission:

To build excellence in Arizona education through the provision of effective development and technical assistance that supports the needs of LEAs.

Description:

The High Academic Standards program provides leadership in the development of K-12 Academic Standards, Early Childhood Education Standards, Career and Technical Education Standards, and English Language Proficiency Standards along with ongoing support for the effective implementation of these standards at the local level. The content experts within the subprograms provide guidance documents, professional development and technical assistance to Arizona educators to ensure that educators have the necessary information to provide effective instruction. The High Academic Standards program provides support specifically to educators and classrooms providing instruction to K-12 students, K-12 English Language Learners and young students ages 3-5 in early education programs, as well as providing career and technical education services to high school students and community colleges. Additionally, this division supports several student subgroups: Early Childhood Special Education, Migrant Students.

This Program Contains the following Subprograms:

- K-12 Academic Standards
- Early Childhood
- Title III - OELAS

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	24,033.2	25,570.0	25,570.0
Other Appropriated Funds	44.3	0.0	0.0
Other Non Appropriated Funds	45,011.3	36,058.4	36,058.4
Total Funding	**69,088.8**	**61,628.4**	**61,628.4**
FTE Positions	**39.4**	**31.4**	**31.4**

Subprogram Summary

K-12 ACADEMIC STANDARDS

Dr Heather Cruz, Associate Superintendent
Phone: (602) 364-1985
A.R.S. § 15-704, P.L. 107-110

Mission:

To provide Arizona's educators with professional learning opportunities and resources that support best practices for standards-based teaching and learning for all students.

Description:

The K-12 Academic Standards section provides leadership in the development of the state's academic standards as well as support and provide assistance to schools in implementing the standards as adopted by the Arizona State Board of Education. We currently provide support for the following academic standards:
•Computer Science
•English Language Arts
•Educational Technology
•Mathematics
•Science
•Social Studies
•World and Native Languages

ADE-sponsored professional development and technical assistance in implementing Arizona's content standards are offered regularly for school/district teams, curriculum consortiums, and various stakeholder groups throughout the state to ensure that all teachers and administrators have the necessary skills and knowledge to teach Arizona's standards effectively. In addition to academic standards, our section also provides leadership in the implementation of the following programs and initiatives:
•Move on When Reading (MOWR)
•The Early Literacy Grant
•The Excellence in Civic Engagement Program
•The Seal of Biliteracy
•The Rural STEM Grant Program Fund
•The Balanced Assessment Framework
•Formative Assessment and Instruction
•Presidential Awards for Excellence in Mathematics and Science Teaching
•Student-Teacher Course Catalog Assistance
•The Seal of Personal Finance
•The Seal of Civic Literacy
•The American Civics Education Pilot Program
•The Computer Science Professional Development Program Fund
•Social and Emotional Learning Initiatives & Integration

The K-12 Academic Standards section also administers the State Tutoring fund, which represents the program available to all pupils in a school assigned a letter grade of D or F.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	24,033.2	25,570.0	25,570.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	7,972.5	7,999.7	7,999.7
Total Funding	**32,005.7**	**33,569.7**	**33,569.7**
FTE Positions	**17.2**	**10.9**	**10.9**

◆ **Goal** 1 To provide training and professional development to improve the effectiveness of standards based teaching and learning

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Arizona educators who have attended ADE-sponsored Mathematics Standards professional development.	690	500	750	500	500
Number of Arizona educators who have attended ADE-sponsored English Language Arts Standards professional development.	5100***	500	1050	500	500

Explanation: ***The FY18 number of teachers who attended ADE sponsored professional development in this area is due in large part the various conferences and mass gatherings where ADE staff provided professional development to hundreds of educators at multiple events.

Because these events were outside of the normal schedule of the work, it is anticipated that the FY20 will return to previous estimates given capacity.

Percent of K-12 teachers implementing Arizona's College and Career Ready standards as measured by the Superintendent Standards Declarations.*	NA*	NA*	NA*	NA*	NA*

Explanation: *Declarations are longer required of LEAs. As a result there is no data available for this item and neither objectives nor estimates will be entered for future years.

Percentage of teachers reporting expanded content knowledge of K-3 reading instruction as a result of implementing Move On When Reading literacy plans as measured by expanded content knowledge by participants in Teaching Reading Effectively training which supports Move on When Reading.*	NA*	NA*	NA*	NA*	NA*

Explanation: *This performance measure is no longer tracked as participants in Teaching Reading Effectively complete a pre test and post test assessment which serves as a measure of expanded content knowledge.

Subprogram Summary

EARLY CHILDHOOD

Lori Masseur, Deputy Associate Superintendent
Phone: (602) 542-8706
A.R.S. § 15-715, 15-771, 15-901.02, 15-1251, P.L. 107-110

Mission:

To provide leadership and support to schools, organizations, educators, families, and communities in implementing programs that assist all children from birth through age 8 years to become successful lifelong learners.

Description:

The Early Childhood Education section provides professional support and technical assistance to Arizona's early childhood educators. The Early Childhood Education unit participates in multiple partnerships designed to create quality learning environments and opportunities for young children. Specifically, this section focuses on programs that include Preschool Special Education programs for children ages 3 to 5 years old with disabilities, Head Start programs, Preschool Development Grant funded classrooms, and Title I preschools. Content specialists in this section also provide professional development support to LEAs with kindergarten through grade three programs. The Early Childhood Education section supports school readiness and early learning success by encouraging the implementation of high quality program guidelines and educational standards. Local community programs are provided access to resources, on-site support, funding, and opportunities for professional development to promote developmentally appropriate learning environments.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	23,986.3	14,520.0	14,520.0
Total Funding	**23,986.3**	**14,520.0**	**14,520.0**
FTE Positions	**11.5**	**14.0**	**14.0**

◆ **Goal** 1 To ensure compliance with the Office of Special Education Programs requirements

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of preschool children in general education who met age level expectations in literacy development at the end of the school year.	93.6	93	92.8	93	93
Percentage of preschool children in general education who met age level expectations in physical development at the end of the school year	93.7	94	95.8	94	94
Percentage of preschool children in general education who met age level expectations in language development at the end of the school year.	91.5	90	91.5	90	90
Percentage of preschool children in general education who met age level expectations in social and emotional development at the end of the school year.	92.7	93	93.5	93	93
Percentage of preschool children in special education who met age level expectations in social and emotional development at the end of the school year.	66.9	70	68.1*	70	70

Explanation: *To support educators working with these children, the Early Childhood unit is focusing on bringing professional development and technical assistance to the field. This will be done by increasing awareness of positive social emotional teaching strategies through our early learning standard modules and having a social emotional summit for all early childhood educators in December of 2019.

Percentage of preschool children in special education who met age level expectations in physical development at the end of the school year.	76.9	80	79.2*	80	80

Explanation: *To support meeting this goal, the early childhood unit will provide more support to educators around the verbiage in the tool measuring. For example, the tool measures how children move with balance. When it comes to children that are physical impaired we noticed teachers don't access this by marking a "Not Yet" for this child, when in fact, that child could sit with balance or reach with balance. We could do this by creating a physical development and GOLD training.

Percentage of preschool children in special education who met age level expectations in language development at the end of the year.	57.1	60	56.4*	60	60

Explanation: *The early childhood unit is working on achieving this goal by providing our early learning standard module for language and literacy more intentionally across our state. It is going to be held regionally throughout our state so more educators can get face to face technical assistance on how to implement more intentional language teaching strategies to preschool students with disabilities. In addition to that, the early childhood unit will intentionally plan a Language track of breakout sessions at all of our conferences this year.

Percentage of preschool children in special education who met age level expectations in literacy development at the end of the school year.	67.5	71	76.25	71	71

◆ **Goal** 2 To increase customer satisfaction

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Annual external customer overall satisfaction rating for Early Childhood Education.*	0	NA*	NA*	NA*	NA*

Explanation: *This measure is no longer being tracked by the agency.

Subprogram Summary

TITLE III - OELAS

Kate Wright, Deputy Associate Superintendent
Phone: (602) 542-9689
A.R.S. § 15-241, 15-751-756.01-.13, 15-910, 41-1279.03, P.L. 107-110

Mission:

To be a critical partner invested in English learner, Foster, Homeless, and Migrant student success, using expertise and the cumulative experience of the practitioners in Arizona to guide LEAs, teachers, and families in compliant and effective ways to support the high achievement of all students.

Description:

The Office of English Language Acquisition Services (OELAS) was formally established on September 21, 2006, pursuant to A.R.S 15-756.07. This subprogram is authorized under the federal Every Student Succeeds Act of 2015 (ESSA) and the federal Civil Rights Act to provide technical assistance to local educational agencies for their English Language Learner (ELL) students. In addition, pursuant to A.R.S. § 15-751 through A.R.S. § 15-756.01, each school with enrolled ELL students must provide programs that allow these students to develop their skills in the English language and to give them the opportunity to meet Arizona Academic Standards.

The assistance the subprogram provides to LEAs consists of the following: (1) Providing notification to local educational agencies of their requirements/responsibilities for compliance under federal and state statutes; (2) Providing notification to local educational agencies of their requirements/responsibilities in regards to Arizona Department of Education policy and as described under the Flores lawsuit; (3) Providing methods/technical assistance to local education agencies for identifying, assessing, reassessing, reclassifying, and reporting on ELL students; (4) Providing information, materials, resources, and strategies for Structured English Language Immersion models; and (5) Providing professional development opportunities for teachers and administrators to ensure ELL student attainment of English language proficiency and academic achievement through the use of Structured English Language Immersion (SEI) models, Title III funding, and providing technical assistance for SEI budget calculation and submission; (6) Review and approve continuous improvement plans in ALEAT to ensure required Title III components have been addressed; (7) Review and recommend for Arizona State Board approval of SEI Endorsement Coursework.

Migrant Education:
The Migrant Education Program is a federally funded, state-operated program under the Elementary and secondary Education Act (ESEA) that provides supplemental program services to the children, ages 3 through 21,
of seasonal or temporary agricultural workers. In Arizona, the program delivers services primarily through local educational agencies (LEAS) that design programs to meet the unserved needs of children residing in their area. To facilitate broader services, some provisions are delivered through statewide models which, in particular, are designed to meet the credit accrual and informational needs for students.

Homeless Education:
The Homeless Education program serves children whose cultural or economic situation challenges the educational system by ensuring homeless children and youth have access to a free, appropriate public education, comparable to that provided to the children of any Arizona resident and consistent with Arizona's mandatory school attendance laws.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	44.3	0.0	0.0
Other Non Appropriated Funds	13,052.5	13,538.7	13,538.7
Total Funding	**13,096.8**	**13,538.7**	**13,538.7**
FTE Positions	**10.7**	**6.5**	**6.5**

◆ **Goal** 1 To ensure compliance with State and Federal statutes and regulations along with other contractual obligations

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Conduct collaborative, targeted technical assistance sessions with at least 15 LEAs in the monitoring process to assist with compliance with state and federal guidelines.	36	35	47	35	30

◆ **Goal** 2 To increase academic gains of students reclassified as FEP

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
As students become more comfortable with online testing, increase the state reclassification rate to 20% in 2020 and 22% in 2021.	16***	18	**	20	22

Explanation: **We will not have this data until after A-F Accountability is finalized in mid-October.

◆ **Goal** 3 To increase customer satisfaction.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
100% of LEA Homeless Liaisons will be certificated in general knowledge of the McKinney Vento Homeless Assistance Act (reauthorized by ESSA).**	NA	NA	*	TBD	TBD

Explanation: *This survey was not completed because the previous State Homeless Coordinator left the agency prior to its implementation/completion. The survey will be completed in FY20.
**New performance measure.

Increase the percentage of LEAs meeting the requirements of the Service Delivery Plan	45	50	*	60	70

Explanation: : *Data was not collected in FY19 due to a transition year between the old and new Service Delivery Plan. Data will be collected for FY20.
**New estimates for 2018 and 2019.

Program Summary

ACCOUNTABILITY AND ASSESSMENT

Kelly Koenig, Associate Superintendent
Phone: (602) 364-2811
A.R.S. § 15-241, 15-741-15-747, 15-809, P.L. 107-110

Mission:

To promote attainment of high academic achievement for all students through implementation of valid and reliable assessments and accurate measurement of school and student performance.

To increase student academic achievement through strategies to: improve the quality and effectiveness of teachers, principals, and other school leaders in addition to providing services to educators to assist them in obtaining and maintaining their Arizona Educator Certification.

To measure, support, and seek to improve LEA and school systems in order to significantly increase and sustain quality outcomes for Arizona students.

Description:

The Accountability and Assessment program focuses on improving student achievement through development and administration of valid and reliable assessments and report academic outcomes in order to make informed decisions about students, classroom practice, schools, and districts in Arizona. Support and Innovation provides support and intervention services to schools seeking to improve student achievement and academic outcomes as required by State and Federal Accountability Systems.

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The Certification Unit at the Arizona Department of Education provides services to educators to assist them in obtaining and maintaining their Arizona Educator Certification. Educators are certified in a myriad of areas which include Early Childhood, Elementary, Secondary, CTE, STEM, Arts, Physical Education, Administration, Special Education, Adult Education and others as well as adding approved content areas and endorsements. The unit also assists out-of-state educators in obtaining Arizona Certification as well as supports Human Resource departments through staff training and facilitating on-site certification events to meet the needs of their educators.

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- Improve the effectiveness of teachers and leaders
- Achieve equitable access to effective teachers
- Support targeted professional development based on identified needs
- Assist with the implementation of the Arizona Framework for Measuring Educator Effectiveness

Support and Innovation seeks to improve LEA and school systems in order to significantly increase and sustain quality outcomes for Arizona students. The unit drives academic reform, promoting systemic change through on-site visits and desktop supports to LEAs and schools as well as a variety of professional learning opportunities. Support and Innovation actualizes systemic change in LEAs and schools by supporting the creation and sustaining of a culture of learning; planning and implementing of evidence-based Integrated Action Plans based on a comprehensive needs assessment and root cause analysis; growth of bold, turnaround leaders who significantly influence student learning, as well as, other aspects of school conditions; an instructional focus with processes and supports for teacher

collaboration to constantly improve and refine standards-based, evidence based instructional and assessment practices; and data driven decision making with consistent processes for using data in all decisions as well as to measure both program implementation and student outcomes.

This Program Contains the following Subprograms:

- Assessment
- Adult Education

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	14,024.4	14,024.6	15,225.5
Other Appropriated Funds	5,105.6	7,000.0	7,000.0
Other Non Appropriated Funds	24,218.7	23,905.8	23,905.8
Total Funding	**43,348.7**	**44,930.4**	**46,131.3**
FTE Positions	**53.3**	**56.6**	**56.6**

Subprogram Summary

ASSESSMENT

Audra Ahumada, Deputy Associate Superintendent
Phone: (602) 542-5450
A.R.S. § 15-741 - 15-742, P. L. 107-110

Mission:

To develop and administer valid and reliable student assessments aligned to adopted State standards.

Description:

The Assessment Section develops, administers, and provides score reports for statewide assessments that meet both state and federal statutory requirements for student assessment. The assessments are developed in collaboration with Arizona educators, following nationally accepted scientific-based methods to produce valid and reliable assessments. The Assessment Section also creates support materials to help educators, parents, and students understand and prepare for these statewide assessments. The Assessment Section is responsible for:
•AzMERIT and AIMS Science which are statewide academic assessments that measure student proficiency of the Arizona content standards.
•MSAA and AIMS A Science which are statewide academic assessments for students with significant cognitive disabilities.
•AZELLA which measures English language proficiency of students identified as second language learners and determines placement for appropriate instruction.
•Menu of Assessments which are selected by LEAs and are administered to students in Grade 11 (Cohort 2021).

In addition, the Assessment Section supports the administration of National Assessment of Educational Progress (NAEP) and the international assessments PIRLS, PISA, and TIMSS. These assessments are given to small samples of Arizona students.

The Assessment Section collaborates closely with numerous other sections within ADE: Accountability, K-12 Standards, Office of English Language Acquisition Services (OELAS), Exceptional Student Services (ESS), and Informational Technology (IT).

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,522.4	9,522.5	9,522.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	11,596.0	8,641.5	8,641.5
Total Funding	**21,118.4**	**18,164.0**	**18,164.0**
FTE Positions	**22.6**	**21.5**	**21.5**

◆ **Goal** 1 To develop relevant and accurate instruments to assess all Arizona students

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Accountability customer satisfaction survey results.	3.97	4.0	4.56	4.30	4.35

Explanation:

*New objective and measure-data not available for FY2016
**FY19 estimate will be updated based on FY18 results.

Number of engagement opportunities for external stakeholder(s) to collaborate and provide feedback on Accountability policy and implementation.	21	25	37	25	30
AzMERIT and AIMS Science administered and accurate results reported as scheduled.	Yes	Yes	Yes	Yes	Yes
AZELLA administered and accurate results reported as scheduled.	Yes	Yes	Yes	Yes	Yes
MSAA and AIMS A Science administered and accurate results reported as scheduled.	Yes	Yes	Yes	Yes	Yes

Subprogram Summary

ADULT EDUCATION

Sheryl Hart, Deputy Associate Superintendent
Phone: (602) 364-2707
A.R.S. § 15-234, 15-702, P.L. 105-220

Mission:

To serve Arizona's education community by ensuring adult learners have access to education that prepares them for success in college, career, and life.

Description:

The Adult Education subprogram provides adult learners who are at least 16 years of age, legally present in the United States, and not currently enrolled in the public K-12 school system, access to quality educational opportunities that will support them in their employment, job training, and higher education aspirations. This subprogram also assists adult learners in acquiring the knowledge and skills necessary for effective participation in society.

Adult Education, one of four core programs authorized under the Workforce Innovation & Opportunity Act (WIOA), coordinates with Workforce Development, Employment Services, and Vocational Rehabilitation Services
to provide learner-centered instruction below post-secondary levels to adult learners in one or more of the following areas: 1) English Language Acquisition, 2) Adult Basic Education, 3) Adult Secondary Education,
including preparation for testing to obtain a High School Equivalency diploma, 4) Civics engagement,
5) Workforce preparation skills, and 6) Digital literacy skills.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,502.0	4,502.1	5,703.0
Other Appropriated Funds	5,105.6	7,000.0	7,000.0
Other Non Appropriated Funds	12,622.7	15,264.3	15,264.3
Total Funding	**22,230.3**	**26,766.4**	**27,967.3**
FTE Positions	**30.7**	**35.1**	**35.1**

◆ **Goal** 1 To increase academic achievement of learners age 16 and over

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of learners age 16 and over increasing academic skills by two or more grade levels as measured by standardized assessments.	54	58	49	59	59*

Explanation: ** FY2018 outcome data for this objective will be finalized and submitted to U.S.DOE/OCTAE on October 1, 2018 and will be available at that time.
***Data will not be available until October 1.
* Target is determined through negotiation process with USDOE/OCTAE; the negotiation process is projected to occur in Spring 2020.

Percent of learners age 16 and over achieving their goal of earning a High School Equivalency diploma.	9.43	6.89	7.97	8.97	9.47

◆ **Goal** 2 To improve customer satisfaction

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Annual external customer overall satisfaction rating for Adult Education.*	Not Tracke	Not Tracke	Not Tracke	Not Tracke	Not Tracke

Explanation: *Adult Education Services did not track this measure in 2018 and is not planning to track it going forward.

Percent of GED transcript requests fulfilled in one business day.	97	97	98	97	97

Agency Summary

DEPARTMENT OF EMERGENCY AND MILITARY AFFAIRS

Major General Michael T. McGuire, The Adjutant General
Phone: (602) 267-2710
Arizona Constitution Article XVI; A.R.S. Title 26

Mission:

To provide military and emergency management capabilities to the citizens of Arizona and the nation.

Description:

The Arizona Department of Emergency and Military Affairs (DEMA) is commanded by the Adjutant General of Arizona and consists of the Army National Guard, Air National Guard, Joint Task Force-AZ, Division of Emergency Management, and Division of Administrative Services. Collectively these components provide military and emergency management capabilities and services to the citizens of Arizona in three distinct levels: community, state, and federal.

These components utilize State and federal resources to perform homeland defense and emergency management activities to protect the citizens of Arizona, provide trained military units in support of civil authorities for domestic emergencies, and support federal combatant commanders for national defense and homeland security missions.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	3,743.9	5,156.4	5,156.4
➢ EMERGENCY MANAGEMENT	15,644.3	20,307.6	18,655.2
➢ MILITARY AFFAIRS	59,821.3	66,761.9	60,273.5
Agency Total:	**79,209.5**	**92,225.9**	**84,085.1**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	11,053.4	12,201.6	12,915.7
Other Appropriated Funds	1,452.4	1,458.7	1,506.1
Other Non Appropriated Funds	66,703.7	78,565.6	69,663.3
Total Funding	**79,209.5**	**92,225.9**	**84,085.1**
FTE Positions	**452.3**	**452.3**	**452.3**

Department of Emergency & Military Affairs

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Maj Gen Michael T. McGuire
Strategic Planner: Travis Schulte
Last modified: 07/15/2019

Vision: The nation's premier agency capable of responding to local, state and federal missions.

Mission: Provide military and emergency management capabilities to the citizens of Arizona and the nation.

Agency Description: The Arizona Department of Emergency and Military Affairs (DEMA) is administered and controlled by the Governor and headed by the Adjutant General of Arizona as Military Chief of Staff and agency Director.

The Department consists of the Army National Guard, Air National Guard, Joint Task Force-AZ, Division of Emergency Management, and Division of Administrative Services. Collectively these components provide military and emergency management capabilities and services to the citizens of Arizona in three distinct levels: community, state, and federal.

These components utilize state and federal resources to perform homeland defense and emergency management activities to protect the citizens of Arizona, provide trained military units in support of civil authorities for domestic emergencies, and support federal combatant commanders for national defense and homeland security missions.

Executive Summary: DEMA is the only state agency directly controlled by the Governor per state constitution and statute. DEMA supports the Governor's priority of Protecting our Communities by ensuring our Commander-in-Chief has state military forces and emergency management capabilities ready and able to respond at a moment's notice. DEMA continues to be the proven choice for the warfight, the first choice for homeland response, and the enduring choice for fostering strong partnerships both at home and abroad.

To maintain these capabilities, DEMA's strategic plan focuses on manning and developing our Army and Air National Guard, sustaining our readiness-generating infrastructure, improving the state's ability to jointly respond to disaster, and further integrating National Guard capabilities into state government to support the Governor and our public safety partners. Our efforts and desire for growth encompass a commitment to more effectively serve domestic and international missions, as well as increase opportunities for Arizonans to serve their state/country closer to home as a way to strengthen a collective commitment to public service and good citizenship.

The challenges we face in achieving our goals include the struggle to recruit and retain Citizen Soldiers and Airmen in a robust economy with competition for the same talent coming from other entities (federal Armed Forces, other states' National Guards, and the public and private sectors) which often provide better incentives/benefits than we are currently able to offer. To more effectively man/develop the force, we will need to make progress in additional state investment in infrastructure and human capital.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Advance state all-hazard response to planned and unplanned events	2018	Improvement in developing common operating picture and reduction in infrastructure operation/maintenance costs through partnership and consolidation of (total #) disparate 'emergency operations' facilities peppered throughout the enterprise.
2	Build a ready and able force of AZNG Soldiers and Airmen for state active duty and federal contingency operations	2018	Air NG: 93% of authorized end-strength (May 2019) Army NG: 98% of authorized end-strength (May 2019)
3	Support Public Safety through further integration of National Guard Resources into state government	2018	Air NG: RPA Incident Awareness & Assessment assets, authorities, and capabilities are individually functioning and prepared for integration. JTF-AZ: Established Joint Cyber Task Force – AZ, supported ADOA for cyber testing
4	Secure additional mission sets relevant to state and national needs	2019	161ARW: Potential base expansion opportunity via Sky Harbor CAMP recommendations 162WG: Environmental Assessment in progress Army NG postured to receive additional force structure

Department of Emergency & Military Affairs

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Document annual facility costs and delineate duplicative technology	• Complete 100% analysis on partner agencies	• Develop a technical team (1 person from each agency) that will support analysis. Present information updates to the Public Safety Goal Council. • Crosswalk opportunities to increase communication during planned and unplanned events.
2	**Army National Guard (NG)**: Meet 100% of authorized end-strength goal Negative end-strength reduction Increase retention of reenlist eligible Complete DoD objectives for Readiness Center construction	• Increased end-strength • Complete 100% final site survey requirements and A&E design for Southeastern AZ Regional Readiness Center construction • Complete 100% of DoD initial requirements to enable site survey for West Valley Readiness Center construction	• Hire/Train Recruiting & Retention AGR Personnel. • Implement Phase 2 Guard Your Future (GYF) program. • Implement state tuition reimbursement program. • Plan/implement standardized exit interview/survey process. • Ongoing focus on recruit/retention and facilities.
	Air National Guard (NG): Meet 100% of authorized end-strength goal Decrease Air NG new recruit initial time in training status	• Increased end-strength • Decrease new recruit status time from initial recruitment through basic mission qualification by 20%	• Implement state tuition reimbursement program. • Target recruiting career fields with lowest manning. • Over-man career fields with long training timelines. • Reduce waiting periods prior to beginning schools • Improve skill level training efficiency within AZ units.
3	**Air NG**: Validate and practice RPA Incident Awareness & Assessment capabilities to support state needs	• Successful integration of all aspects of Remotely Piloted Aircraft (RPA) support operations with state agencies and end users	• Conduct exercises to validate and practice fully integrated capabilities and inter-agency operations.
	Joint Cyber Task Force-AZ (JCTF-AZ): Increase use of cyber assets by state agencies	• Increased readiness and capacity (i.e., reservist personnel) to respond to a state cyber event	• Educate state agencies on JCTF-AZ capabilities and how it can assist with protecting cyber infrastructure. • Increase support to requesting state agencies.
	Joint Task Force-AZ (JTF-AZ): Increase support of domestic operations by improving National Guard response time in an inter-agency environment through more efficient processes	• Percent fill of NG members supporting the enduring Southwest Border mission	• Continue to communicate the needs of state agency partners w/ the Southwest Border mission to increase the % fill of required positions.
		• Execute inter-agency training exercises to practice state emergency operations	• Increase awareness of all Mission Ready Packages available to all state agencies.
4	**Air NG**: Secure steps and commitments for future missions at 162WG Local/national engagement to promote and capitalize on 161ARW expansion opportunities **Army NG**: Secure additional force structure	162nd Wing: • Complete Environmental Assessment	• Prioritize options & demonstrate opportunities to potential tenants in order to secure commitment to relocate to the 162WG.
		161st Air Refueling Wing: • Recruit to 105% manning in key career fields • Achieve maintenance mission capable rates of 80%	• Operations & Maintenance Group retention rates of 90%. • Maintenance Group recruitment of 20 airmen over current levels. • Add 12 pilots during upcoming Undergraduate Pilot Training. • Demonstrate mission capability through operational & aircraft mission capable rates. • 161ARW to host 2 Red Flag exercises & 3 Neptune exercises.

Program Summary

ADMINISTRATION

Brigadier General Troy T. Daniels, Deputy Adjutant General
Phone: (602) 267-2721
A.R.S. § 26-102(C)

Mission:

To provide leadership and support resources to all elements of the Department.

Description:

The Division of Administrative Services is a diverse entity within the Department of Emergency and Military Affairs (DEMA) that bears the unique responsibility of overseeing and supporting administrative activities throughout DEMA. Made up of a diverse mix of Soldiers, Airmen, state and federal employees, the Division of Administrative Services umbrella covers a multitude of organizations that contribute to the overall success of the DEMA mission.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,778.1	1,887.6	1,887.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,965.8	3,268.8	3,268.8
Total Funding	**3,743.9**	**5,156.4**	**5,156.4**
FTE Positions	**34.6**	**34.6**	**34.6**

◆ **Goal** 1 To fund state-only projects that support National Guard Readiness.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complete wood-chipping pilot project to determine viability for future activity	0	0	0	1	0

Program Summary

EMERGENCY MANAGEMENT

Wendy Smith-Reeve, Director
Phone: (602) 464-6379
A.R.S. § 26-301 et seq.

Mission:

To coordinate emergency services and the efforts of governmental agencies to reduce the impact of disasters on persons and property in Arizona.

Description:

The Division of Emergency Management directs and coordinates a statewide Comprehensive Emergency Management program to minimize personal and property losses from natural and human-caused disasters. This is accomplished through numerous preparedness, response, recovery, and mitigation activities and programs. The Division has been organized along functional and statutory lines into three sections: Preparedness, Operations and Coordination, and Grant Administration.

This Program Contains the following Subprograms:

- Mitigation and Preparedness
- Response and Recovery

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	6,234.7	6,274.2	6,274.2
Other Appropriated Funds	1,452.4	1,458.7	1,506.1
Other Non Appropriated Funds	7,957.2	12,574.7	10,874.9
Total Funding	**15,644.3**	**20,307.6**	**18,655.2**
FTE Positions	**45.4**	**45.4**	**45.4**

Subprogram Summary

MITIGATION AND PREPAREDNESS

Matt Heckard, Assistant Director
Phone: (602) 464-6308
A.R.S. § 26-305

Mission:

To reduce or eliminate the loss of life and loss of property due to disaster and to prepare state agencies and local emergency management organizations to respond to, recover from, and mitigate disasters through planning, training, and exercise activities.

Description:

The Preparedness element is managed by the Preparedness Section and serves three main functions; technical assistance for the development of state and local emergency operations plans; training for emergency managers, elected officials, and first responders; and exercising the capabilities of state and local government. These activities will increase the overall capability to respond to, recover from, and mitigate disasters and thereby reduce the impact of disasters.

The Mitigation element integrates several funding programs managed by the Grant Administration Section that reduce repetitive losses caused by disaster by managing structural and non-structural projects that eliminate losses. The mitigation group provides technical assistance to political subdivisions to develop mitigation plans, analyze vulnerabilities, and to assess risks to support land use decisions.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,234.7	2,274.2	2,274.2
Other Appropriated Funds	1,459.9	1,458.7	1,506.1
Other Non Appropriated Funds	7,567.6	12,392.9	10,874.9
Total Funding	**11,262.2**	**16,125.8**	**14,655.2**
FTE Positions	**45.4**	**45.4**	**45.4**

◆ **Goal** 1 To reduce loss of life and loss of property from all hazards.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Emergency Management Performance Grant (EMPG) Application Approval (days)	37	30	38	30	30
Continuity of operations plans by cabinet-level agencies	32	36	5	8	8
Complete EMAP reaccreditation requirements by FY20	0	68	45	17	0

Subprogram Summary

RESPONSE AND RECOVERY

Wes Dison, Assistant Director
Phone: (602) 464-6316
A.R.S. § 26-306

Mission:

To coordinate the actions of federal, state and local jurisdictions to respond to and recover from disasters.

Description:

The Operations and Coordination Section, divided into Response, Recovery, and Field Operations, is responsible for the timely analysis of natural and man-made hazards, recovery operations and regional coordinator support during emergency events. Operations and Coordination Section provides real-time awareness and monitoring of incidents and response activities within the State of Arizona and FEMA Region IX, coordinates activities related to recovery operations and provides regional liaisons to our County partners.

The Grant Administration Section oversees the administration of several state and federal grants the Division receives to enhance emergency management capabilities throughout the state. The grants cover a wide range of activities, including training, exercises, planning, mitigation projects, infrastructure repairs, and emergency response and recovery efforts. As part of the administration of these grants, we offer information, technical assistance, and guidance on the grant processes, as well as develop policy for State-specific application, reporting, and reimbursement policies.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,000.0	4,000.0	4,000.0
Other Appropriated Funds	-7.5	0.0	0.0
Other Non Appropriated Funds	389.6	181.8	0.0
Total Funding	**4,382.1**	**4,181.8**	**4,000.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To reduce human suffering during disasters and enhance community recovery after disaster strikes.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
State Disaster Recovery Time	12.68	12	12.29	12	12
Develop Common Operating Picture (COP) and Situational Awareness (SA) capabilities with consistent contributions from all of the SERRP primary response agencies	0	8	4	8	8
Conduct 4 meetings w/ partner agencies to refine development and financing of Multi-Agency Operations Center proposal	0	4	1	3	0
Document annual emergency operation center facility costs throughout the state and delineate duplicative technology, by percent complete	0	0	0	100	100

Program Summary

MILITARY AFFAIRS

Brigadier General John Hoefert, Commander, Joint Task Force
Phone: (602) 267-2836
Arizona Constitution Article XVI; A.R.S. §§ 26-102©(8), 26-104

Mission:

To provide the support functions for the Army and Air National Guard to develop, train and sustain a military force capable of supporting national, state, and community interests for the protection of life and property, preservation of peace, maintenance of order and public safety.

Description:

The Division of Military Affairs is divided into three force components: the Army National Guard, Air National Guard, and standing Joint Task Force-Arizona. The Arizona Army and Air National Guard provide trained and ready forces for the execution of domestic and overseas contingency operations. The Joint Task Force-Arizona is overseen by a Dual Status (State Active Duty/U.S.C. Title 32 and U.S.C. Title 10) Commander and is responsible for the execution of domestic operations.

This Program Contains the following Subprograms:

- Army National Guard
- Air National Guard

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,040.6	4,039.8	4,753.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	56,780.7	62,722.1	55,519.6
Total Funding	**59,821.3**	**66,761.9**	**60,273.5**
FTE Positions	**372.3**	**372.3**	**372.3**

Subprogram Summary

ARMY NATIONAL GUARD

Brigadier General Joseph R. Baldwin, Land Component Commander
Phone: (602) 267-2961
Arizona Constitution Article XVI; A.R.S. §§ 26-104, 26-102©(8)

Mission:

To develop, train, and sustain a military land force capable of supporting national, state and community interests for the protection of life and property, preservation of peace, maintenance of order, and public safety.

Description:

The Arizona Army National Guard serves a dual mission provided for by the United States Constitution and Arizona Constitution as the organized militia for Arizona. The Governor is the Commander-in-Chief until mobilized by the President of the United States. During emergency operations, the Army National Guard provides logistical and personnel support to other government agencies in response to natural or man-made disasters. When federalized by the President of the United States, the Army National Guard provides trained and ready units in support of any active Army contingency operation.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,003.0	4,022.4	4,477.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	49,897.2	53,683.4	48,584.2
Total Funding	**52,900.2**	**57,705.8**	**53,061.6**
FTE Positions	**302.1**	**302.1**	**302.1**

◆ **Goal** 1 To recruit and retain highly qualified personnel.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Meet 100% authorized end-strength	96.7	100	99.07	102	102

◆ **Goal** 2 To provide Readiness Centers able to support state missions and Soldier training and readiness requirements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
AZNG Readiness Centers able to support Soldier Readiness	19	20	21	21	21
AZNG Readiness Centers that meet space requirements	6	6	4	6	6
Complete 100% final site survey requirements and A&E design	0	0	0	100	0
Award bid and begin construction	0	0	0	0	100
Complete 100% of DoD initial requirements to enable site survey	0	0	0	100	0
Complete 100% final site survey requirements and A&E design	0	0	0	0	100

◆ **Goal** 3 To increase support of domestic operations by improving National Guard response time in an inter-agency environment through more efficient processes

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of state websites penetration tested for cyber vulnerabilities	0	0	1313	0	0
Increase reservist personnel available to respond to a state cyber event	0	0	0	10	10
Percent fill of NG members supporting the enduring Southwest Border mission	0	0	73.3	100	100
Participate in all available inter-agency training exercises to practice state emergency operations	0	0	0	100	100

◆ **Goal** 4 To complete Joint Land Use Studies (JLUS) with Coconino and Pinal Counties for existing Army National Guard installations and training areas.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Completed JLUS studies	0	2	1	1	0

◆ **Goal** 5 To develop and execute courses of action to reduce current Army training site shortfall.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Development of COAs, by percentage	0	100	50	50	0

Subprogram Summary

AIR NATIONAL GUARD

Major General Howard P. Purcell, Air Component Commander
Phone: (602) 267-2660
Arizona Constitution Article XVI; A.R.S. §§ 26-102©(8), 26-104

Mission:

To provide our nation's total force with highly trained expeditionary Airmen supporting national security objectives through combat readiness and training.

Description:

The Arizona Air National Guard serves a dual mission provided for by the United States Constitution and Arizona Constitution as the organized militia for Arizona. The Governor is the Commander-in-Chief until mobilized by the President of the United States. The Arizona Air National Guard consists of the 161st Air Refueling Wing (ARW) and the 162nd Wing (WG). The Governor is the Commander-in-Chief until mobilized by the President of the United States. The 161st ARW is the only aerial refueling tanker task force in the southwestern United States and provides daily support for all components of the U.S. Armed Forces. The 162nd WG trains fighter pilots for the Air National Guard and international student pilots, maintains 24/7 aerospace alert in the defense of U.S. air sovereignty, and provides persistent, armed MQ-1 Predator Intelligence, Surveillance, and Reconnaissance (ISR) and Incident Awareness and Assessments (IAA) capabilities to sustain national and state interests.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	37.6	17.4	276.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	6,883.5	9,038.7	6,935.4
Total Funding	**6,921.1**	**9,056.1**	**7,211.9**
FTE Positions	**70.2**	**70.2**	**70.2**

◆ **Goal** 1 To recruit and retain highly qualified personnel.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Meet 100% authorized end-strength	92.9	100	93.5	102	102
Decrease Air NG new recruit initial time in training status by 20%	0	0	0	20	20

◆ **Goal** 2 To sustain and increase AZ Air National Guard Force Structure.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Recruit to 105% manning in key career fields	0	0	102	105	105
Achieve maintenance mission capable rates of 80%	0	0	0	80	80
Complete Environmental Assessment	0	0	0	100	0

◆ **Goal** 3 To increase support of domestic operations by improving National Guard response time in an inter-agency environment through more efficient processes.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Successful integration of all aspects of Remotely Piloted Aircraft (RPA) support operations with state agencies and end users, by percent	0	0	0	50	100

Agency Summary

DEPARTMENT OF ENVIRONMENTAL QUALITY

Misael Cabrera, Director
Phone: (602) 771-2203
A.R.S. §§ 49-101 et seq.

Mission:

To protect and enhance Arizona's public health and the environment.

Description:

Under the Environmental Quality Act of 1986, the Arizona Legislature established the Department of Environmental Quality (ADEQ) as the State's cabinet-level environmental regulatory agency to administer all Arizona environmental programs.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ SUPPORT	27,820.1	31,000.5	39,901.6
➢ AIR QUALITY	37,058.0	42,485.0	45,385.0
➢ WASTE PROGRAMS	60,535.9	64,823.9	67,271.9
➢ WATER QUALITY	18,525.9	25,484.2	26,070.3
Agency Total:	**143,939.9**	**163,793.6**	**178,628.8**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	200.0	18,155.4
Other Appropriated Funds	73,944.3	84,881.6	81,138.3
Other Non Appropriated Funds	69,995.6	78,712.0	79,335.1
Total Funding	**143,939.9**	**163,793.6**	**178,628.8**
FTE Positions	**552.0**	**552.0**	**552.0**

Department of Environmental Quality

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Misael Cabrera
Strategic Planner: Michael Keyack
Last modified: 07/15/2019

Vision: To be the number one state in the nation in: Balanced, leading-edge environmental protection through technical and operational excellence and radical simplicity for customers and staff.

Mission: To protect and enhance public health and the environment of Arizona.

Agency Description: The Arizona Legislature established the Arizona Department of Environmental Quality (ADEQ) as the state's environmental regulatory agency under the Environmental Quality Act of 1986 to serve as a separate, cabinet-level agency to administer all of Arizona's environmental protection programs. Since then, ADEQ's enduring and vital mission is to protect and enhance public health and the environment of Arizona.

Executive Summary: ADEQ has identified six strategic issues for focus during this fiscal year to deliver tangible outcomes that benefit public health and the environment.

- 85 sites with Known, Ongoing, Unauthorized Impacts to the environment or public health are in backlog. Our strategy is to continue to attack this inventory with a Backlog Blitz to Accelerate Cleanups.
- Increasing ozone and PM10 concentrations threaten future economic development for the state. Our strategy is to engage Arizonans in air quality improvement initiatives reducing ozone precursors to enhance Arizona's unique environment.
- Although many successes have been achieved, too many drinking water systems and surface waters are not meeting federal standards. Our strategy is to continue prioritized initiatives to enhance Arizona's unique environment.
- In order to increase State control of Federal environmental programs, ADEQ will work collaboratively with the EPA via Cooperative Federalism 2.0 to support environmentally responsible growth.
- More than 28% of ADEQ staff will be full pension eligible over the next three years. To enable ADEQ to continue to deliver results to our customers and stakeholders, ADEQ will engage our leaders in 21st Century Workforce Planning to recruit, train and retain top environmental talent.
- Environmental issues along the Mexico-United States border create challenges in shared resources of air and water. ADEQ will continue to work with our neighbors in Mexico to implement the Binational Strategic Plan.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start FY	Progress / Successes
1	Accelerate Cleanups	2018	• Reduced the net number of Known, Ongoing, Unauthorized Releases from 107 to 85, total mitigated 128. • Reduced the net number of open Leaking Underground Storage Tank sites from 328 to 292, total mitigated 213.
2	Enhance Arizona's Unique Environment	2017	• Assisted over 1,500 motorists through the voluntary vehicle repair program – eliminating an estimated 20,400 lbs of ozone precursors. • Reduced the net number drinking water systems not meeting federal standards from 38 to 30. • Reorganized Surface Water team to target prioritized watersheds to reduce the number of impaired surface waters.
3	Support Environmentally Responsible Economic Growth	2018	• Completed stakeholder input process for Clean Water Act 404 program assumption. • Completed stakeholder input process for Underground Injection Control Program primacy. • Completed draft rules to exempt facilities subject to Coal Combustion Residual rule from Aquifer Protection Permit.
4	Recruit, Train and Retain Top Talent	2017	• Reduced Agency Single Points of Failure from 41 to 10.
5	Implement Binational Strategic Plan	2017	• Secured $8.4 million in match funding from private, federal and State sources for the International Outfall Interceptor repair project. • Expanded border air quality monitoring network in San Luis and Nogales to understand international ozone transport. • Worked with NADBank, IBWC, and federal, state and local Mexican agencies to stop transborder wastewater discharges in Naco, Arizona.

Department of Environmental Quality

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strat. #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Accelerate Cleanups	• No. of Net Known, Ongoing, Unauthorized Impacts	• Burn down Known, Ongoing, Unauthorized Impacts to the Environment - Reduce net number of KOUI from 85 to 64 in FY20.
		• No. of Net Open Leaking Underground Storage Tanks	• Reduce the number of open leaking UST sites from 292 to 241 in FY20.
2	Enhance Arizona's Unique Environment	• Population Breathing Air Meeting Federal Health Standards (%) • No. of days exceeding Federal Limits for Ozone & PM10	• Implement ozone & PM10 reduction programs, Phase 3 in FY20. • Develop framework recommendations for Governor's office regarding ozone reduction through work with TNC and Air Quality Coalition (includes industrial, state, county, municipal and NGOs).
		• Population served Healthy Drinking Water (%) • No. of Net Drinking Water Systems Serving Water Not Meeting Federal Limits	• Burn down Known, Ongoing, Unauthorized Impacts to the Environment - Reduce net number of Drinking Water Systems serving drinking water not meeting federal standards from 30 to 20 in FY20.
		• No. of Net Impaired Surface Waters • No. of Net Individual Pollutant Impairments in Surface Water Bodies	• Reduce the number of impaired waters from 150 to 144 in FY20. • Reduce the number of individual pollutant impairments from 254 to 238 in FY20.
3	Support Environmentally Responsible Economic Growth	• Underground Injection Control application completion (%) • 404 program application completion (%)	• Continue Underground Injection Control program assumption. Submit application to EPA by June 1, 2020. • Continue Clean Water Act 404 program assumption. Submit application to EPA by June 1, 2020.
4	Recruit, Train and Retain Top Environmental Talent	• No. of Net Single Points of Failure	• Reduce Single Points of Failure from 10 to 2 in FY20. • Create and deploy Abilities, Skills and Knowledge database in FY20. • Complete AMS Management Skill Intensive Coaching in FY20.
5	Implement Binational Strategic Plan	• Percent complete on Arizona Mexico Commission Action Items (Projects)	• Continue Arizona/ Sonora Strategic Plan. • Complete interim repairs to prevent cross-border SSOs in Naco. • Begin International Outfall Interceptor (IOI) repair project. • Continue to expand border air monitoring network.

5 Year Plan

Issue 1 Sites with Known, Ongoing, Unauthorized Impacts to the environment or human health are in backlog

Description Sites with Known, Ongoing, Unauthorized Impacts to the environment or human health are in backlog

Solutions:
Backlog Blitz

Issue 2 Increasing ozone concentrations threaten future economic development

Description Increasing ozone concentrations threaten future economic development

Solutions:
Engage Arizonans in Air Quality Improvement

Issue 3 Past EPA overreach and current threats to State funding

Description Past EPA overreach and current threats to State funding

Solutions:
Cooperative Federalism 2.0

Issue 4 We share air and water with our neighbors in Mexico

Description We share air and water with our neighbors in Mexico

Solutions:
Implement Binational Environmental Strategic Plan

Issue 5 More than 26% of ADEQ staff will be full pension eligible over the next three years.

Description More than 26% of ADEQ staff will be full pension eligible over the next three years.

Solutions:
21st Century Workforce Planning to recruit, train and retain top environmental talent

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	552.0	552.0	552.0
General Fund	18,155.4	18,155.4	18,155.4
Other Appropriated Funds	83,307.6	83,307.6	83,307.6
Non-Appropriated Funds	61,822.9	61,822.9	61,822.9
Federal Funds	17,512.2	17,512.2	17,512.2

◆ **Goal** 1 To transition into and align with the Arizona Management System

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
No. of Agency FTE Count	428	467	465	467	467

Explanation: Number of active employees in HRIS (excluding board and commission members, interns, volunteers, and “pool” positions)

AMS Implementation Score	3.53	3.56	3.75	3.85	4

Explanation: Metric Actual is reported as a number (#) from the AMS Assessment 'Agency Implementation Score' and based on the average maturity of each component across the organization.

AMS Deployment (%)	93	95	95	95	100

Explanation: Metric Actual is reported as a percentage (%) from the AMS Assessment - Summary Report tab 'Overall Scope of Deployment' and based on the ratio of active vs planned components implemented across the organization.

Program Summary

SUPPORT

Misael Cabrera, Director
Phone: (602) 771-2203
A.R.S. §§ 49-101 to 49-1106

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

This program establishes overall agency policies and direction and manages administrative and business activities of the agency.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	18,046.3	20,626.8	27,910.9
Other Non Appropriated Funds	9,773.8	10,373.7	11,990.7
Total Funding	**27,820.1**	**31,000.5**	**39,901.6**
FTE Positions	**181.0**	**171.9**	**171.9**

◆ **Goal** 1 To fully support and champion delivery of ADEQ's mission

◆ **Goal** 2 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
No. of VESP Participation	72	N/A	135	170	220

Explanation: An organization is considered a participant once ADEQ determines the organization meets entry requirements.

◆ **Goal** 3 To Recruit, Train, and Retain Top Environmental Talent

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
No. of Single Points of Failure	21	10	9	2	0

Explanation: Number of individuals with unique skills and/or knowledge required to achieve mission outcome without a capable replacement in the agency.

Program Summary

AIR QUALITY

Daniel Czecholinski, Air Quality Division Director, Acting
Phone: (602) 771-4684
A.R.S. Title 49, Chapter 3

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The Air Quality Division is responsible for supporting ADEQ's mission by identifying and ensuring appropriate control of various sources of air pollution and assuring compliance with federal and state environmental laws. Major activities relied upon for protecting air quality include planning and program development, monitoring and research, issuance of permits, compliance and enforcement, legal support and vehicle emissions inspections; and support oil and gas conservation of the comission.

This Program Contains the following Subprograms:

- Monitoring & Assessment
- Facility Emissions Control
- Air Improvement Planning
- Oil & Gas
- Vehicle Emissions Control

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	200.0	0.0
Other Appropriated Funds	31,377.1	35,273.9	39,367.8
Other Non Appropriated Funds	5,680.9	7,011.1	6,017.2
Total Funding	**37,058.0**	**42,485.0**	**45,385.0**
FTE Positions	**91.6**	**99.9**	**96.9**

Subprogram Summary

MONITORING & ASSESSMENT

Daniel Czecholinski, Air Quality Division Director, Acting
Phone: (602) 771-2300
A.R.S. §§ 49-401 to 49-593

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

This subprogram supports ADEQ’s mission by monitoring and assessing existing concentrations of air pollution throughout the state; validating data collected from ADEQ air quality monitors to assure data are of high quality, conducting daily forecasts of future concentrations of air pollution in the Phoenix metropolitan area, Yuma, and Nogales; issuing permits for prescribed burning to various state and federal land managers while preventing unacceptable degradation of existing air quality; and identifying possible sources of air pollution and documenting meteorological causes of monitor exceedances that may qualify for exclusion as exceptional events. This subprogram also plans, controls, and monitors expenditures of personnel and budgetary resources; provides for personnel training and evaluations; develops policies and procedures; provides input on legislative issues; develops, implements, and monitors workplans; and measures and evaluates program effectiveness.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,452.9	2,474.5	2,474.5
Other Non Appropriated Funds	1,763.6	1,900.2	1,900.2
Total Funding	**4,216.5**	**4,374.7**	**4,374.7**
FTE Positions	**30.0**	**27.5**	**27.5**

◆ **Goal** 1 To enhance Arizona's unique environment

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Population breathing Good Air (%)	96.4	99	97.4	99	99

Explanation: The number (percentage) of Arizona citzens that were not exposed to air of moderate or worse quality - an Air Quality Index (AQI) above 50 (https://airnow.gov/index.cfm?action=aqibasics.aqi).

No. of Days Exceeding Federal Air Quality Standards for Ozone in Maricopa County	43	3	31	3	3

Explanation: Counting any day in Maricopa county where a monitor measured an ozone 8-hr average concentration of 71 ppb or higher.

No. of Days Exceeding Federal Air Quality Standards for PM10 in Maricopa County	11	3	11	3	3

Explanation: Counting any day in Maricopa county where a monitor measured a PM10 24-hr average concentration of 155 or higher.

No. of Days Exceeding Federal Air Quality Standards for Ozone in Pima County	3	3	4	3	3

Explanation: Counting any day in Pima county where a monitor measured an ozone 8-hr average concentration of 71 ppb or higher.

Subprogram Summary

FACILITY EMISSIONS CONTROL

Daniel Czecholinski, Air Quality Division Director, Acting
Phone: (602) 771-2300
A.R.S. §§ 49-401 to 49-593

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

This subprogram supports ADEQ's mission by implementing an air quality permitting, compliance inspection and enforcement programs to address industrial sources of air pollution. The subprogram ensures that facilities get timely environmentally-protective permits so that they can legally commence construction and operation. Additionally, the subprogram ensures that facilities are monitored and held to the terms of applicable state and federal air quality rules.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	200.0	0.0
Other Appropriated Funds	3,381.4	4,260.9	4,260.9
Other Non Appropriated Funds	284.2	508.2	508.2
Total Funding	**3,665.6**	**4,969.1**	**4,769.1**
FTE Positions	**31.3**	**27.0**	**25.0**

◆ **Goal** 1 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Return to Compliance Time (Days)	13.4	37.5	28.1	35	32.5
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Compliance Rate (%)	90	91	89.0	92	93
Explanation: Percent of compliance at the time of inspection.					
Permit Lead Time (Days)	56	94	29.0	91	88
Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.					

Subprogram Summary

AIR IMPROVEMENT PLANNING

Daniel Czecholinski, Air Quality Division Director, Acting
Phone: (602) 771-2300
A.R.S. §§ 49-401 to 49-593

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

This subprogram supports ADEQ's mission by identifying sources of air pollution and developing plans and rules to remedy poor air quality and prevent unacceptable degradations of good air quality. This subprogram also plans, controls, and monitors expenditures of personnel and budgetary resources; provides for personnel training and evaluations; develops policies and procedures; provides input on legislative issues; develops, implements and monitors work plans; measures and evaluates program effectiveness; and oversees delegation agreements with local jurisdiction. Arizona's State Implementation Plan (SIP) is the cumulative record of all air pollution strategies, state statutes, state rules, and local ordinances implemented under Title I of the Clean Air Act by government agencies within Arizona.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,639.5	2,040.1	4,034.0
Other Non Appropriated Funds	2,597.1	2,352.7	1,358.8
Total Funding	**4,236.6**	**4,392.8**	**5,392.8**
FTE Positions	**16.7**	**23.0**	**22.0**

◆ **Goal** 1 To enhance Arizona's unique environment

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
No. of Net Non-attainment areas	16	14	16	13	12
Explanation: The number of areas the USEPA has classified as not attaining the National Ambient Air Quality Standard (NAAQS)					

◆ **Goal** 2 To Accelerate Cleanups

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
No. of known, ongoing, and unauthorized impacts to public health or the environment	1	0	2	2	0
Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment					

Subprogram Summary

OIL & GAS

Daniel Czecholinski, Air Quality Division Director, Acting
Phone: (602) 771-2300
A.R.S. § 27,515, § 49-104, § 49-455

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

This subprogram supports the regulatory functions of the Oil and Gas Conservation Commission by administering permits for the drilling for and production of oil, gas, helium, carbon dioxide, and geothermal resources. The subprogram will also be responsible for the inspection of these well fields, compilation of oil, gas, geothermal, and helium production statistics, and to provide information to the exploration and development communities and the public.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	265.1	265.1
Other Non Appropriated Funds	193.5	0.0	0.0
Total Funding	**193.5**	**265.1**	**265.1**
FTE Positions	**1.3**	**1.2**	**1.2**

◆ **Goal** 1 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Return to Compliance Time (Days)	62.4	41.3	Full compl	37.5	33.8
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Compliance Rate (%)	83	90	100	91	93
Explanation: Percent of compliance at the time of inspection.					
Permit Lead Time (Days)	22	45	28.8	42.5	38.7
Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.					

Subprogram Summary

VEHICLE EMISSIONS CONTROL

Daniel Czecholinski, Air Quality Division Director, Acting
Phone: (602) 771-2308
A.R.S. §§ 49-541 to 49-585

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

This subprogram supports ADEQ's mission by overseeing a contract with a private employer that implements a basic and enhanced emissons inspection program in the Tucson and Phoenix areas respectively to reduce emissions of air pollution from vehicles, thereby reducing concentrations of air pollution in these planning areas. This subprogram also issues permits to companies to inspect their own fleets of vehicles, and performs inspections to ensure compliance with all air pollution plans, statutes, rules, permits and the contract; and takes timely and appropriate action to remedy and prevent noncompliance.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	23,903.3	26,233.3	28,333.3
Other Non Appropriated Funds	842.5	2,250.0	2,250.0
Total Funding	**24,745.8**	**28,483.3**	**30,583.3**
FTE Positions	**12.3**	**21.2**	**21.2**

◆ **Goal** 1 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Return to Compliance Time (Days)	7.5	10.3	10.6	8.5	6.8
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Compliance Rate (%)	99	98	95.9	98	98
Explanation: Percent of compliance at the time of inspection.					
Permit Lead Time (Days)	0	0	.5	5	5
Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.					
Compliance Rate for Vehicles (%)	95.7	95.4	96.2	95.6	95.8
Explanation: A vehicle is in compliance if it did not fail its initial emission inspection.					

Program Summary

WASTE PROGRAMS

Laura Malone, Waste Programs Division Director
Phone: (602) 771-2300
A.R.S. Title 49, Chapters 1, 2, 4, 5 & 6

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The Waste Program carries out its mission by regulating solid and hazardous waste management and facilities, hazardous waste generators, waste tire management and facilities and underground storage tanks. The program issues permits; conducts inspections; approves closure activities; investigating and remediating soil and groundwater contamination with regulated and hazardous substances; administers funds; provides grants; and encourages recycling, reuse and other forms of pollution prevention; and administers the emergency response program.

This Program Contains the following Subprograms:

- Solid Waste
- Hazardous Waste
- Emergency Response
- UST and Leaking UST
- WQARF
- Voluntary Remediation
- Brownfields
- Federal Projects

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	15,000.0
Other Appropriated Funds	16,847.6	18,230.8	5,678.8
Other Non Appropriated Funds	43,688.3	46,593.1	46,593.1
Total Funding	**60,535.9**	**64,823.9**	**67,271.9**
FTE Positions	**148.4**	**147.0**	**145.0**

Subprogram Summary

SOLID WASTE

Laura Malone, Waste Programs Division Director
Phone: (602) 771-2300
A.R.S. Title 49, Chapter 4

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The subprogram provides management and administrative services to the solid waste program; plans, controls and monitors staff and budgetary expenditures; provides for staff development; develops rules, policies, and procedures, provides input on legislative issues; assists in developing agency strategic plans and action plans; develops, implements, and monitors grant workplans; evaluates program effectiveness; oversees delegation agreements with local jurisdictions; implements the state waste tire program; implements the state and federal laws and regulations related to solid waste pursuant to delegation from the U.S. Environmental Protection Agency (EPA); maintains an inventory of solid waste management facilities including landfills, waste tire sites, battery collection sites, septage haulers, biohazardous medical waste facilities and transporters, special waste facilities, and transfer stations; reviews applications for licenses, permits and plan approvals, modifications and amendments and takes appropriate action; encourages community involvement; provides oversight of soil and groundwater cleanup at solid waste facilities; manages special waste generation and manifesting data collection and compliance; conducts inspections; collects and maintain compliance data; provides compliance assistance and pursues enforcement actions for significant noncompliance for solid waste management and waste tire facilities; and promotes and encourages recycling and advocates for solid waste reduction.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,558.6	2,454.4	3,454.4
Other Non Appropriated Funds	18.5	0.0	0.0
Total Funding	**1,577.1**	**2,454.4**	**3,454.4**
FTE Positions	**19.5**	**18.5**	**18.5**

◆ **Goal** 1 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Compliance Rate (%)	97	94	93.8	95	95
Explanation: Percent of compliance at the time of inspection.					
Return to Compliance Time (Days)	217.3	55	135.3	50	45
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Permit Lead Time (Days)	14	35	17.7	35	30
Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.					

◆ **Goal** 2 To accelerate cleanups

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Contaminated Sites Closed (%)	60	61.1	75	61.9	92.5
Explanation: Percentage of contaminated sites that are considered closed. This is signified by agency of de-listing or issuance "no further action" letters.					
Time to Implement Remedy (Years)	7.04	6.87	9.1	6.59	6.42
Explanation: The time, expressed in years, between when a contaminated site is initially identified until when actual remediation begins.					
No. of known, ongoing, and unauthorized impacts to public health or the environment	1	1	1	1	2
Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment					

Subprogram Summary

HAZARDOUS WASTE

Laura Malone, Waste Programs Division Director
Phone: (602) 771-2300
A.R.S. Title 49, Chapter 5

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The subprogram provides management and administrative services to the hazardous waste program; plans, controls and monitors staff and budgetary expenditures; provides for staff development; develops rules, policies, and procedures, provides input on legislative issues; assists in developing agency strategic plans and action plans; develops, implements, and monitors grant workplans; evaluates program effectiveness; oversees delegation agreements with local jurisdictions; implements the state and federal laws and regulations related to hazardous waste pursuant to delegation from the U.S. Environmental Protection Agency (EPA); maintains an inventory of hazardous waste generators as well as hazardous waste management facilities; reviews applications for licenses, permits, modifications and amendments and takes appropriate action; encourages community involvement; provides oversight of soil and groundwater cleanup at hazardous waste facilities; manages hazardous generation and manifesting data collection and compliance; conducts inspections; collects and maintain compliance data; provides compliance assistance and pursues enforcement actions for significant noncompliance for hazardous waste management facilities; promotes and encourages pollution prevention, reviews and approves pollution prevention plans and reports; advocates for solid waste reduction, reuse, and recycling.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,325.8	1,527.6	1,527.6
Other Non Appropriated Funds	1,191.9	1,181.3	1,181.3
Total Funding	**2,517.7**	**2,708.9**	**2,708.9**
FTE Positions	**17.5**	**18.2**	**16.2**

◆ **Goal** 1 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Compliance Rate (%)	50.3	80	55.7	85	85
Explanation: Percent of compliance at the time of inspection.					
Return to Compliance Time (Days)	89.9	55	50.8	50	45
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Permit Lead Time (Days)	0	180	177	175	170
Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.					

◆ **Goal** 2 To accelerate cleanups

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Contaminated Sites Closed (%)	59.4	63.6	61.3	67.7	71.4
Explanation: Percentage of contaminated sites that are considered closed. This is signified by agency of de-listing or issuance "no further action" letters.					
Time to Implement Remedy (Years)	4.2	4.03	4.76	3.86	3.69
Explanation: The time, expressed in years, between when a contaminated site is initially identified till when actual remidiation begins.					
No. of known, ongoing, and unauthorized impacts to public health or the environment	1	1	1	1	0
Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment					

Subprogram Summary

EMERGENCY RESPONSE

Laura Malone, Waste Programs Division Director
Phone: (602) 771-2300
A.R.S. § 49-108; Title 49, Chapter 1, Article 2

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The subprogram provides scientific support to ensure that the health, safety, and the environmental elements of the hazardous materials emergency management program are met. The Emergency Response Team (ERT) responds to environmental emergencies (e.g., highway crashes, oil and gas releases, facility malfunctions, etc.) to minimize and abate the impact these releases can cause to the public and environment. The ERT manages removal actions to protect human health and the environment. This is completed by either funding response actions directly or overseeing actions conducted by potentially responsible parties. Additionally, the ERT performs appropriate sampling for toxic and other harmful effects in areas that have been impacted by a chemical release or toxic fire.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	410.6	570.1	570.1
Other Non Appropriated Funds	742.0	920.4	920.4
Total Funding	**1,152.6**	**1,490.5**	**1,490.5**
FTE Positions	**7.8**	**7.0**	**7.0**

Subprogram Summary

UST AND LEAKING UST

Laura Malone, Waste Programs Division Director
Phone: (602) 771-2300
A.R.S. Title 49, Chapter 6

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The subprogram assures the proper operation and maintenance of underground storage tank (UST) systems in the state of Arizona and maintains an inventory of these systems. This program is also responsible for overseeing the cleanup of soil and groundwater contamination from leaking underground storage tanks. The program conducts inspections, collects and maintains compliance data and pursues enforcement actions for significant non-compliance. In addition, the subprogram provides outreach and compliance assistance to owners and operators of USTs to keep them aware of current compliance requirements. The subprogram responds to complaints regarding UST sites and fully investigates any potential violations of Arizona's underground storage tank laws.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	126.7	126.7
Other Non Appropriated Funds	17,817.1	26,097.1	26,097.1
Total Funding	**17,817.1**	**26,223.8**	**26,223.8**
FTE Positions	**57.7**	**59.7**	**59.7**

◆ **Goal** 1 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Compliance Rate (%)	66.2	80	69.5	85	85
Explanation: Percent of compliance at the time of inspection.					
Return to Compliance Time (Days)	94.2	55	67.6	50	45
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Permit Lead Time (Days)	2	5	0	5	5
Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.					

◆ **Goal** 2 To accelerate clean ups

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Contaminated Sites Closed (%)	93.9	94.9	94.98	95.7	96.3
Explanation: Percentage of contaminated sites that are considered closed. This is signified by agency of de-listing or issuance "no further action" letters.					
Time to Implement Remedy (Years)	9.3	9.21	8.81	8.05	7.54
Explanation: The time expressed in years between when contamination is reported until remediation begins.					
No. of known, ongoing, and unauthorized impacts to public health or the environment	10	8	7	5	4
Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment					
No. of Net Open Leaking UST sites	328	278	292	241	191
Explanation: Number of sites with an open release. UST sites only.					

Subprogram Summary

WQARF

Laura Malone, Waste Programs Division Director
Phone: (602) 771-2300
A.R.S §§ 49-281 to 49-298

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The subprogram evaluates potentially contaimanted sites; reviews plans for and oversees privately-funded cleanup acitivities; investigates and remediates WQARF priority and preliminary investigation sites using state funds; identifies responsible parties; negotitates settlements with potentially responsible parities; develops evidence and data needed for cost recovery and settlement actions by the Attorney General's Office; provides funding to the Attorney General's Office, Arizona Department of Water Resources, Arizona Department of Health Services and political subdivisions for the purpose of assisting ADEQ with its remediation efforts; and administers the state's Prospective Purchaser Agreement (PPA) program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	15,000.0
Other Appropriated Funds	13,552.6	13,552.0	0.0
Other Non Appropriated Funds	21,634.5	14,358.5	14,358.5
Total Funding	**35,187.1**	**27,910.5**	**29,358.5**
FTE Positions	**33.9**	**31.5**	**31.5**

◆ **Goal** 1 To accelerate cleanups

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Contaminated Sites Closed (%)	14.3	16.3	14.29	18.2	20
Explanation: Percentage of contaminated sites that are considered closed. This is signified by agency of de-listing or issuance "no further action" letters.					
Time to Implement Remedy (Years)	6.4	6.36	6.37	6.36	6.35
Explanation: The time, expressed in years, between when a contaminated site is initially identified until when actual remediation begins.					
No. of known, ongoing, and unauthorized impacts to public health or the environment	2	2	1	1	1
Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment					

Subprogram Summary

VOLUNTARY REMEDIATION

Laura Malone, Waste Programs Division Director
Phone: (602) 771-2300
A.R.S §§ 49-171 to 49-188

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

Through this subprogram, property owners, prospective purchasers and other interested parties investigate or clean up a contaminated site in cooperation with ADEQ. The Voluntary Remediation Program (VRP) provides results in a streamlined process; provides a single point of contact to address applicable cross-program remediation efforts; reviews voluntary remedial actions; evaluates potentially contaminated sites; reviews plans for and oversees privately-funded cleanup acitivities; provides closure documents for successful site remediation that is accepted by all relevant ADEQ programs; and administers the state's Declaration of Environmental Use Restriction (DEUR) Program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	443.5	457.4	457.4
Total Funding	**443.5**	**457.4**	**457.4**
FTE Positions	**3.6**	**3.7**	**3.7**

◆ **Goal** 1 To accelerate clean ups

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Contaminated Sites Closed (%)	81.8	81.9	83.5	82.2	82.4

Explanation: Percentage of contaminated sites that are considered closed. This is signified by agency of de-listing or issuance "no further action" letters.

Time to Implement Remedy (Years)	3.2	3.12	3.34	3.05	2.98

Explanation: The time, expressed in years, between when a contaminated site is initially identified until when actual remediation begins.

No. of known, ongoing, and unauthorized impacts to public health or the environment	4	2	5	4	1

Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment

Subprogram Summary

BROWNFIELDS

Laura Malone, Waste Programs Division Director
Phone: (602) 771-2300
A.R.S § 49-218

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The subprogram administers the state's Brownfield's initiatives; provides funding for Phase I and Phase II environmental site assessments or cleanup activities of abandoned or underutilized properties; develops and helps applicants with the grant process; hires and manages contractors; provides results of assessments and closure documents; and works with federal, state and local partnerships to support the creation of jobs and the redevelopment of underutilized properties across the state.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	454.0	533.1	533.1
Total Funding	**454.0**	**533.1**	**533.1**
FTE Positions	**1.1**	**1.1**	**1.1**

◆ **Goal** 1 To accelerate clean ups

Subprogram Summary

FEDERAL PROJECTS

Laura Malone, Waste Programs Division Director
Phone: (602) 771-2300
A.R.S § 49-104

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The subprogram evaluates and ensures that federally contaminated sites within the state are investigated and remediated to the state's requirements and standards; provides state concurrence on federal oversight sites as per the National Contingency Plan (NCP); reviews plans for, monitors and oversees the Environmental Protection Agency's (EPA) Nation Priorities List (NPL) Superfund cleanup activities; reviews plans for and oversees Department of Defense (DoD) Army, Navy and Air Force funded cleanup acitivities, including DoD bomb target and base closures investigations and remediations; identifies responsible parties; negotitates settlements with potentially responsible parities; and develops evidence and data needed for cost recovery and settlement actions by the Attorney General's Office.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,386.8	3,045.3	3,045.3
Total Funding	**1,386.8**	**3,045.3**	**3,045.3**
FTE Positions	**7.3**	**7.3**	**7.3**

◆ **Goal** 1 To accelerate clean ups

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
No. of known, ongoing, and unauthorized impacts to public health or the environment.	3	3	3	2	2

Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment.

Program Summary

WATER QUALITY

Trevor Baggiore, Water Quality Division Director
Phone: (602) 771-2303
A.R.S. Title 49, Chapter 2

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The Water Quality Program ensures that regulated water systems deliver safe drinking water to customers; develops surface and groundwater quality standards; monitors and assesses the quality of surface and groundwater throughout the state; identifies water pollution problems and prepares plans to address them; regulates discharges to surface water and groundwater from wastewater treatment plants, mining operations, industrial facilities and stormwater through issuance of permits; investigates complaints and violations of Arizona's water quality laws, rules and permits; and works with federal, state and local partnerships within the state's watersheds to maintain and improve water quality.

This Program Contains the following Subprograms:

- Groundwater Protection
- Surface Water Protection
- Surface Water Quality Improvement Planning
- Safe Drinking Water
- Water Re-Use

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	3,155.4
Other Appropriated Funds	7,673.3	10,750.1	8,180.8
Other Non Appropriated Funds	10,852.6	14,734.1	14,734.1
Total Funding	**18,525.9**	**25,484.2**	**26,070.3**
FTE Positions	**131.0**	**133.2**	**138.2**

Subprogram Summary

GROUNDWATER PROTECTION

Trevor Baggiore, Water Quality Division Director
Phone: (602) 771-2300
A.R.S. §§ 49-201 to 49-391

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The Groundwater Protection Subprogram protects groundwater which is essential to Arizona's safe drinking water supplies. The Aquifer Protection Permit program is designed to protect groundwater quality in Arizona's aquifers by issuing permits to discharging facilities, conducting compliance inspections of permitted facilities and enforcing permit conditions. This program also registers drywells, reviews engineering design plans and issues construction approvals for on-site wastewater treatment facilities and sewage collections systems; and reviews subdivision plans to ensure adequate provision of water, wastewater and refuse services. The Groundwater Protection Subprogram also manages the pesticide contamination prevention program for agricultural use pesticides, monitors groundwater basins throughout the state and provides technical assistance to industry and the public.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	3,763.2	3,480.1	3,480.1
Other Non Appropriated Funds	257.1	1,174.3	1,174.3
Total Funding	**4,020.3**	**4,654.4**	**4,654.4**
FTE Positions	**38.5**	**33.0**	**31.0**

◆ **Goal** 1 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Compliance Rate (%)	77.3	97	60.9	97	98
Explanation: Percent of compliance at the time of inspection. The minimum goal is the agenc goal.					
Return to Compliance Time (Days)	185	75	75.5	75	75
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Permit Lead Time (Days)	37	45	53.46	45	45
Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.					

◆ **Goal** 2 To Accelerate Cleanups

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
No. of known, ongoing, and unauthorized impacts to public health or the environment.	32	28	19	15	10
Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment.					

Subprogram Summary

SURFACE WATER PROTECTION

Trevor Baggiore, Water Quality Division Director
Phone: (602) 771-2300
A.R.S. §§ 49-201 to 49-391

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The Surface Water Protection subprogram protects water quality in Arizona's streams, rivers, lakes and wetlands from point source pollution. Point source discharges include wastewater treatment plants, concentrated animal feeding operations, mining operations, industrial and commercial facilities, and stormwater discharges from construction and industrial sites. The Arizona Pollutant Discharge Elimination System (AZPDES) program issues permits to point source discharging facilities, conducts compliance inspections of permitted facilities and enforces permit conditions.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	2,149.6
Other Appropriated Funds	2,420.6	4,983.4	2,414.1
Other Non Appropriated Funds	1,166.7	2,233.3	2,233.3
Total Funding	**3,587.3**	**7,216.7**	**6,797.0**
FTE Positions	**30.5**	**27.5**	**34.5**

◆ **Goal** 1 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Compliance Rate (%)	78.6	83	67.0	85	85
Explanation: Percent of compliance at the time of inspection. The minimum goal is the agenc goal.					
Return to Compliance Time (Days)	86.5	61.3	107.9	57.5	53.8
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Permit Lead Time (Days)	130	86.8	77.2	84.5	82.3
Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.					

◆ **Goal** 2 To Accelerate Cleanups

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
No. of known, ongoing, and unauthorized impacts to public health or the environment.	18	10	16	12	4
Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment.					

Subprogram Summary

SURFACE WATER QUALITY IMPROVEMENT PLANNING

Trevor Baggiore, Water Quality Division Director
Phone: (602) 771-2300
A.R.S. §§ 49-201 to 49-391

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The Surface Water Improvement subprogram develops surface water quality standards; monitors and assesses surface water quality; identifies water pollution problems and sources; develops Total Maximum Daily Load (TMDL) “pollutant budgets” and works with permitted facilities, local stakeholder groups and land management agencies to develop implementation plans to help waters meet their beneficial uses and attain water quality standards; provides funding to support projects to reduce nonpoint source pollution from activities including agriculture, forestry, mining and recreation; conducts effectiveness monitoring to measure the effectiveness of implementation projects.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	1,005.8
Other Appropriated Funds	57.6	67.8	67.8
Other Non Appropriated Funds	5,431.7	6,192.8	6,192.8
Total Funding	**5,489.3**	**6,260.6**	**7,266.4**
FTE Positions	**32.4**	**30.1**	**30.1**

◆ **Goal** 1 To enhance Arizona's unique environment

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
No. of Net Individual Pollutant Impairments in Surface Water Bodies	252	226	254	238	218

Explanation: The number of waterbodies that are not meeting surface water quality standards broken down by individual pollutant of concern.

No. of Net Impaired Surface Waters	142	129	150	144	139

Explanation: Number of surface water bodies that do not meet water quality standards for its designated use.

Subprogram Summary

SAFE DRINKING WATER

Trevor Baggiore, Water Quality Division Director
Phone: (602) 771-2321
A.R.S. §§ 49-351 to 49-360

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The Drinking Water Regulation program is federally mandated to ensure regulated public water systems provide safe drinking water to their customers. The program regulates public water systems based on state drinking water rules that are continually updated to conform to federally promulgated regulations. Staff reviews water system construction plans, conducts compliance inspections on drinking water systems, reviews water quality monitoring data, initiates enforcement actions in response to continued or significant noncompliance, and conducts outreach to educate stakeholders on regulatory requirements. The program also evaluates source waters to ascertain their susceptibility to contamination, promotes voluntary community programs aimed at protecting aquifers for drinking water use, and administers the monitoring assistance program to assist public water systems in complying with monitoring requirements under the federal safe drinking water act.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,152.3	1,566.9	1,566.9
Other Non Appropriated Funds	3,997.1	5,133.7	5,133.7
Total Funding	**5,149.4**	**6,700.6**	**6,700.6**
FTE Positions	**25.9**	**38.9**	**38.9**

◆ **Goal** 1 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Compliance Rate (%)	57.9	80	57.8	80	80

Explanation: Percent of compliance at the time of inspection. The minimum goal is the agenc goal.

Return to Compliance Time (Days)	56.6	52.5	78.9	50	47.5

Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.

Permit Lead Time (Days)	7	10	14.9	10	10

Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.

◆ **Goal** 2 To enhance Arizona's unique environment

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Population served Healthy Drinking Water (%)	99	99	99.1	99	99

Explanation: The percentage of Arizona citizens that are drinking water from public water systems that do not have a Safe Drinking Water Act exceedance of water quality parameters (such as Nitrate, Radium, Uranium, Floride, Lead, Copper, etc.)

No. of Net Drinking Water Systems Serving Drinking Water Not Meeting Federal Standards	35	27	30	20	10

Explanation: The number of public water systems in Arizona that are served drinking water that exceed a Safe Drinking Water Act health -based standard (such as Nitrate, Radium, Uranium, Fluoride, lead, copper, etc.)

◆ **Goal** 3 To Accelerate Cleanups

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
No. of known, ongoing, and unauthorized impacts to public health or the environment	35	27	30	20	10

Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment

Subprogram Summary

WATER RE-USE

Trevor Baggiore, Water Quality Division Director
Phone: (602) 771-2300
A.R.S. § 49-203 (A) (6)

Mission:

To protect and enhance public health and the environment in Arizona.

Description:

The Reuse Water Regulation Program permits the beneficial use of treated wastewater from wastewater treatment plants. Use of this reclaimed water allows Arizona to conserve potable water sources for human consumption and domestic uses. The program regulates reclaimed water conveyances, issues general and individual permits to end users of reclaimed water, conducts compliance inspections of permitted facilities, and enforces permit conditions. Reclaimed Water Quality Standards are specified for five classes of reclaimed water. Standards are expressed as a combination of minimum treatment technology requirements and a limited set of numeric reclaimed water quality criteria.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	279.6	651.9	651.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**279.6**	**651.9**	**651.9**
FTE Positions	**3.7**	**3.7**	**3.7**

◆ **Goal** 1 To support environmentally responsible economic growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Compliance Rate (%)	95.8	97	87.1	97	98
Explanation: Percent of compliance at the time of inspection. The minimum goal is the agenc goal.					
Return to Compliance Time (Days)	68.3	75	75.1	75	75
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Permit Lead Time (Days)	14	32.3	25.9	29.5	26.8
Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.					

Agency Summary

ECONOMIC OPPORTUNITY

Sandra Watson, Director
Phone: (602) 845-1215
A.R.S. § 41-5301

Mission:

To improve Arizona's workforce and business climate in Arizona through data-driven policy-making and effective workforce and economic development initiatives.

The Arizona Finance Authority is a one-stop resource for financing, supporting, expanding, and relocating businesses, communities' infrastructure needs, and first-time homebuyers. The AFA is committed to providing a streamlined, predictable process to help homebuyers receive affordable financing.

Description:

Laws 2016, Chapter 372 created three new governmental entities: The Office of Economic Opportunity (OEO), the Arizona Finance Authority (AFA), and the Arizona Industrial Development Authority (AZIDA). AFA is established in OEO and the AFA board serves as the board of AZIDA. The following agency budget includes all three entities' funding, though each is an operationally unique unit.

The Office of Economic Opportunity coordinates Arizona's workforce planning with economic development, supports the Workforce Arizona Council, and provides economic, demographic, regulatory, and tax research and analysis, at both the state and local levels.

WIFA finances the acquisition, construction, rehabilitation, and improvement of drinking water, wastewater, wastewater reclamation, and other water projects.

GADA helps lower the costs of financing for local governments and tribal entities on debt incurred for infrastructure development and construction.

AZIDA is a non-profit corporation designated as a political subdivision of the State that issues both taxable and tax-exempt bonds for commercial activities.

Office of Economic Opportunity

Fiscal Year 2020 Strategic Plan

Agency Director: Sandra Watson
Strategic Planner: Ken Burns
Last modified: 05/29/2019

Vision: Arizona's economic prosperity is supported by a resilient, responsive, integrated workforce system, and a competitive, efficient regulatory environment.

Mission: To improve the workforce and business climate in Arizona through data-driven policy making and effective workforce and economic development initiatives.

Agency Description: The Office of Economic Opportunity coordinates Arizona's workforce planning with economic development, supports the Workforce Arizona Council, and provides economic, demographic, regulatory, and tax research and analysis, at both the state and local levels.

Executive Summary:

OEO is committed to:

1) Engaging the business community to determine its immediate and future needs and coordinate with the economic development community and workforce system to address gaps.

2) Systematically reviewing and analyzing the State's tax and regulatory provisions to ensure Arizona has the least burdensome government possible.

3) Being the authoritative source of economic and demographic data in Arizona.

4) Creating new data products that inform outreach, education, and collaboration with our partners and stakeholders.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Strategy 1: **Analytics Engine:** Increase the accessibility, quality and relevance of workforce, regulatory, demographic and economic information while maintaining the transparency and security of our methods and systems.	2019	Released state and county population projections and produced the first draft of sub-county population projections. Partnered with ASET to utilize a new data platform that is in development and started data cleaning project to support AWEDS. Estimated the savings from 368 agency rule reductions and eliminations.
2	Strategy 2: **Policy Engine:** Drive innovation in the workforce system. Strengthen the relationship between the Workforce Arizona Council and local workforce boards. Help local boards meet their Workforce Innovation & Opportunity Act (WIOA) compliance goals with guidance and technical support.	2019	Completed revisions to the Council governance policy providing guidance to Local Area Workforce Boards. Hosted two convenings of state workforce leaders for best-practices training. The Council initiated the Workforce Performance Dashboard for the Local Area Workforce Boards.
3	Strategy 3: **Engagement Engine:** Align student, job seeker, and displaced worker training and services with in-demand occupational skills and the needs of employers. Generate support for regulatory reform, universal participation in the decennial census, and accurate population estimates.	2019	In partnership with DES, revamped the ARIZONA@WORK website to better serve employers and job seekers. Completed 35 Workforce Navigator projects with ACA clients, far more than the 24 sought. Rolled out the Arizona Career Readiness Credential (ACRC) statewide, including the adoption by 11 local workforce areas.

Office of Economic Opportunity

Fiscal Year 2020 Strategic Plan

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1 & 3	Enhance use of data visualization to improve usability/accessibility of OEO/ACA data.	1. Transition OEO sites with visualization in place. 2. Workforce Arizona Council workforce performance dashboard is complete and up-to-date.	1. Move OEO websites to ACA site and enhance data visualization as replacement for data-search tool. 2. Enhance the Council workforce performance dashboard to include additional metrics.
1	Enhance regulatory review efforts and initiate a program of tax review.	1. Develop a more robust competitive analysis on the state's regulatory environment. 2. Develop competitive analysis on the state's tax structure.	1. Refine assessment of current regulatory environment in comparison with other states. 2. Assess current tax structure in comparison with other states that affects economic development.
1	Identify workforce availability and pipeline for occupations and skillsets critical to the 10 emerging trends highlighted in the ACA business plan.	The inaugural report of workforce needs and availability for emerging technologies will be completed in FY 2020.	Complete a joint research project with OEO/ACA to identify and quantify the workforce requirements and skillsets for the 10 emerging trends identified in the ACA business plan.
1	Lead the development of the state's longitudinal data system to assess the workforce system (AWEDS)	Launch proof-of-concept project for AWEDS with at least three partners.	1. Work with ASET to finalize data platform and proof-of-concept design. 2. Work with education partners to participate in proof-of-concept project.
3	Expand reach of Arizona Career Readiness Credential (ACRC) throughout Arizona.	Issue 4,000 new credentials in FY 2020.	Engage new implementation partners at state, county, municipal, education and non-profit agencies.
1 & 3	Support robust data collection in Arizona for Census 2020.	Arizona Complete Count Committee (CCC) is created and actively supporting Census count efforts directly and in partnership with local CCCs.	1. Prepare a statewide address list for Census. 2. Participate in the Census 2020 Count Review program. 3. Provide technical assistance to the CCCs.
2 & 3	Replicate Maryvale partnership model to address other workforce challenges across the state.	Implement Maryvale-style partnerships in other communities.	1. With the local workforce area, recruit and engage community partners who have identified a need in their area. 2. Establish collaborations to address those issues.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ECONOMIC OPPORTUNITY	6,101.0	10,957.7	10,957.7
➢ ARIZONA FINANCE AUTHORITY	107,155.3	102,088.1	102,088.1
Agency Total:	**113,256.3**	**113,045.8**	**113,045.8**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	444.2	968.3	968.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	112,812.1	112,077.5	112,077.5
Total Funding	**113,256.3**	**113,045.8**	**113,045.8**
FTE Positions	**50.0**	**50.0**	**50.0**

5 Year Plan

Issue 1 Arizona compares unfavorably to the rest of the nation in unemployment and labor force participation, while paradoxically, the business community complains of a shortage of trained workers with relevant skills.

Description

Solutions:

The Office will pursue a strategy of engaging the business community to determine their needs then engaging in constant coordination of the many partners in system to address gaps.

Issue 2 The State has a taxation and regulatory environment that lacks systematic review and analysis that facilitates the least burdensome government possible.

Description

Solutions:

The Office will establish the relevant processes and data products to enable policy maker's high quality decision needs.

Issue 3 There is a scarcity of relevant workforce data that can be used to drive the decision making processes of the business community, policy makers, workforce professionals, and job seekers.

Description

Solutions:

OEO will create new data products, provide more effective outreach to our partners, and make data driven policy analysis and recommendations that address our stakeholders' immediate and future needs.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	50.0	50.0	50.0
General Fund	468.3	468.3	468.3
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	112,007.5	112,007.5	112,007.5
Federal Funds	44,776.8	44,776.8	44,776.8

Program Summary

ECONOMIC OPPORTUNITY

Sandra Watson, Director
Phone: (602) 845-1215
A.R.S. § 41-5301

Mission:

To improve the workforce and business climate in Arizona through data-driven policy making and effective workforce and economic development initiatives.

Description:

The Office of Economic Opportunity coordinates Arizona's workforce planning with economic development, supports the Workforce Arizona Council, and provides economic, demographic, regulatory, and tax research and analysis, at both the state and local levels.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	444.2	968.3	968.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	5,656.8	9,989.4	9,989.4
Total Funding	**6,101.0**	**10,957.7**	**10,957.7**
FTE Positions	**30.0**	**30.0**	**30.0**

◆ **Goal** 1 To increase the accessibility, quality and relevance of workforce, regulatory, demographic and economic information while maintaining the transparency and security of our methods and systems

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Hold at least one public meeting per quarter.	0	3	3	NA	NA
Choose system developer(s) and begin development of system using data from initial partners.	0	1	1	NA	NA
Count of completed analyses.	0	12	12	NA	NA

◆ **Goal** 2 To align student, job seeker, and displaced worker training and services with in-demand occupational skills and the needs of employers. Generate support for regulatory reform, universal participation in the decennial census, and accurate population estimates.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Deploy the Arizona Career Readiness Credential (ACRC) across the state in 12 local areas, with 200 certified proctors, 300 employer champions, and 4,000 assessments with a 90% pass rate.	238	4000	1085	NA	NA
One on one business development. Data count collected by number of companies engaged.	224	24	42	NA	NA
Work the Governor's Office to establish a state-level Census 2020 Complete Count Committee (CCC) to coordinate local CCCs and to plan statewide initiatives aimed at full participation in Census 2020.	0	100	75	NA	NA

- **Goal** 3 To Drive innovation in the workforce system. Strengthen the relationship between the Workforce Arizona Council (WAC) and the 12 local workforce boards. Help local boards meet their Workforce Investment Opportunity ACT (WIOA) compliance goals with guidance and technical support.

Program Summary

ARIZONA FINANCE AUTHORITY

Dirk Swift, Director
Phone: (602) 771-1091
A.R.S. § 41-5351

Mission:

Description:

The Arizona Finance Authority (AFA) is a one-stop finance shop established in the Office of Economic Opportunity that includes the Water Infrastructure Finance Authority (WIFA) and the Greater Arizona Development Authority (GADA). WIFA is an independent entity authorized to finance the construction, rehabilitation and/or improvement of drinking water, waste water, waste water reclamation, and other water quality facilities/projects. As a “Bond Bank”, WIFA is authorized to issue water quality bonds on behalf of communities for basic water infrastructure. Generally, WIFA offers borrowers below market interest rates on loans for 100% of eligible project costs. GADA assists local communities and tribal governments in developing and financing public infrastructure projects. The AFA also authorized the creation of the Arizona Industrial Development Authority (AZIDA), in accordance wiith Laws 2016, Chapter 372.

This Program Contains the following Subprograms:

- Arizona Industrial Development Authority
- Water Infrastructure Finance Authority
- Greater Arizona Development Authority

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	107,155.3	102,088.1	102,088.1
Total Funding	**107,155.3**	**102,088.1**	**102,088.1**
FTE Positions	**20.0**	**20.0**	**20.0**

Subprogram Summary

ARIZONA INDUSTRIAL DEVELOPMENT AUTHORITY

Vacant, Director
Phone: (602) 769-7498
A.R.S. § 41-5351

Mission:

Description:

The Arizona Industrial Development Authority issues private activity bonds (PABs) for the benefit of private users. Repayment of the bonds is an obligation of the private user, not the Authority and proceeds of the bonds are used for industrial and other private purposes. The interest on the bonds may be exempt from federal income tax (IRC Sec.103). In Arizona, the interest on the bonds is also exempt from state income tax. The AFA's AZIDA issues PABs for commercial activities using a streamlined process at competitive rates.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	175.9	151.6	151.6
Total Funding	**175.9**	**151.6**	**151.6**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

WATER INFRASTRUCTURE FINANCE AUTHORITY

Daniel A. Dialessi, CFA, Executive Director
Phone: (602) 364-1235
A.R.S. §§ 49-1201 to 49-1269

Mission:

To maintain and protect water quality and to ensure the affordability of basic community infrastructure.

Description:

The Water Infrastructure Finance Authority of Arizona (WIFA) is an independent entity authorized to finance the construction, rehabilitation and/or improvement of drinking water, waste water, waste water reclamation, and other water quality facilities/projects. As a "Bond Bank", WIFA is authorized to issue water quality bonds on behalf of communities for basic water infrastructure. Generally, WIFA offers borrowers below market interest on loans for 100% of eligible project costs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	106,952.7	101,903.5	101,903.5
Total Funding	**106,952.7**	**101,903.5**	**101,903.5**
FTE Positions	**18.7**	**18.7**	**18.7**

◆ **Goal** 1 To award WIFA's resources in accordance with the needs of Arizona's Citizens.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of projects that have corrected or prevented public health or environmental problems (including projects which address non-compliance and maintainance of compliance).	13	4	10	10	10

◆ **Goal** 2 To maintain the fiscal integrity of the Funds administered by WIFA and ensure continuous enhancement for future generations.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of total available funds invested.	99.97	99	99	99	99

◆ **Goal** 3 To effectively and efficiently deliver financial and technical assistance.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of weeks from Board action to circulate draft loan documents.	.5	1.5	1.5	1.5	1.5
Average number of days for WIFA to process a disbursement request.	6	14	6	14	14

◆ **Goal** 4 To market agency programs and advocate the importance of safe, reliable water through presentations, networking and outreach.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of conferences/outreach events attended/presented at per year.	20	4	28	4	4
Number of RWIC meetings attended or coordinated per year.	4	2	4	2	2

Subprogram Summary

GREATER ARIZONA DEVELOPMENT AUTHORITY

Daniel A. Dialessi, CFA, Authorized Representative
Phone: (602) 364-1235
A.R.S. § 41-1554

Mission:

To provide technical assistance and low-cost financing solutions to assist Arizona communities and tribal governments with development of public infrastructure projects that enhance communities and economic development.

Description:

The Greater Arizona Development Authority assists local communities and tribal governments in developing and financing public infrastructure projects.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	26.7	33.0	33.0
Total Funding	**26.7**	**33.0**	**33.0**
FTE Positions	**1.3**	**1.3**	**1.3**

◆ **Goal** 1 To increase development of public infrastructure projects.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Amount of financial assistance (in millions) loaned to cities, towns, counties, and special districts.	0	0	0	0	0
Amount of savings (in millions) for cities, towns, counties, tribes, and special districts from participation in the GADA program over private financing.	0	0	0	0	0

Agency Summary

GOVERNOR'S OFFICE OF EQUAL OPPORTUNITY

Barry Wong, Director
Phone: (602) 542-5723
A.R.S. § 41-101

Mission:

To prepare, revise and administer the State of Arizona Equal Opportunity (EO) Guidelines for equal employment opportunity and economic growth.
•To guide State Agency EO planning process and provide technical assistance and training to agency leadership, Equal Opportunity Administrators, and supervisory staff;
• To administer a complaint process for current and former State of Arizona employees;
• To promote access to State employment, procurement, and boards and commission for minorities and women.

Description:

The Governor's Office of Equal Opportunity provides information and technical assistance to state agencies to ensure non-discrimination and equal opportunity access to employment, state contracts, and appointments.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	179.9	190.2	190.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**179.9**	**190.2**	**190.2**
FTE Positions	**4.0**	**4.0**	**4.0**

Agency Summary

STATE BOARD OF EQUALIZATION

George Shook, Acting Chairman
Phone: (602) 364-1601
A.R.S. §§ 42-16151 et al.

Mission:

To provide an independent appeal process for taxpayers, county assessors, and the Arizona Department of Revenue in disputes relating to the valuation and classification of property for ad valorem tax purposes. Consistent with this responsibility, the Board provides a venue for non-judicial hearings in which due process of law is afforded to taxpayers in matters concerning the valuation and classification of their respective properties.

Description:

The State Board of Equalization is comprised of 41 members: 21 (including the chairman) appointed by the Governor and 10 each from Maricopa and Pima counties (appointed by the boards of supervisors of those counties). The Board of Equalization's jurisdiction is primarily over locally assessed real and personal property in Maricopa and Pima counties. Under A.R.S. § 42-14001 et al., the Board's authority extends to centrally assessed property statewide. By statute, the Board also can provide hearing officer services for outlying counties; currently, the Board provides services to Cochise, Mohave, Pinal, Santa Cruz, and Yavapai counties.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	425.2	659.0	659.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**425.2**	**659.0**	**659.0**
FTE Positions	**7.0**	**7.0**	**7.0**

5 Year Plan

Issue 1 Replace the Board's Information Technology system. The goal is to improve Information Security to provide protection for the agency and the public.

Description Microsoft no longer supports the current custom application software. A newer application is required to accommodate current and future Information Security requirements.

Solutions:
1.1 Funding must be obtained for the build of a new software application.

Issue 2 Information Security must be upgraded.

Description This agency will upgrade and update all hardware and software to the latest technology required to implement the State's Information Security plans.

Solutions:
1.1 The Board will utilize all state ASET available assets and resources to become compliant with all information security requirements.

Issue 3 Create and maintain a permanent hearing room in the capital Annex building at 400 W. Congress, Tucson, AZ. This project is 95% complete for FY 2019.

Description This project resulted from the opportunity to obtain space at the location where all appeals in Pima County take place. Prior to having a permanent room the Board was only able to obtain hearing rooms from other agencies at the times those rooms were not being used by the agency. This was a logistics burden and created a dependency for use of personnel from a gratuitous agency to set up the rooms for hearings and returning files back to Phoenix.

Solutions:
Use of vacancy savings and operational savings allows for the funding of this project without requiring a request for supplementing funds. Enhancement to the project will occur over a two-year period. The room will be furnished, over time, with items obtained from Arizona's Surplus Property.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	65.0	65.0	65.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To build a custom computer software application for automation of the appeals filing system. To obtain the required hardware and interface devices to handle the greatly increased demands caused by changes in the assessors', Arizona Department of Administration ASET, and State of Arizona IT security requirements. The objective is to automate tasks manually performed and reduce margins of error in data processing and dissemination. To continue the growth in electronic filing and transmittal of statement of changes made to the valuation of any property in Maricopa or Pima County. This effort will also expand the Board's electronic capabilities to integrate the "client" counties (currently Cochise, Mohave, Pinal, Santa Cruz and Yavapai Counties) into the appeals application.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Identify the need-based components of the Information Technology requirements and the dynamic Information Security upgrades and enhancements. Measure as a percentage of completion.	85	100	90	100	100

Explanation: Coordination with Maricopa County and Pima County IT departments.

◆ **Goal** 2 To maintain sufficient funding in order for the State Board of Equalization to be prepared for annual changes in caseloads. This will also ensure that the SBOE is able to adequately staff all hearings in Maricopa and Pima Counties and meet statutory deadlines.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Cost per appeal (in dollars)	63	63	81	63	63
Explanation: Board member compensation is included in the cost per appeal.					
Appeals received	2,876	2,900	2,231	2,900	2,900
Explanation: Petitions received by the SBOE may contain multiple parcels.					

◆ **Goal** 3 To improve efficiencies of agency operations through networking and personnel training.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Enhance training for staff members. This performance measure is for the percentage of staff members who have completed training.	100	100	50	100	100
Explanation: Create a public awareness initiative to educate potential filers.					
Funding issues may change due to legislative requirements. Therefore, it is imperative to maintain the current level of funding. This measure is a percent of completion.	0	0	10	85	100
Explanation: Maintain existing funding.					

◆ **Goal** 4 To Complete the processing of the Booard's rules.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
The Board will continue to seek input for modifications to expired rules. An exception request was submitted to the governor's and approved for exempting the Board form the Rules Moratorium. This performance measure is a percentage of the project completion.	80	100	75	100	100

◆ **Goal** 5 To obtain legislation that will reduce the number of unnecessary appeals.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Become fully involved with all stakeholders in the appeal process. The stakeholders are the legislative body, which makes changes to the Arizona Revised Statutes, the Department of Revenue that provides guidelines and implementing instructions for new legislation, County Assessors, County Boards of Supervisors and property owners who are the taxpayers. This performance measure is outcome of efforts employed.	80	100	20	100	100
Explanation: Work with Department of Revenue and legislators.					

Agency Summary

BOARD OF EXECUTIVE CLEMENCY

Kathryn Blades, Executive Director
Phone: (602) 542-5646
A.R.S. §§ 31-401 et seq.

Mission:

To protect public safety and contribute to a fair and effective justice system by ensuring that persons who remain a threat to society remain incarcerated and persons who no longer present a risk are released to become productive citizens.

Description:

The Board of Executive Clemency is a five-member board appointed by the Governor and is statutorily empowered to make decisions regarding:

(a) discretionary release of those inmates who are eligible for parole and/or home arrest (inmates whose crimes were committed on or before December 31, 1993);

(b) revocation of parole (or community supervision for crimes committed on or after January 1, 1994) for offenders found to be in violation of the terms and conditions of their release;

(c) absolute discharge from parole; and

(d) modification of release conditions and release rescissions.

The Board also makes clemency recommendations to the Governor on requests for commutation of sentence, including death penalty sentences; reprieves in matters related to death penalty cases; and pardons.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,000.0	1,150.0	1,202.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	17.0	30.1	30.1
Total Funding	**1,017.0**	**1,180.1**	**1,232.4**
FTE Positions	**14.5**	**14.5**	**15.5**

5 Year Plan

Issue 1 Meet hearing timeframes in accordance with the law

Description Caselaw establishes a goal of holding revocation hearings within 60 after a parolee or individual on community supervision has been arrested. Additionally, the Board has developed a backlog of commutation hearings due to shortage of staff and Board members. The Board has set the following objectives related to this issue:
Eliminate commutation backlog within one year
Schedule 90% of revocation hearings within 60 days and 100% within 90 days of arrest
Schedule all probable cause hearings within 10 days of arrest

Solutions:
The Board plans to ensure it is meeting hearing time frames in accordance with the law by measuring the following performance indicators:
Number of commutation hearings is greater than number of applications
Number/% of revocation hearings held in a month that were received within 60 and 90 days prior
Average number of days between arrest and a probable cause hearing

Issue 2 Maintaining on-going staff training and development in efforts to conduct daily operations seamlessly.

Description The Board has set the following objectives related to this issue:
Cross-train all staff on packet preparation for all hearing types
Create standard work for all staff positions

Solutions:
The Board plans to ensure ongoing staff training and development is met by tracking the following performance indicators:
Percentage of staff members cross-trained on packed preparation
Percentage of job categories with standard work completed

Issue 3 Establish continuous board member training and development

Description The Board has set the following objective for this issue:
Establish an ongoing training program for the board in compliance with Board policies (8 hours per year)

Solutions:
The Board has set the following performance indicators to ensure that the Board members are given continuous training and development:
Track number of hour long monthly trainings put on for Board(goal of 8)

Issue 4 Enhance the Board's decision-making process.

Description Establish a structured decision-making process, which will provide a solid base for board members to form independent thoughts, opinions, and ultimately prudent decisions for each hearing. Moving toward a more structured decision-making process will help the Board meet its mission to ensure public safety.

Solutions:
The Board is working with the National Institute of Corrections to establish a structured decision making process. Performance indicators will be set once a path forward has been decided on.

Issue 5 Implement Victim Satisfaction Survey Process

Description The Board is required as part of its Victim's Services grant to conduct a victim satisfaction survey to all victims. The Board does not send out his survey, so it is not complying with the statute. The Board has set the following objective related to this issue:
Provide victim satisfaction survey to all victims
Monitor return rate to set return goal

Solutions:
The Board has completed a survey and will begin sending it out to victims in August 2019. The Board has set the following performance indicator to ensure this goal is met:
Return rate at or above that of other victim services agencies

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	14.5	14.5	14.5
General Fund	1,150.0	1,150.0	1,150.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	30.1	30.1	30.1
Federal Funds	0.0	0.0	0.0

- **Goal** 1 To meet hearing timeframes in accordance with the law

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of commutation hearings is greater than number of applications	0	0	-25	120	0

- **Goal** 2 To establish continuous board member training and development

- **Goal** 3 To implement Victim Satisfaction Survey Process

- **Goal** 4 To maintain on-going staff training and development in efforts to conduct daily operations seamlessly

- **Goal** 5 To enhance the Board's decision making process

Agency Summary

EXPOSITION AND STATE FAIR BOARD

Wanell Costello, Executive Director
Phone: (602) 252-6771
A.R.S. § 3-1001

Mission:

To provide opportunities for all Arizonans to celebrate the state's heritage, industry, traditions, and future.

Description:

The Arizona Exposition and State Fair (AESF) is a 96-acre entertainment facility that showcases a variety of events, including one of the preeminent state fairs in the country. The AESF, which owns the property and buildings it occupies, rents its facilities to a variety of tenants and promoters, such as the Arizona National Livestock Show and the Maricopa County Fair. The AESF provides a location to showcase industry, agriculture, education, and entertainment for the enjoyment of Arizona citizens.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ INTERIM EVENTS	5,217.3	4,871.2	4,935.5
➢ STATE FAIR	7,118.3	8,411.0	8,564.0
Agency Total:	**12,335.6**	**13,282.2**	**13,499.5**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	12,335.6	13,282.2	13,499.5
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**12,335.6**	**13,282.2**	**13,499.5**
FTE Positions	**184.0**	**184.0**	**184.0**

5 Year Plan

Issue 1 Funding facility improvements

Description Given a large, aging facility, the Arizona Exposition and State Fair (AESF) must constantly perform building renewal and capital improvement projects on the Fairgrounds in order to maintain functionality, keep it viable for rental, and ensure the safety of the visiting public. AESF has 26 structures and approximately 80 acres of parking lot/grounds to maintain, covering a total of 96 acres.

Solutions:

AESF plans to tackle large projects in a multi-phase method, as it can afford over the next five years. Projects will be prioritized by health, safety and welfare of guests, stakeholders and employees, then by business operational needs. AESF contracts with ADOA's General Services Division for large project management. Projects will then be broken into phases based on financial resources available and the greatest priority within each project on a case-by-case basis. AESF's capital maintenance and improvement plan's execution is contingent upon available funds and sufficient appropriation.

Issue 2 Improve the Fair's product

Description Given a land-locked location at 19th Avenue between Grand, McDowell, Encanto and 19th Avenue, the Arizona State Fair (ASF) is limited in ways it can expand its current operations to offer more entertainment and better entertainment to our customers. As a self-funded state agency, and to ensure future operation, the Fair must continue to innovate to maintain the existing customer base, as well as appeal to a new generation of Arizonans to add them as new customers. Innovation at the current location requires investment in the Fair product.

Solutions:

The most effective way to currently grow the Fair's offerings is to increase revenues so ASF can afford better quality entertainment and more entertainment overall. The strategy to increase Fair revenues involves increasing overall attendance, which has a positive effect on parking, gate admissions, food percentage, and ride revenue streams. AESF intends to increase attendance by attracting new visitors, increasing repeat visits with current guests, creating attractive promotions, and offering exciting entertainment options. In addition, ASF plans to continue to identify new revenue streams and partner with local businesses in sponsorship and vendor opportunities.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	184.0	184.0	184.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	13,282.0	13,282.0	13,282.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

INTERIM EVENTS

Michael Searle, Deputy Director
Phone: (602) 252-6771
A.R.S. §§ 3-1001 to 3-1013, 5-113

Mission:

To maximize incremental income during the non-fair period by providing quality facilities and services.

Description:

The Arizona Exposition and State Fair provides rental opportunities during the non-fair period for events such as home and garden shows, gun shows, livestock shows, youth activities, competitive events, and community activities.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	5,217.3	4,871.2	4,935.5
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**5,217.3**	**4,871.2**	**4,935.5**
FTE Positions	**71.2**	**71.2**	**71.2**

◆ **Goal** 1 To increase the number of non-fair rental days.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Non-fair rental days over previous year	64	5	-53	4	57
New promoters requesting space	9	5	17	6	6
Repeat promoters annually	24	25	32	30	32

◆ **Goal** 2 To maximize the use of existing parking space.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Parking lot rentals	20	10	34	10	25
New strategic partners renting parking lots	4	1	1	2	1

Program Summary

STATE FAIR

Michael Searle, Deputy Director
Phone: (602) 252-6771
A.R.S. §§ 3-1003 to 3-1013, 11-258

Mission:

To produce the preeminent state fair in the country, showcasing industry, business, entertainment, and agriculture.

Description:

AESF produces the annual Arizona State Fair which brings together a wide range of participants representing industry, business, and agriculture. The Fair showcases a variety of activities including agriculture, 4-H, and educational and community exhibits. The Fair also features entertainment such as motorized events, rodeos, midway rides, attractions, community groups, and national entertainers.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	7,118.3	8,411.0	8,564.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**7,118.3**	**8,411.0**	**8,564.0**
FTE Positions	**112.8**	**112.8**	**112.8**

◆ **Goal** 1 To develop partnerships with business, industry, community, and volunteer groups.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New partners acquired	9	15	15	15	17
Exhibit space used by partners for business showcase (square feet)	55,000	60,000	65,000	85,000	85,000

◆ **Goal** 2 To maximize all fair revenue sources.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New revenue streams identified	6	6	5	5	4
New revenue received from alternative sources (in dollars)	117,755	80,000	100,000	120,000	132,000

◆ **Goal** 3 To increase midweek fair attendance.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Increase Wednesday attendance.	-22,730	10,000	20,197	5,000	10,000
Fair attendance (in thousands)	1,136	1,300	1,108	1,100	1,200

◆ **Goal** 4 To maximize the satisfaction of fair guests.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of guest service contacts	89	200	130	140	150
Improvements implemented	46	25	25	28	28

Agency Summary

STATE DEPARTMENT OF FINANCIAL INSTITUTIONS

Keith A. Shraad, Supt. Financial Institutions
Phone: (602) 364-3100
A.R.S. § 6-110

Mission:

To protect and foster the success of Arizona citizens and businesses by promoting a strong, diverse, safe and vibrant financial services marketplace.

Description:

The Department of Financial Institutions (DFI) licenses, monitors and examines state-chartered financial institutions and enterprises to ensure safety and soundness, and to verify compliance with federal and state laws; investigates consumer complaints; and takes appropriate enforcement actions for violations.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ OFFICE OF SUPERVISION	4,032.6	4,346.9	4,346.9
➢ OFFICE OF REGULATORY AFFAIRS	1,740.9	1,851.8	1,851.8
➢ RECEIVERSHIPS	1,484.1	72.4	72.4
Agency Total:	**7,257.6**	**6,271.1**	**6,271.1**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,703.9	1,980.9	1,980.9
Other Appropriated Funds	3,645.4	4,037.2	4,037.2
Other Non Appropriated Funds	1,908.3	253.0	253.0
Total Funding	**7,257.6**	**6,271.1**	**6,271.1**
FTE Positions	**57.9**	**61.2**	**61.2**

Department of Financial Institutions

Fiscal Year 2020 Strategic Plan

Agency Director: Keith Schraad
Strategic Planner: Scott Greenberg
Last modified: 07/18/2019

Vision: Making safe and innovative financial services easy to offer in Arizona.

Mission: To protect and foster the success of Arizona citizens and businesses by promoting a strong, diverse, safe and vibrant financial services marketplace.

Agency Description: The Department of Financial Institutions (DFI) licenses, monitors and examines state-chartered financial institutions and enterprises to ensure safety and soundness, and to verify compliance with federal and state laws; investigates consumer complaints; and takes appropriate enforcement actions for violations.

Executive Summary: The Department of Financial Institutions (DFI) is facing an increasingly complex and innovative financial services industry offering products and services to Arizonans. We have identified the following three strategic priorities toward encouraging financial services innovation while protecting Arizona citizens and businesses:

Agency Consolidation by identifying and proposing ways to modernize and unify insurance, financial-institution and auto-theft-authority laws and rules; and, by unifying agency operations, incorporating best practices.

Agency Modernization by improving the agency's configuration of Salesforce to better fulfill customer and agency needs, and by improving customer communication and information.

Regulatory Expertise by improving industry-related training and staff retention to remain responsive to evolving regulatory concerns and priorities.

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Agency Consolidation	2019	Launched collaboration among the Department of Insurance, Department of Financial Institutions and the Arizona Automobile Theft Authority to formulate an action plan for agency consolidation.
2	Agency Modernization	2018	Implemented a more robust licensing and regulatory information system; eliminated cash payments, improved efficiency and control over cash receipt transactions, and expanded online application and payment opportunities; implemented an updated Internet website; all mortgage examiners completed 21 hours of professional training; reduced licensing time by 40%; reduced complaint resolution time by 19%; implemented examination manual adjudged "exceptional" by CSBS; updated appraisal statutes.
3	Regulatory Expertise	2018	Improved availability of professional training opportunities for examiners; received CSBS mortgage program accreditation; awarded two-year accreditation with a finding of "Excellent" by the Appraisal Subcommittee of the Federal Financial Institutions Examination Council; implemented cross-training program for financial services examiners.

Department of Financial Institutions

Fiscal Year 2020 Strategic Plan

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Identify and propose ways to unify insurance, financial-institution and auto-theft-authority rules	# of improved or eliminated rules	Work with stakeholders to identify and improve or eliminate outmoded or conflicting rules.
	Unify agency operations, incorporating best practices	% of 2019 and prior audit findings resolved	Implement best practices for administration, licensing, consumer assistance and examination/analysis functions; resolve findings in Auditor General and General Accounting Office performance and internal control audit reports.
2	Improve customer communication and information	% change in # of calls to the Licensing and Consumer Affairs Division	Implement consolidated website that adopts best practices for providing visitors with an intuitive, easy-to-use resource; leverage Salesforce capabilities to communicate with customers
	Improve Salesforce configuration	% of transactions performed entirely online % of transactions completed entirely by customer	Maintain list of issues and improvement ideas and coordinate ADOA-ASET staff to implement improvements; train and develop agency staff concerning Salesforce and the agency's Salesforce configuration.
3	Improve industry-related training, staff retention, and succession planning to remain responsive to evolving regulatory concerns and priorities	% of financial institution examiners completing 21 or more hours of industry-specific continuing education	Identify and encourage employees to complete industry-specific training.
		# of employees voluntarily separating Level of employee engagement	Evaluate how position classification and compensation for agency positions compare to those in other state agencies and the private sector; analyze causes of employee attrition and implement countermeasures.

5 Year Plan

Issue 1 Identify and propose ways to unify insurance, finanical institutions and auto theft authority rules. The Departments will unify agency operations, incorporating best practices.

Description Review rules to determine the number of that can be improved or eliminated. Review and resolve all 2019 and prior audit findings.

Solutions:

1.1 Work with stakeholders to identify and improve or eliminate outmoded or conflicting rules.

1.2 Implement best practices for administration, licensing, consumer assistance and examination/analysis functions.

Issue 2 Improve the agency's configeration of Salesforce to better fulfill customer and agency needs, and by improving customer communication and information.

Description Implement a more robust licensing and regulatory information system; improve efficiency and control over cash receipt transactions, and expanded online application and payment opportunities; implement an updated Internet website.

Solutions:

2.1 Implement consolidated website that adopts best practices for providing visitors with an intuitive, easy-to-use resource

2.2 Leverage Salesforce capabilities to communicate with customers

Issue 3 Improve industry-related training and staff retention to remain responsive to evolving regulatory concerns and priorities.

Description Improve availability of professtional training opportunities for examiners, continue CSBS, Banks and Credit Union and Mortgage accredidations. Maintain "excellent" finding by the Appraisal Subcommittee of the Federal Financial Institutions Examination Council.

Solutions:

3.1.Identify and encourage employees to complete industry specific training

3.2 Evaluate how position classification and compensation for agency positions compare to those in other state agencies and the private sector

3.3 Analyze causes of employee attrition and implement countermeasurers

3.4 Implement cross-training and succession planning

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	62.0	0.0	0.0
General Fund	1,957.2	0.0	0.0
Other Appropriated Funds	4,061.5	0.0	0.0
Non-Appropriated Funds	206.5	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

OFFICE OF SUPERVISION

Scott Greenberg, Interim Deputy Superintendent
Phone: (602) 364-3764
A.R.S. §§ 6-101 et. seq.

Mission:

To provide a regulatory program that fosters efficient, safe, sound, and lawful operations of state-regulated financial institutions and enterprises.

Description:

This area is primarily responsible for administering the general program of examination, supervision, and financial analysis of nearly 23,000 licensees (including 16,404 loan originators) as of June 30, 2019, spread among different types of regulated entities. Responsibilities include conducting examinations, reporting results of examinations, and taking appropriate formal or informal regulatory enforcement action where necessary.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	942.9	1,063.3	1,063.3
Other Appropriated Funds	2,651.1	3,077.2	3,077.2
Other Non Appropriated Funds	438.6	206.4	206.4
Total Funding	**4,032.6**	**4,346.9**	**4,346.9**
FTE Positions	**41.1**	**43.7**	**43.7**

◆ **Goal** 1 To provide a professional, efficient and effective examination program, meeting statutory requirements and ensuring licensees operate in a safe and sound manner and comply with all applicable laws and statutes.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
% of mortgage and financial services examination reports issued within accreditation timeframes	0	0	0	96	0
Average calendar days to process financial enterprise license and renewal applications	0	0	0	26	0
Average calendars days to resolve a complaint against an appraiser.	0	0	0	150	0

Program Summary

OFFICE OF REGULATORY AFFAIRS

Scott Greenberg, Interim Deputy Superintendent
Phone: (602) 364-3765
A.R.S. §§ 6-101 et. seq.

Mission:

To ensure qualified entities are licensed in accordance with statute and to promote high standards of compliance, quality, and ethical behavior among entities licensed by the Department.

Description:

The primary function of this area is to license entities to conduct business in this State based on statutory requirements. In addition, the program receives and investigates complaints against licensees and issues administrative orders to those found who have violated statutes or administrative code. Regulatory Affairs is also charged with educating consumers, licensees, and other government agencies on statutory provisions relating to state-regulated financial entities.

Effective July 3, 2015, the State Board of Appraisal was merged into the Department. Since then, Real Estate Appraisal operations have been reported as a sub-program of the Office of Regulatory Affairs. Effective
Law 2017, Chapter 334 made conforming changes to various statutes regarding the departmenet's real estate appraisal duties as a result of the agency consolidation. Among these changes was the elimination of the Board of Appraisal Fund. Licensing fee revenues will now be deposited in the General Fund rather than in the Board of Appprasial Fund. These new General Fund deposits will offset the new General Fund appropriation for the Real Estate Appraisal Division.

This Program Contains the following Subprograms:

- Office of Regulatory Affairs
- Board of Appraisal

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	746.6	891.8	891.8
Other Appropriated Funds	994.3	960.0	960.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,740.9**	**1,851.8**	**1,851.8**
FTE Positions	**16.6**	**17.0**	**17.0**

Subprogram Summary

OFFICE OF REGULATORY AFFAIRS

Scott Greenberg, Interim Deputy Supt.
Phone: (602) 364-3764
A.R.S. §§ 6-101 et. seq.

Mission:

To ensure qualified entities are licensed in accordance with statute and to promote high standards of compliance, quality, and ethical behavior among entities licensed by the Department.

Description:

The primary function of this area is to license entities to conduct business in this State based on statutory requirements. In addition, the program receives and investigates complaints against licensees and issues administrative orders to those found who have violated statutes or administrative code. Regulatory Affairs is also charged with educating consumers, licensees, and other government agencies on statutory provisions relating to state-regulated financial entities. The program is divided among two units: Licensing and Consumer Affairs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	746.6	891.8	891.8
Other Appropriated Funds	994.3	960.0	960.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,740.9**	**1,851.8**	**1,851.8**
FTE Positions	**16.6**	**17.0**	**17.0**

◆ **Goal** 1 To reduce the number of calls to the Licensing and Consumer Affairs Division.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
% of call reduction to Licensing and Consumer Affairs Division	0	0	0	5	0
% of transactions performed entirely online	0	0	0	90	0

◆ **Goal** 2 To track the % of transactions completed entirely by customer

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
% of transactions completed entirely by customer	39	0	0	10	0

Subprogram Summary

BOARD OF APPRAISAL

Scott Greenberg, Interim Deputy Superintendent
Phone: (602) 364-3764
A.R.S. §§ 32-3601 et seq. Articles 1-5

Mission:

To promote quality real estate appraisal in Arizona that protects the health, safety, and welfare of the public.

Description:

Real Estate Appraisal staff process the applications of those applying for real estate Trainee Appraiser registrations, Appraiser licenses, certifications, or designations for Supervisor Appraisers. In addition to these classifications, they also process the applications for Property Tax Agent registration and Appraisal Management Companies (AMCs). The staff assures that all candidates for appraisers and AMCs meet the requirements as set forth by the Appraisal Qualification Board of the Appraisal Foundation and are in compliance with Title XI, FIRREA and its revision in 2010 known as the Dodd-Frank Act. The Superintendent and staff act as a regulatory body to ensure conformity to the statutes, rules, and regulations governing the agency. In addition to protecting the interests of the general public, the staff provide services for Appraisers, appraisal course providers, Property Tax Agents, other state appraisal boards, and lending institutions.
Law 2017, Chapter 334 made conforming changes to various statutes regarding the departmenet's real estate appraisal duties as a result of the agency consolidation. Among these changes was the elimination of the Board of Appraisal Fund. Licensing fee revenues will now be deposited in the General Fund rather than in the Board of Appprasial Fund. These new General Fund deposits will offset the new General Fund appropriation for the Real Estate Appraisal Division.

Program Summary

RECEIVERSHIPS

Scott Greenberg, Interim Deputy Superintendent
Phone: (602) 364-3764
A.R.S. §§ 6-101 et. seq.

Mission:

To administer and ultimately liquidate all court ordered receiverships in a professional and effective manner.

Description:

This area is responsible for the management, orderly liquidation, and closure of all receiverships where the Superintendent of Financial Institutions has been named by the Court as Receiver.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	14.4	25.8	25.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,469.7	46.6	46.6
Total Funding	**1,484.1**	**72.4**	**72.4**
FTE Positions	**0.2**	**0.5**	**0.5**

◆ **Goal** 1 To promptly marshal and liquidate the assets of assigned receiverships.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Open receiverships (at any point in fiscal year)	1	0	1	1	0

Agency Summary

BOARD OF FINGERPRINTING

Matthew A. Scheller, Executive Director
Phone: (602) 265-3747
A.R.S. § 41-619.52

Mission:

To fairly, expeditiously, and responsibly consider applications for good-cause exceptions and central registry exceptions and determine whether applicants are rehabilitated from their history of criminal behavior or acts of child abuse or neglect.

Description:

The Arizona Board of Fingerprinting evaluates good-cause exceptions for people who require a fingerprint clearance card and whose fingerprint clearance cards have been denied or suspended by the Department of Public Safety. The Board also determines central registry exceptions for individuals who fail to clear a background check.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	549.1	707.0	707.0
Total Funding	**549.1**	**707.0**	**707.0**
FTE Positions	**6.0**	**7.0**	**7.0**

5 Year Plan

Issue 1 Timeliness and statutory time frames

Description The Board's statutes require portions of the application process to be completed within specific time frames. A.R.S. § 41–619.55 requires the Board to comply with the following time frames.

• 20 days from receipt of application (which is defined in A.A.C. R13-11-104) to expedited review (which is the initial review by the Board of the application without the applicant being present)
• 45 days from expedited review to administrative hearing
• 80 days from administrative hearing to Board decision

In FY 2019, the Board Investigator exceeded the Board's goal for the percentage of recommendations accepted. This very high acceptance rate makes Board meetings more efficient. The Board received a slight decrease (8.93%) in applications this Fiscal Year after a record high in FY 2018. The Board continues to processes applications very efficiently. Overall wait times for applicants continues to decline. Average number of days spent processing applications from receipt to expedited review decrease by 6.97%. The Board is in near 100% compliance with all statutory time frames. The Board communicates with applicants effectively and efficiently based on the high level of applications completed on initial submission.

In upcoming fiscal years, the Board will continue to take steps to reduce the time for processing applications and achieve full statutory compliance in all areas. Reducing processing time will help return eligible applicants to work more quickly.

Solutions:
• Improve the database and Board technology to reduce the amount of time spent entering data.
• Assess whether additional staff are needed to handle the increasing workload.
• Cross-train staff to help cover the investigator's caseload during high-caseload periods.
• Schedule hearings more frequently to decrease applicant wait time.

Issue 2 Improve e-government services

Description Government agencies have increasingly used new technology to improve the accessibility and ease of use of government services. Although there are some obstacles unique to the Board—for example, it receives documents from numerous agencies, especially in rural areas, that still rely on paper—the Board nonetheless believes that opportunities exist for electronic services. The Board updated its websiite in FY 2019, and is woking on having its application processes available for submission online by FY 2021.

The Board believes that improving e-government services is necessary not just for the purpose of keeping up with dominant business-process trends but also to increase accessibility to applicants. The Board does not have the resources to establish field offices or to travel extensively, but some applicants live far from Phoenix and would benefit from the ability to attend meetings and hearings by videoconference. Expanding these services would limit the disproportionate impact on applicants who live far from Phoenix.

Solutions:
• Identify security and legal issues and, as necessary, receive ASET approval.
• Work with ASET on a plan to migrate the Board application process to a web based interface.
• Approve funding in budgets for future fiscal years.

Issue 3 Review of statutes

Description A.R.S. §§ 41–1758.03 and 41–1758.07 identify the crimes that require the Department of Public Safety to deny or suspend a fingerprint clearance card. These lists of crimes were developed and modified primarily through collaboration among several state agencies: the Board, the Department of Public Safety, and the agencies that require fingerprint clearance cards. On occasion, these agencies have reviewed the lists to identify new needs and changes to the criminal code and have requested legislative changes and to identify areas where the statutes are not working well.

In 2012, the Legislature established the central-registry exception process at the Board of Fingerprinting. Since the establishment of the central registry exception, the Legislature has added new programs to the system of using Central Registry background checks. The statutes for the central-registry exception application process require periodic review and appropriate modification. The Board should review of the process and have a discussion with appropriate stakeholders.

Solutions:

• Hold regular meetings of stakeholders to discuss appropriate modification or clarification of statutes.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	7.0	7.0	7.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	707.0	707.0	707.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To make fair and consistent determinations on good-cause-exception applications.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of investigator recommendations for expedited reviews accepted.	99.59	96	99.69	96	96
Percent of applications approved.	98.96	96	98.81	96	96
Explanation: Excludes applications that are closed administratively.					
Percent of approvals by expedited review.	95.86	95	95.93	95	95
Percent of approvals by administrative hearing.	4.14	5	4.07	5	5

◆ **Goal** 2 To provide applicants with timely decisions on their good-cause-exception applications.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of good-cause-exception applications received	4,008	3,000	3650	3200	3400
Number of applications disposed.	4007	3000	3723	3200	3400
Ratio of cases opened to cases closed.	1:.99	1:1	1:1.02	1:1	1:1
Average number of days to disposition	19.32	30	20.01	30	30
Average number of days spent processing application.	13.35	20	13.42	20	20
Average number of days spent processing application from receipt to expedited review.	8.32	12	7.74	12	12
Average days from expedited review to hearing.	34.95	35	35.25	35	35
Average days from scheduled hearing to hearing decision/completion.	45.56	55	65.47	65	65
Percent of applications that undergo an expedited review within 20 days (processing time).	99.97	100	99.89	100	100
Percent of applications heard within 45 days of expedited review.	100	100	100	100	100
Percent of applications decided within 80 days of hearing.	100	100	100	100	100

◆ **Goal** 3 To develop fair and comprehensible rules, policies, and procedures for determining good cause exceptions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of applications complete on initial submission.	89.80	85	89.72	85	85

Agency Summary

FORESTRY AND FIRE MANAGEMENT

David Tenney, State Forester
Phone: (602) 771-1400
A.R.S. §§ 37-1301 to 37-1426

Mission:

To foster, maintain, and enhance collaboration with partners, stakeholders, and cooperatiors to: proactively promote the health and safety of Arizona's forests, woodlands, deserts, and watersheds; encourage fire-adapted communities; provide leadership and oversight of resources in wildfire response; and ensure fire saftey in public buildings through the enforcement of the state fire code.

Description:

The Arizona Department of Forestry and Fire Management (DFFM), in partnership with local, county, state, and federal agencies, protects Arizona's people and lands by: providing coordination and resource response for the suppression and management of wildland fire; delivering education to aid in the prevention of wildland fire; providing information, education, technical assistance, and integrated management strategies through forestry programs; collaborating in forest restoration; and ensuring fire and life safety through regular building inspections, permitting, and plan reviews.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ STATE FORESTER	75,823.3	70,154.9	70,154.9
➢ EASTERN COUNTIES ENVIRONMENT GRANTS	250.0	250.0	250.0
➢ STATE FIRE MARSHAL	926.5	1,924.6	1,924.6
Agency Total:	**76,999.8**	**72,329.5**	**72,329.5**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	10,176.5	15,917.4	15,917.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	66,823.3	56,412.1	56,412.1
Total Funding	**76,999.8**	**72,329.5**	**72,329.5**
FTE Positions	**154.4**	**157.3**	**157.3**

Department of Forestry and Fire Management

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: David Tenney
Strategic Planner: Bill Boyd
Last modified: 07/31/2019

Vision: An Arizona whose diverse landscapes are healthy and whose people are protected from the threat of fire.

Mission: Foster, maintain, and enhance collaboration with partners, stakeholders, and cooperators to: proactively promote the health and safety of Arizona's forests, woodlands, deserts, and watersheds; encourage fire-adapted communities; provide leadership and oversight of resources in wildfire response; and ensure fire safety in public buildings through the enforcement of the state fire code.

Agency Description: The Arizona Department of Forestry and Fire Management (DFFM), in partnership with local, county, state, and federal agencies, protects Arizona's people by: providing coordination and resource response for the suppression and management of wildland fire; delivering education to aid in the prevention of wildland fire; providing information, education, technical assistance, and integrated management strategies through forestry programs; collaborating in forest restoration; and ensuring fire and life safety through regular building inspections, permitting, and plan reviews.

Executive Summary: The Arizona Department of Forestry and Fire Management (DFFM) identified four strategic priorities to reach our vision.

Improving the Natural Environment: Promote and assist in landscape-scale forest restoration throughout Arizona. Increase the effectiveness of our Hazardous Vegetation Removal and invasive plant treatments.

Promoting Public Safety: increase overall compliance rates of facilities inspected by the Office of the State Fire Marshal.

Increase Fire Management Program Effectiveness and Efficiency: Improve coordination and collaboration with partners for efficient response and use of resources.

Maximizing Agency Effectiveness and Efficiency: integrate the Arizona Management System into agency practices and conduct a thorough analysis of DFFM activities.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Improve the Natural Environment	2019	Successfully engaged with the USFS on 4FRI RFP development. HVR program implemented in 2016. Increased acres treated 2017, 2018, 2019.
2	Promote Public Safety	2016	Agency has conducted an internal review and has identified opportunities for improvements.
3	Increase Fire Management Program Effectiveness and Efficiency	2018	Reduced cooperator invoice processing time from 90 days to less than 10 days. In FY 2020 the Governor increase BSF monies available to reimburse cooperators for federal fires to $20 M. Negotiations with the feds allow for more frequent invoicing.
4	Maximize Agency Effectiveness and Efficiency	2016	DFFM started implementing AMS in 2016 under old leadership. Full review in process.

Department of Forestry and Fire Management

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	The successful award of a 4 Forest Restoration Initiative (4FRI) contract to treat 30-40,000 acres per year for 20 years.	Number of acres awarded under 4FRI Contract.	Influence the implementation and successful execution of 4FRI contract. Year one: RFP development; bid evaluations; monitoring contract awarded. Oversight plan created and in place.
1	Increase number of acres treated for invasive plant eradication.	Dollars encumbered. Acres under agreement/plan. Cost per acre. Values at risk protected	Create multi-year state-funded invasive plant species eradication program. Year one: Develop project inventory, establish cooperator agreements, ensure available funding is encumbered, create tracking and monitoring system.
1	Increase number of acres treated using the Hazardous Vegetation Removal (HVR) program.	Dollars encumbered. Acres under agreement/plan. Cost per acre. Values at risk protected.	Enhance HVR program through leveraging federal and state funds to maximize acres treated. Year one: Increase collaboration with partners; establish additional partnerships; development of project inventory and enhance project tracking; create project prioritization planning tools for treatment of hazardous fuels.
2	Building inspection frequency and plan review requirements re-established.	Customer buildings compliant with the state fire code.	Clarify and improve inspection and plan review processes. Year one: Conduct analysis of the Office of the State Fire Marshal (OSFM). Establish leadership in the OSFM. Collaborate with other governmental entities to find efficiencies and eliminate redundancies.
3	Increase % of DFFM staff trained in resource utilization and cost-sharing negotiation. Increase percent of cooperator agreements that have standardized equipment rates.	% of staff trained for each type of incident. % of cooperators agreements with standardized equipment rates. Cost per acre for cost share and state fires.	Improve coordination and collaboration with partners for efficient response and use of resources. Year one: Develop matrix of percentage of staff trained in cost-sharing for Type I, II and III Incidents and continue cost-share training; Complete the standardization and implementation of equipment rates. Implement annual training for cooperators.
4	Increase % of staff trained in and utilizing AMS tools. Increase AMS Maturity Score.	% of staff trained in and utilizing AMS tools. AMS Maturity Score	AMS re-boot beginning in 2019. Year one: Establish metrics that align with statute and budget. Identify and empower agency AMS lead. Kaizen of OSFM August 2019, Kaizen of fire program fall of 2019.

5 Year Plan

Issue 1 Improving the natural environment.

Description Promote and assist in landscapescale forest restoration throughout Arizona. Increase the effectiveness of our hazardous vegetation removal and invasive plant treatments.

Solutions:

-The successful award of a 4 Forest Restoration Initiative (4FRI) contract to treat 30,000 - 40,000 acres per year for 20 years.

- Increase number of acres treated for invasive plant eradication.

- Increase number of acreas treated using the Hazardous Vegetation Removal (HVR) program.

Issue 2 Promoting public safety.

Description Increase overall compliance rates of facilites inspected by the Office of the State Fire Marshal.

Solutions:

- Building inspection frequency and plan review requirements re-established.

Issue 3 Increase fire management program effectiveness and efficiency.

Description Improve coordination and collaboration with partners for efficient response and use of resources.

Solutions:

- Increase percent of DFFM staff trained in resource utilization and cost-sharing negotiation.

- Increase percent of cooperator agreements that have standardized equipment rates.

Issue 4 Maximize agency effectiveness and efficiency.

Description Integrate the Arizona Management System (AMS) into agency practices and conduct a thorough analysis of DFFM activities.

Solutions:

-Increase percent of staff traned in and utilizing AMS tools.

- Increase AMS maturity score.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	118.4	118.4	118.4
General Fund	12,717.4	12,717.4	12,717.4
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	2,075.0	2,075.0	2,075.0

Program Summary

STATE FORESTER

David Tenney, State Forester
Phone: (602) 771-1400
A.R.S. §§ 37-1301 to 37-1426

Mission:

To foster, maintain, and enhance collaboration with partners, stakeholders, and cooperatiors to: proactively promote the health and safety of Arizona's forests, woodlands, deserts, and watersheds; encourage fire-adapted communities; provide leadership and oversight of resources in wildfire response; and ensure fire saftey in public buildings through the enforcement of the state fire code.

Description:

The Arizona Department of Forestry and Fire Management (DFFM) in partnership with local, county, state, and federal agencies, protects Arizona's people by: providing coordination and resource response for the suppression and management of wildland fire; delivering education to aid in the prevention of wildland fire; providing information, education, technical assistance, and integrated management strategies through forestry programs; collaborating in forest restoration; and ensuring fire and life safety through regular building inspections, permitting, and plan reviews.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,036.0	13,746.1	13,746.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	66,787.3	56,408.8	56,408.8
Total Funding	**75,823.3**	**70,154.9**	**70,154.9**
FTE Positions	**144.5**	**147.4**	**147.4**

◆ **Goal** 1 To improve the natural environment.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Acres under agreement/plan for the HVR program.	0	0	47,565	60,000	60,000

◆ **Goal** 2 To increase fire management program effectiveness and efficiency.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of cooperator agreements with standardized equipment rates.	0	0	0	100	100

◆ **Goal** 3 To maximize agency effectiveness and efficiency.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Increase AMS maturity score.	0	0	0	5.0	5.0

Program Summary

EASTERN COUNTIES ENVIRONMENT GRANTS

David Tenney, State Forester
Phone: (602) 771-1400
FILL IN

Mission:

To foster, maintain, and enhance collaboration with partners, stakeholders, and cooperatiors to: proactively promote the health and safety of Arizona's forests, woodlands, deserts, and watersheds; encourage fire-adapted communities; provide leadership and oversight of resources in wildfire response; and ensure fire saftey in public buildings through the enforcement of the state fire code.

Description:

The Arizona Department of Forestry and Fire Management (DFFM) in partnership with local, county, state, and federal agencies, protects Arizona's people by: providing coordination and resource response for the suppression and management of wildland fire; delivering education to aid in the prevention of wildland fire; providing information, education, technical assistance, and integrated management strategies through forestry programs; collaborating in forest restoration; and ensuring fire and life safety through regular building inspections, permitting, and plan reviews.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	250.0	250.0	250.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**250.0**	**250.0**	**250.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To pass through all funding appropriated for this purpose.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Maintain the percentage of funding appropriated for this purpose that passes through.	100	100	100	100	100

Program Summary

STATE FIRE MARSHAL

David Tenney, State Forester
Phone: (602) 771-1400
A.R.S. §§ 37-1301 to 37-1426

Mission:

To foster, maintain, and enhance collaboration with partners, stakeholders, and cooperatiors to: proactively promote the health and safety of Arizona's forests, woodlands, deserts, and watersheds; encourage fire-adapted communities; provide leadership and oversight of resources in wildfire response; and ensure fire saftey in public buildings through the enforcement of the state fire code.

Description:

The Arizona Department of Forestry and Fire Management (DFFM) in partnership with local, county, state, and federal agencies, protects Arizona's people by: providing coordination and resource response for the suppression and management of wildland fire; delivering education to aid in the prevention of wildland fire; providing information, education, technical assistance, and integrated management strategies through forestry programs; collaborating in forest restoration; and ensuring fire and life safety through regular building inspections, permitting, and plan reviews.

This Program Contains the following Subprograms:

- State Fire Marshal
- Fire School

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	890.5	1,921.3	1,921.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	36.0	3.3	3.3
Total Funding	**926.5**	**1,924.6**	**1,924.6**
FTE Positions	**9.9**	**9.9**	**9.9**

Subprogram Summary

STATE FIRE MARSHAL

David Tenney, State Forester
Phone: (602) 771-1400
A.R.S. §§ 37-621 to 37-661

Mission:

To foster, maintain, and enhance collaboration with partners, stakeholders, and cooperatiors to: proactively promote the health and safety of Arizona's forests, woodlands, deserts, and watersheds; encourage fire-adapted communities; provide leadership and oversight of resources in wildfire response; and ensure fire saftey in public buildings through the enforcement of the state fire code.

Description:

The Arizona Department of Forestry and Fire Management (DFFM) in partnership with local, county, state, and federal agencies, protects Arizona's people by: providing coordination and resource response for the suppression and management of wildland fire; delivering education to aid in the prevention of wildland fire; providing information, education, technical assistance, and integrated management strategies through forestry programs; collaborating in forest restoration; and ensuring fire and life safety through regular building inspections, permitting, and plan reviews.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	718.2	748.6	748.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	36.0	3.3	3.3
Total Funding	**754.2**	**751.9**	**751.9**
FTE Positions	**9.0**	**9.0**	**9.0**

◆ **Goal** 1 To promote public safety.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of costomer buildings compliant with the state fire code.	0	0	0	100	100

Subprogram Summary

FIRE SCHOOL

David Tenney, State Forester
Phone: (602) 771-1400
A.R.S. §§ 37-1301 to 37-1426

Mission:

To foster, maintain, and enhance collaboration with partners, stakeholders, and cooperatiors to: proactively promote the health and safety of Arizona's forests, woodlands, deserts, and watersheds; encourage fire-adapted communities; provide leadership and oversight of resources in wildfire response; and ensure fire saftey in public buildings through the enforcement of the state fire code.

Description:

The Arizona Department of Forestry and Fire Management (DFFM) in partnership with local, county, state, and federal agencies, protects Arizona's people by: providing coordination and resource response for the suppression and management of wildland fire; delivering education to aid in the prevention of wildland fire; providing information, education, technical assistance, and integrated management strategies through forestry programs; collaborating in forest restoration; and ensuring fire and life safety through regular building inspections, permitting, and plan reviews.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	172.3	1,172.7	1,172.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**172.3**	**1,172.7**	**1,172.7**
FTE Positions	**0.9**	**0.9**	**0.9**

◆ **Goal** 1 To provide fire training.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Dollars (in thousands) passed thru to fire school.	0	0	100.0	100.0	100.0

Agency Summary

BOARD OF FUNERAL DIRECTORS AND EMBALMERS

Judith R. Stapley, Executive Director
Phone: (602) 542-8152
A.R.S. §§ 32-1301 et seq.

Mission:

To maintain and enforce a set of standards that provide protection for the health, safety, and welfare of Arizona citizens by educating consumers and actively and impartially regulating licensees that provide funeral goods and services.

Description:

The Board of Funeral Directors and Embalmers examines and licenses individuals that provide funeral goods and services. The Board also receives complaints against licensees, investigates allegations, and administratively adjudicates complaints.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	346.8	399.7	399.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**346.8**	**399.7**	**399.7**
FTE Positions	**4.0**	**4.0**	**4.0**

5 Year Plan

Issue 1 Seek to reclassify one full-time position to two, part-time positions.

Description The Board has had four, full-time employees on staff for more than forty years to maintain daily operations and remain compliant with inspecting all licensed establishments and crematories. Previously, staff consisted of the Executive Director, Deputy Director, Compliance Officer and an Administrative Assistant. This was disrupted when funds were swept from the Board cash balance a few years back. Since that time, Board staff have struggled to remain compliant with inspections, investigations, licensing requirements as well as the overall daily operations of the agency. Presently, Board staff consists of the Executive Director, Investigator (this position was previously the Deputy Director), Licensing Administrator and a quarter-time Administrative Assistant. When the agency previously tried to fill the Deputy Director position, although no reasons were ever given, the Director of Arizona Department of Administration (ADOA) would not allow the agency to use the term "Deputy Director". For this reason, the position title was changed to Investigator. The change of moving the Administrative Assistant to a part-time position and the addition of a part-time Compliance Officer will not change the staffing count of the current 4 full-time employees, rather restructure it to better accommodate the agency. Additionally, Board staff are entering into an Interagency Service Agreement with the Veterinary Board to begin inspecting all pet crematories in the State as well as reviewing if jurisdiction should be ultimately transferred to the Funeral Board. Lawmakers are also seeking the jurisdiction of all funeral escort employees, businesses and vehicles be licensed and inspected by the Funeral Board. The Agencies current revenue level is sufficient to support this reclassification, however, additional appropriation is required.

Solutions:

The Executive Director will seek to work with Department of Administration/Human Resources to reclassify one full-time position into two part-time positions. Additionally, the Director will seek funding appropriation through a budget justification for FY21.

Issue 2 Seek rule moratorium exemption to amend several items directly related to going paperless and moving all processes online.

Description There are several rules that need to be changed in accommodating the Board's new E-Licensing process. There are many requirements for a notarized signature that could easily be replaced with online signatures or attestation.

Solutions:

The Executive Director will seek to have the rules amended that impede the online, paperless initiative.

Issue 3 Seek rule moratorium exemption to amend the current requirement for Continuing Education for licensed Funeral Directors and Embalmers.

Description Currently, licensed Funeral Directors and Embalmers are required to complete twelve hours of Continuing Education annually. This is not in line with national standards and should be reduced to six hours annually.

Solutions:

The Executive Director will seek to have rules amended to reduce the requirement for Continuing Education hours from twelve to six annually for licensed Funeral Directors and Embalmers.

Issue 4 Seek to improve the E-Licensing process so that the basic functionality meets the needs of all users.

Description Since going live with an online licensing process, the Board of Funeral Directors and Embalmers has continued to work with ADOA ASET to correct problems within the system. The database should not be proprietary; however, if users are not utilizing Google Chrome as their browser, they are not able to upload necessary documents within the system. Additionally, the online process does not support the use of any device other than a personal computer. The Board continues to have issues with the database processing applications for licensure, which are impeding the overall process. The issues between the database and JBilling continue to be problematic which, causes the licensed community to question whether or not their application was submitted complete, including payment. This in turn causes users to make double payments that must then be refunded by Board staff. The way the database was implemented leaves Board staff unable to correct many of the problems that arise in the system. The result of Board staff not being able to correct many problems leaves the only option of creating a ticket that is sent to ADOA ASET every time a problem needs to be addressed.

Solutions:

The Board appears to have no choice other than continuing to work with ADOA ASET, and all other Boards involved in this new online process. We will carry on the pursuit to identify how best to continue implementation of a working E-Licensing process that will benefit all users in the state. ASET is handling all negotiations with programing and those with administrative privileges, utilizing their expertise in technology in an effort to correct the current inefficiencies, resolve problems, and assist the Boards.

Issue 5 Consideration of implementation of Alkaline Hydrolysis as another method of disposition.

Description Currently, twenty-one states recognize Alkaline Hydrolysis as a legal method of disposition. This issue is gaining momentum throughout the nation as the rate of cremation continues to increase. Arizona currently has a rate of 69% cremation that has had a steady increase over the last many years.

Solutions:
The Executive Director will continue to research the topic and work with local authorities to explore the possibility of implementing this method of disposition in Arizona.

Issue 6 Seek rule moratorium exemption to eliminate and improve clarity and verbiage of antiquated rules.

Description There are several rules that need to be eliminated or changes to reflect current industry practice and issues.

Solutions:
The Executive Director will seek to have these rules amended.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	4.0	4.0	4.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	422.8	422.8	422.8
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To ensure that licenses are only granted and renewed to competent individuals with high standards of professional and ethical conduct.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Applications received	1843	1935	1844	1875	1900
Licenses issued	1843	1935	1843	1875	1900
Applications denied	0	0	1	0	0
Average days to process license	30	30	30	30	30
Number of investigations	72	60	31	30	30
Number of inspections	13	90	48	60	60
Number of complaints received	18	17	31	30	30
Average number of days to investigate	0	30	72	70	70
Average number of days to renew license	0	1	1	1	1

◆ **Goal** 2 To ensure and enforce that information is made available to both the consumer and the licensee that educates them to the standards of practice relating to providing funeral goods and services.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of consumers receiving pamphlet determined through information received through complaint investigations.	100	100	100	100	100
Disciplinary action resulting from continuing education violations	0	0	0	0	0
Number of inspections conducted to detect deficiencies or possible violations.	13	100	48	60	60

◆ **Goal** 3 To actively and impartially investigate allegations and complaints and provide enforcement to protect the public from incompetent services and unprofessional, unethical, and illegal conduct.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints processed	18	19	31	30	30
Disciplinary actions taken	3	0	6	4	4
Completed establishment inspections	13	100	48	60	60
Number of complaints received	18	19	31	30	30
Average days to investigate complaint	30	30	72	70	70
Number of licenses	1843	1935	1843	1875	1900

Agency Summary

GAME AND FISH DEPARTMENT

Ty Gray, Director
Phone: (623) 236-7279
A.R.S. §§ 17-201 et seq.; 5-311 et seq.; 28-1176 et seq.

Mission:

To conserve and manage Arizona's diverse wildlife resources for safe, compatible, outdoor recreation opportunities for current and future generations.

Description:

The Arizona Game and Fish Department carries out its mandates under the policy direction of the Arizona Game and Fish Commission. State law mandates that the Department manage Arizona's wildlife resources, regulate watercraft use, and enforce off-highway vehicle laws. The Department enforces laws that protect wildlife, public health, and safety, and it provides safety education programs and information.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ CENTRAL ADMINISTRATIVE	16,486.6	17,881.9	17,881.9
➢ WILDLIFE CONSERVATION	94,864.1	92,033.4	94,943.4
➢ RECREATION	18,636.5	23,197.3	23,197.3
Agency Total:	**129,987.2**	**133,112.6**	**136,022.6**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	38,726.0	43,979.1	46,979.1
Other Non Appropriated Funds	91,261.2	89,133.5	89,043.5
Total Funding	**129,987.2**	**133,112.6**	**136,022.6**
FTE Positions	**739.8**	**739.8**	**739.8**

Game and Fish Department

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Ty Gray
Strategic Planner: Ryan Babel
Last modified: 6/04/2019

Vision: To be the national conservation leader supporting the continuation of the North American Model of Wildlife Conservation and Arizona's most trusted, respected and credible source for wildlife conservation products, services and information.

Mission: To conserve Arizona's diverse wildlife resources and manage for safe, compatible outdoor recreation opportunities for current and future generations.

Agency Description: The Department carries out its mandates under policy direction of the five-member Arizona Game and Fish Commission. The Department is part of the executive branch of Arizona state government. State law mandates that the Department manage Arizona's wildlife resources, regulate watercraft use and enforce off-highway vehicle laws. Implementing rules and policies, the Department: takes actions to conserve; preserve; manage wildlife; enforce laws that protect wildlife, public health and safety; and provide information and safety education programs.

Executive Summary: Multi-Year strategies are built around the Commission Priority of **Fiscal Sustainment**; the Department's two lines of business: **Wildlife Conservation** and **Recreation**; and **Modernizing Technological Infrastructure**. All while facing challenges to the Commission and Department's authority to manage wildlife.

Being an agency that receives no general fund tax dollars and to ensure financial sustainability into the future, the Department is developing entrepreneurial business models to generate new revenue and to recover or reduce costs.

Wildlife Conservation is subdivided into two programmatic areas: Aquatic and Terrestrial Wildlife, and share many issues and goals. Recreation is subdivided into four programmatic areas: Wildlife Recreation, Shooting Sports, Watercraft, and Off-Highway Vehicle Recreation.

To perform our Mission, communicate, engage, and do business with our customers at the level of a pioneering Conservation Agency, the Department is developing the most updated and innovative information and technology services and systems.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Ensure financial sustainability to fund critical work	2019	Initiated License Dealer-fee savings. New advertising and publication revenue. Donation campaign efforts e.g. "Water for Wildlife". Launched Department fleet consolidation. Services moved or encouraged to go online: hunting and fishing licenses, hunt draw applications.
2	Manage Arizona's diverse wildlife resources and conserve their habitats	2017	Over 160 unique wildlife translocation actions in the last two years, includes 112 Bighorn Sheep and 11 different species that are listed as Threatened or Endangered. Launch of Department's Conserve and Protect Campaign.
3	Provide safe, ethical, responsible, and diverse outdoor recreational opportunities	2017	New wildlife viewing workshops and live action wildlife cameras are reaching new non-traditional customers. Development of nonresident Off-Highway Vehicle Indicia Program.
4	Modernize technological infrastructure	2017	Developed new system to perform Draw results in less than 25 days to customers. Mobile-friendly license and Portal.

Game and Fish Department

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase Revenue by $1M	Increase Game and Fish Fund revenue	Explore areas to increase revenue from traditional and nontraditional sources identified on the Commission's revenue dashboard, without increasing license fees.
		Revenue produced at Ben Avery Shooting Facility	Create new programs and range available to customers for additional fees.
		Dollars from non-resident Indicia	Implement non-resident Off-Highway Vehicle Indicia Program.
1	Build workforce capacity without increasing costs	Volunteer Hours	Transition to Kalkomey, a central volunteer and event management system.
2	Actively manage and conserve Arizona's wildlife	Number of sites for Wildlife Population Enhancement actions	Identify healthy donor populations & habitats & prepare release sites e.g. Renovation at Bear Wallow Creek for native Apache Trout.
2	Habitat Conservation	Number of acres of habitat improved	Compete for 2 expiring Regional Conservation Partnership Program Grants.
		Number of Aquatic Invasive Species Decontaminations and Seals	Execute right of way agreements with ADOT for voluntary inspection/decontamination stations. Begin using new online system to schedule decontaminations.
3	Provide safe recreational opportunities	% of hatchery improvement projects	Increase number of available on-call contracts thru procurement process. Evaluate Engineer FTE dedicated to hatchery improvements.
		Pounds of Sportfish Stocked	
		% of Boating Access Improvements	Construct improvements at Martinez Lake (Colorado River), Lake Pleasant/Aqua Fria River, Show Low Lake, and River Reservoir.
		Officer Field Days	Efficiently utilize Officer time - develop mobile application for recording field contacts. Maintain a schedule of two recruitments per year.
3	Digitally engage with customers across multiple platforms	Number of digital engagements	Expand popular live action Wildlife viewing cameras and presence on social media.
4	Develop the Wildlife Conservation System (Enterprise Resource Planning)	Number of systems moved to the Cloud	Migrate remaining on-premises legacy systems to the Cloud.

5 Year Plan

Issue 1 Active Wildlife Conservation in a state that is diverse, culturally and in wildlife-related interests

Description The ability of the Department to adequately represent current public interests is being tested by an ongoing societal shift in the way people value and interact with wildlife. The Department conserves game, sport fish and nongame wildlife species, primarily using revenues from discretionary spending of customers relating to hunting and fishing license sales. Increasingly, fewer people are participating in hunting and fishing, yet there has been growth in other forms of wildlife-related recreation, such as wildlife viewing. Although valuable and contributory to local economies, these activities (e.g. wildlife viewing) provide little direct revenue for the Department. Tied to these trends is the increasing interest in providing input in how wildlife is managed. People have many different preferences for wildlife-related programs and services. Greater diversity in viewpoints has contributed to increased conflict, as well as contradictory social values among stakeholders. Because of these challenges, the Department will continue to endure challenges to its authority through mechanisms such as legislation, ballot initiatives and public referenda.

Adding to the challenges are demographic changes that have led to greater ethnic diversity and a more urbanized society. Given the growing influence of minorities, engaging those communities in the Department's management is important to the Department's future. The long-term success of the Department is contingent upon its ability to reach and provide services for audiences that are diverse, both in terms of their cultural heritage as well as their wildlife-related interests.

Solutions:

- Maintain State's authority to conserve wildlife
- Encourage partner-hosted wildlife recreation events.
- Pursue funding to enhance wildlife viewing opportunities.
- Identify and reduce the barriers to participation in wildlife-related recreation.
- Encourage greater participation in commission meetings by holding them in various regions of the state and offer electronic means to participate for those that cannot attend.
- Perform social science research to achieve a greater understanding of the Department's constituency.
- Execute programs designed to engage ethnically diverse audiences.
- Ensure broad-based public input into hunt guidelines and recommendations, and Commission Orders.
- Provide law-enforcement to enhance wildlife conservation and public safety.
- Collaborate with other Arizona state agencies to address public resource issues.

Issue 2 Maintain and improve wildlife habitats

Description There are extensive demands on natural resources. The State is not out of its long-term drought yet, and severe wildfires over the past decade have significantly impacted wildlife habitats. Arizona is also still one of the fastest growing states, and urban sprawl, leap frog development, and associated infrastructure is negatively impacting wildlife. This trend is expected to continue. Invasive species are increasingly causing problems (quagga mussels in the Colorado River Lakes and Lake Pleasant; bufflegrass; and other invasive species). Habitat loss, fragmentation, and continued threats to the health and diversity of these habitats create challenges for the Department's wildlife management efforts. The Department must use its limited resources efficiently to maintain and improve habitats for Arizona's wildlife through habitat enhancements, sustainable land-use, water catchment development, wildlife translocations, and other means. Partnerships and cooperation with federal, state, tribal and local governments, conservation and recreational organizations, private landowners, and individual citizens will be crucial to future success.

Solutions:

- Secure and manage land and water for wildlife conservation and recreation.
- Seek to avoid, minimize or mitigate impacts to wildlife resources.
- Actively conserve statewide wildlife corridors and habitats through partnerships, policy, and direct conservation actions.
- Collaborate with private, federal, state, municipal, and other land and water management interests to ensure that the needs of wildlife and wildlife habitats are considered during long and short range planning processes.
- Develop plans, recommendations, and guidelines for mitigating losses or for enhancement of fish and wildlife populations and their habitats.
- Develop wildlife water sources to alleviate this limiting factor of wildlife in arid portions of Arizona.
- Reduce the impacts of introduced invasive species.
- Encourage landowners to utilize their land that is compatible with wildlife.
- Limit the impacts of off-highway vehicles on habitat.
- Reduce the transference of aquatic invasive species between water bodies.

Issue 3 Long-term, stable funding for the future

Description Funding received by the Department to support wildlife management and recreation, and shooting sports, watercraft and OHV management is linked to expenditures of the public's discretionary funds. Revenues, whether from the purchase of licenses, tags or stamps, lottery tickets, gaming, watercraft registrations or off-highway vehicle decals are a result of discretionary purchases by the public. As a result, many revenue sources have decreased, yet overall operational costs have increased (e.g. health care benefits, fuel, trout production, etc). Because the Department must manage operations consistent with revenue, a reduction in management, educational programs, or enforcement may cause a decline in public satisfaction with ongoing work efforts.

Solutions:

- Develop entrepreneurial business models to secure adequate funding to support wildlife conservation and manage recreation.
- Maintain authority to set license structure by rule.
- Leverage partnerships with business, industry and nonprofit organizations to increase wildlife conservation capacity, funding and recreational opportunities.
- Foster a culture of individual fiscal responsibility and accountability.
- Improve systems to enhance monitoring of budget and expenditures, and to ensure transparency.
- Enforce the public use of off-highway vehicle decals.

Issue 4 Customer Service and Engagement

Description To retain existing customers and recruit new ones, the Department is focused on continuous improvement. Setting targets, tracking performance and employing necessary counter measures to close gaps are tools that allow the Department to protect public trust assets, ensure fiscal accountability, improve compliance with appropriate laws and regulations, all while protecting employees and customer health and safety to effectively maximizes value to customers while minimizing waste.

The Department must also be responsive to sometimes conflicting constituent desires, and must balance those desires with science-based management decisions and available financial resources. Arizona has the highest wildlife diversity of any inland state (over 800 are native). Conserving and restoring wildlife diversity, on a landscape shared with humans, is fraught with controversy, legal implications and social barriers. Some Department wildlife management programs focus on identifying threats and stressors and reducing their effects. Ultimately, the Department aims to keep common species common and to conserve and restore imperiled species in the public trust

Solutions:

- Communicate to local and state entities, the economic value of hunting, fishing, wildlife and other outdoor- related recreation.
- Expand alliance with business and industry to support wildlife conservation and recreation.
- Provide information and education regarding wildlife and recreation.

Issue 5 Effective Workforce

Description Implementation of the Department's Mission, values and competencies demand a professional and well-trained work force that reflects the diversity of Arizona.

To manage operations consistent with revenue, full-time employees, temporary workforce (part-time employees, interns and volunteers) play an important role in helping the Department meet the goals and objectives to manage wildlife and provide wildlife recreational opportunity for current and future generations.

Solutions:

- Cultivate an engage, highly productive workforce (employees and volunteers) to accomplish Agency objectives.
- Develop future leaders.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

CENTRAL ADMINISTRATIVE

Tom Finley, Deputy Director
Phone: (623) 236-7279
A.R.S. Title 17, A.R.S. Title 5

Mission:

To effectively manage the Department, and ensure accountability for all Department activities.

Description:

Under the provisions of A.R.S. § 17-211 the Arizona Game and Fish Director is responsible for the supervision and control of all activities, functions, and employees of the Department and shall enforce all provisions of this title including all Commission rules and orders.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	7,818.0	8,388.0	8,388.0
Other Non Appropriated Funds	8,668.6	9,493.9	9,493.9
Total Funding	**16,486.6**	**17,881.9**	**17,881.9**
FTE Positions	**84.5**	**84.5**	**84.5**

◆ **Goal** 1 To ensure financial sustainability to fund critical work.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
To increase Game and Fish Fund revenue from sources identifed on the Commission's revenue dashboard by 1 million dollars.	0	0	0	1,000,000	0

◆ **Goal** 2 To build workforce capacity without increasing costs.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Increase the number of volunteer hours to 137k.	125,0750	126,000	130,950	137,000	0

◆ **Goal** 3 To modernize technological infrastructure.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of legacy systems improved and migrated to the Cloud	0	0	0	14	0

Program Summary

WILDLIFE CONSERVATION

Jim DeVos, Assistant Director
Phone: (623) 236-7302
A.R.S. §§ 17-101 et seq;

Mission:

To conserve Arizona's diverse wildlife resources for current and future generations.

Description:

The Wildlife Conservation Program conserves wild mammals, birds, fish, reptiles, amphibians, mollusks and crustaceans. The Department organizes these types of wildlife into game, nongame and sportfish, each represented in its own subprogram. Additionally, this program houses the wildlife conservation subprogram that provides essential functions to enable other wildlife conservation subprograms. These support services include: enforcing of laws meant to conserve wildlife, providing governance, conserving habitat, conducting research, and providing public education.

This Program Contains the following Subprograms:

- Wildlife Conservation
- Game Wildlife Program
- Sportfish Program

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	24,905.9	28,341.8	31,341.8
Other Non Appropriated Funds	69,958.2	63,691.6	63,601.6
Total Funding	**94,864.1**	**92,033.4**	**94,943.4**
FTE Positions	**517.3**	**517.3**	**517.3**

Subprogram Summary

WILDLIFE CONSERVATION

Jim DeVos, Assistant Director
Phone: (623) 236-7302
A.R.S. §§ 17-101 et seq;

Mission:

To conserve Arizona's diverse wildlife resources for current and future generations.

Description:

The wildlife conservation subprogram provides support services to the other subprograms within the Wildlife Conservation Program. Specifically this subprogram enforces laws meant to conserve wildlife, provides governance, conserves habitat, conducts research, and provides public education.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	13,185.3	20,497.4	20,497.4
Other Non Appropriated Funds	9,747.0	16,365.4	16,365.4
Total Funding	**22,932.3**	**36,862.8**	**36,862.8**
FTE Positions	**173.6**	**173.6**	**173.6**

◆ **Goal** 1 To actively manage and conserve Arizona's wildlife.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Perform 12% more wildlife population enhancement actions	0	0	74	83	0

Subprogram Summary

GAME WILDLIFE PROGRAM

Josh Avey, Terrestrial Wildlife Branch Chief
Phone: (623) 236-7385
A.R.S. §§ 17-101 et seq;

Mission:

To manage game wildlife populations and their habitats to maintain the natural diversity of Arizona, and to manage for game wildlife oriented recreation opportunities.

Description:

Arizona is host to many species of wildlife. Those mammals and birds which are actively hunted are considered game animals. Hunting can be a management tool for the Department and is an important recreational past-time and valued heritage for those who participate. Management of game includes inventory of game populations and regulation of harvest to provide sustained recreational opportunities. Management also includes assessing habitat conditions, evaluating formerly occupied habitat for potential re-introduction of species, enforcing regulations, and providing input on land management actions that potentially impact game habitats. The program also emphasizes the need to recruit and retain hunters so that the Department has managed hunts available as a management tool.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	11,720.6	7,844.4	10,844.4
Other Non Appropriated Funds	60,211.2	47,326.2	47,236.2
Total Funding	**71,931.8**	**55,170.6**	**58,080.6**
FTE Positions	**343.7**	**343.7**	**343.7**

◆ **Goal** 1 To perform habitat conservation.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Habitat improvement (Acres)	959,451	750,000	925,607	750,000	750,000

Subprogram Summary

SPORTFISH PROGRAM

Chris Cantrell, Aquatic Wildlife Branch Chief
Phone: (623) 236-7259
A.R.S. §§ 17-101 et seq;

Mission:

To maintain, manage, and enhance the quality, availability, and diversity of sportfishing opportunities; and disseminate information about Arizona's sportfish and sportfishing opportunities.

Description:

The sportfish subprogram is contained within the Fisheries Branch. This subprogram is responsible for sportfish management, production at hatcheries, community fishing opportunities, monitors water quality, and maintaining compliance with federal regulations.

◆ **Goal** 1 To perform habitat conservation.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Perform 250 Aquatic Invasive Species decontaminations and seals on watercraft.	159	150	237	250	0

◆ **Goal** 2 To perform active wildlife conservation and safe recreational opportunities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complete 60% of identified hatchery improvement projects.	0	60	45	60	0

Program Summary

RECREATION

Tony Guiles, Assistant Director
Phone: (623) 236-7280
A.R.S. §§ 17-101 et seq; 5-311 et seq; 28-1176 et seq

Mission:

To manage for safe, compatible outdoor recreation opportunities for current and future generations.

Description:

The Recreation Program assists Arizonan's as they enjoy wildlife compatible outdoor recreation. This is accomplished by activities within each subprogram, in addition to a recreation subprogram that provide essential functions such as enforcing public safety laws, providing governance, ensuring access to recreation, and providing public information.

This Program Contains the following Subprograms:

- Recreation
- Wildlife Recreation
- Shooting Sports
- Watercraft
- Off highway Vehicle

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	6,002.1	7,249.3	7,249.3
Other Non Appropriated Funds	12,634.4	15,948.0	15,948.0
Total Funding	**18,636.5**	**23,197.3**	**23,197.3**
FTE Positions	**138.0**	**138.0**	**138.0**

Subprogram Summary

RECREATION

Tony Guiles, Assistant Director
Phone: (623) 236-7280
A.R.S. §§ 17-101 et seq; 5-311 et seq; 28-1176 et seq

Mission:

To manage for safe, compatible outdoor recreation opportunities for current and future generations.

Description:

The recreation subprogram provides support to the other subprograms within the Recreation Program. Specifically, this subprogram provides support services such as enforcing public safety laws, providing governance, ensuring access to recreation, and providing public information.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**0.0**	**0.0**	**0.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To digitally engage with customers across multiple platforms.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Increase the active digital engagement of customers to 400k.	298,982	320,000	385,458	400,000	0

◆ **Goal** 2 To provide safe recreational opportunites.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Make 110,000 contacts with members of the public by Department Officers.	0	0	113,871	110,000	0

Subprogram Summary

WILDLIFE RECREATION

Scott Lavin, Wildlife Recreation Branch Chief
Phone: (623) 236-7188
A.R.S. §§ 17-101 et seq;

Mission:

To provide a wide range of wildlife-related recreational opportunities to accommodate the diverse wildlife interests of Arizonans.

Description:

The Wildlife Recreation subprogram seeks to create wildlife-related recreation opportunities and develop wildlife recreationists. The Wildlife Recreation subprogram accomplishes this by guiding agency operations and developing partnerships with external organizations. It also provides progressive, incremental, effective programs to recruit, develop, and retain hunters, recreational shooters, anglers, and wildlife viewers in Arizona.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,224.3	2,982.7	2,982.7
Other Non Appropriated Funds	2,956.8	3,762.3	3,762.3
Total Funding	**5,181.1**	**6,745.0**	**6,745.0**
FTE Positions	**38.0**	**38.0**	**38.0**

◆ **Goal** 1 To ensure financial sustainability to fund critical work and provide safe recreational opportunities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Stock 750,000 pounds of sportfish.	0	0	743,000	750,000	0

Subprogram Summary

SHOOTING SPORTS

Michael Raum, Shooting Sports Branch Chief
Phone: (623) 236-7229
A.R.S. §§ 17-241 et seq;

Mission:

To support the development and operations of safe shooting facilities and programs that will provide a quality experience for a variety of shooting sports activities and events.

Description:

The Shooting Sports subprogram manages the statewide shooting ranges program and commission-owned ranges. The statewide shooting ranges program works with organizations, governments, and unaffiliated shooting ranges to improve shooting experiences, foster public safety, and increase accessibility of shooting opportunities for Arizonans. Commission-owned ranges including the Ben Avery Shooting Facility, the Ben Avery Clay Target Center, and several others are managed, operated, or supported by Department personnel, partners, and volunteers.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	223.8	263.0	263.0
Other Non Appropriated Funds	6,531.3	8,519.9	8,519.9
Total Funding	**6,755.1**	**8,782.9**	**8,782.9**
FTE Positions	**57.0**	**57.0**	**57.0**

◆ **Goal** 1 To increase revenue and provide safe recreational opportunities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
To increase revenue at the Ben Avery shooting facility	0	0	0	2,950,000	0

Subprogram Summary

WATERCRAFT

Gene Elms, Law Enforcement Branch Chief
Phone: (623) 236-7307
A.R.S. §§ 5-311 et seq;

Mission:

To promote safe and responsible recreational use of the state's waterways.

Description:

The Watercraft subprogram makes the rules required to carry out all provisions of A.R.S. Title 5, Chapter 3. The Department regulates the registration and operation of watercraft; provides law enforcement, boating-safety education, boating access, and has jurisdiction for a uniform waterway-marking system; and through partners oversees the use of aids-to navigation, hazard and regulatory markers on the waters of Arizona.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	3,554.0	4,003.6	4,003.6
Other Non Appropriated Funds	1,434.8	1,917.9	1,917.9
Total Funding	**4,988.8**	**5,921.5**	**5,921.5**
FTE Positions	**34.0**	**34.0**	**34.0**

◆ **Goal** 1 To provide safe recreational opportunities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complete 100% of Identified Boating Access Improvement Projects.	0	0	0	100	0

Subprogram Summary

OFF HIGHWAY VEHICLE

Gene Elms, Law Enforcement Branch Chief
Phone: (623) 236-7307
A.R.S. §§ 17-456 et seq;A.R.S. §§ 28-1176 et seq;

Mission:

To protect habitat and ensure safe and responsible recreational use of Off Highway Vehicles.

Description:

The Off-Highway Vehicle (OHV) subprogram ensures public safety and conservation of wildlife resources related to OHV issues. This is primarily addressed through actions such as informational and educational programs and administering off-road vehicle law enforcement pursuant to Title, 17, Chapter 4, Article 3 and Title 28, Chapter 3, Article 20.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,711.5	1,747.9	1,747.9
Total Funding	**1,711.5**	**1,747.9**	**1,747.9**
FTE Positions	**9.0**	**9.0**	**9.0**

◆ **Goal** 1 To increase revenue and provide safe recreational opportunities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Dollars from non-resident Off-Highway Vehicle indicia sales	0	0	0	0	0

Agency Summary

DEPARTMENT OF GAMING

Janson T. Vogt, Director
Phone: (602) 771-4263
A.R.S. § 5-604

Mission:

To ethically and effectively regulate gaming, horse racing, and unarmed combat sports, while ensuring that they are conducted in a socially responsible manner.

Description:

The Arizona Department of Gaming (ADG) is the state agency charged with regulating tribal gaming, racing and pari-mutuel/simulcast wagering, and unarmed combat sports. ADG also provides and supports prevention, education, and treatment programs for people and families affected by problem gambling.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ENFORCEMENT	10,964.9	11,343.3	11,343.3
➢ CERTIFICATION	1,831.3	2,388.3	2,388.3
➢ DIVISION OF RACING	2,125.4	2,608.0	2,803.0
➢ BOXING	1,911.4	2,693.2	2,693.2
Agency Total:	**16,833.0**	**19,032.8**	**19,227.8**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,779.5	2,509.5	2,509.5
Other Appropriated Funds	14,699.5	16,054.0	16,249.0
Other Non Appropriated Funds	354.0	469.3	469.3
Total Funding	**16,833.0**	**19,032.8**	**19,227.8**
FTE Positions	**155.8**	**155.8**	**157.8**

Department of Gaming

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Ted Vogt
Strategic Planner: Andrew Hawkes
Last modified: 07/15/2019

Vision: World-Class Gaming Regulation for a Stronger Arizona

Mission: To ethically and effectively regulate gaming, horse racing, and unarmed combat sports, while ensuring that they are conducted in a socially responsible manner.

Agency Description: The Arizona Department of Gaming (ADG) is the state agency charged with regulating tribal gaming, racing and pari-mutuel/simulcast wagering, and unarmed combat sports. ADG also provides and supports prevention, education, and treatment programs for people and families affected by problem gambling, through its Division of Problem Gambling and 24-hour confidential helpline, 1-800-NEXT-STEP.

Executive Summary: In the next five years, there will be significant change within the industries ADG regulates, most notably with the development and implementation of a new AZ Tribal-State Gaming Compact. ADG has identified five strategic priorities to achieve its vision and mission as an enterprise:

- Promote Fair and Effective Regulation While Fostering Social Responsibility
- Strengthen Resource Network
- Provide World-Class Customer Experience
- Increase Operational Effectiveness, Compliance, and Efficiency
- Develop a World-Class Team

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Promote Fair and Effective Regulation While Fostering Social Responsibility	FY17	• Created the Equine Safety Committee, established necropsy protocol, and achieved 100% pre-race exams. • Began regulatory negotiation meetings to modernize the AZ Tribal-State Gaming Compact. • Reviewed 500+ Boxing & MMA rules, the first substantive rule overhaul in 30 years.
2	Strengthen Resource Network	FY19	• Increased problem gambling treatment options and programs.
3	Provide World-Class Customer Experience	FY15	• After stakeholder feedback, completed several AMS breakthrough projects related to licensing/certification processes, resulting in significant reductions to lead times. • Streamlined Annual Compact Compliance Reviews.
4	Increase Operational Effectiveness, Compliance, and Efficiency	FY19	• Implemented 27 documented process improvements, resulting in money, time, and resource savings.
5	Develop a World-Class Team	FY17	• Increased Employee Engagement score from 2.4 in CY '16 to 16.5 in CY '19. • Regrettable Attrition was 12, 11, and 5 employees in FYs '17, '18, and '19, respectively.

Department of Gaming

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase fair and safe operation gaming activities.	# of noncompliant issues, # of drug violations at racetracks	Redefine metric: from reporting only to metric with a target. Include racing and boxing compliance data. Monitor performance and identify countermeasures. Begin breakthrough project to reduce drug violations at racetracks.
1	Decrease racehorse fatalities	# of fatalities, % of pre-race exams	Implement countermeasures identified by the Equine Safety Committee (continued breakthrough project). Engage stakeholders nationwide.
2	Increase number and reach of strategic partnerships	# of strategic partnerships, # of training events, # of individuals reached/trained, % of youth with improved assessment scores post DPG Grant curriculum	Analyze current state and set partnership targets. Award inaugural problem gambling prevention grant, standardize grantee reporting process, and measure effectiveness.
3	Expand online services to stakeholders	% of services online, % of customers using available online services, once implemented	Identify requirements for e-licensing solution and select vendor. Implement online self-exclusion and treatment provider training.
4	Strengthen culture of continuous improvement	# of process improvement records (PIRs) submitted by employees, % of employee ideas implemented, AMS Implementation Score	Create online version of the PIR template, develop a process for employees to submit ideas for review and approval prior to PIR creation, and organize the data related to ideas and approvals. Create and publish internal AMS training videos. 4-box problem solving training sessions with select groups.
4	Strengthen Arizona Department of Gaming's compliance	% of audit developed	Develop comprehensive internal audit and identify audit participants.
5	Develop staff and execute succession planning	% of required succession plans completed	With ADOA assistance, draft succession plans and begin implementation. Identify and begin implementation of talent development strategy.

5 Year Plan

Issue 1 Strategic Priority 1: Promote Fair and Effective Regulation While Fostering Social Responsibility.

Description Laws 1995, Chapter 76 established the Arizona Department of Gaming (ADG) to regulate Tribal gaming statewide. The General Election 2002's Ballot Proposition 202 (the "Indian Gaming Preservation and Self-Reliance Act") stated: "Two percent [of the tribal contributions made to the Arizona Benefits Fund], shall be used by the Department of Gaming to fund state and local programs for the prevention and treatment of, and education concerning, problem gambling." From this language, the Division of Problem Gambling was established under the hospices of ADG to help reduce the impact of problem gambling in Arizona. Finally, In 2015, ADG's responsibilities expanded once more to include regulation and oversight of statewide pari-mutuel wagering, racing and boxing and mixed martial arts events, when the legislature consolidated the Arizona Department of Racing under ADG.

Solutions:

STRATEGIES TO ACHIEVE STRATEGIC PRIORITY 1:

Annual Objective #1: Increase fair and safe operation of gaming activities.

Objective Metrics relating to the fair and safe operation of gaming activities:
A. Number of Noncompliant issues.
B. Number of drug violations at racetracks.

Annual Initiatives relating to the fair and safe operation of gaming activities:
i) Create new metric to track noncompliant issues across all agency divisions.
ii) Racetrack Drug Violation Breakthrough Project.

Annual Objective #2: Decrease Racehorse Fatalities.

Objective Metrics relating to the decrease in racehorse fatalities:
A. Number of Fatalities.
B. Number of Pre-Race Exams.

Annual Initiatives relating to the decrease in racehorse fatalities:
i) Horse Fatality Breakthrough Project.

Issue 2 Strategic Priority 2: Strengthen Resource Network

Description Part of promoting a fair and effective regulatory environment is transparency, communication and establishing trust with all ADG customers. Each of ADG's units communicates with a myriad of stakeholders and regulatory partners on an ongoing basis to ensure compliance through open dialogue and understanding each industries challenges and needs. Strengthening our network of local, state and national partners is central to the success and safety of each industry ADG regulates.

Solutions:

STRATEGIES TO ACHIEVE STRATEGIC PRIORITY 2:

Annual Objective: Increase number and reach of strategic partnerships.

Objective Metrics:
A. Number of Strategic Partnerships.
B. Number of Training Events.
C. Number of Individuals reached / trained.
D. Percentage of Youth with Improved Assessment Scores post DPG Grant Curriculum.

Annual Initiatives:
i) Gather data and set strategic partnerships and external training targets.
ii)Award DPG grants, standardize grantee reporting, and measure effectiveness.

Issue 3 Strategic Priority 3: Provide World-Class Customer Experience

Description To align with Governor Ducey's initiative to "drive innovative IT solutions," and conduct "Government at the speed of business," ADG included in its five-year strategic plan the objective to provide a "world-class customer experience." Streamlining business operations, eliminating paper, waste and outdated processes is central ADG's mission to drive value back to ADG stakeholders through focused efficiency with an aim towards process improvement that customers can feel.

Solutions:

STRATEGIES TO ACHIEVE STRATEGIC PRIORITY 3:

Annual Objective: Expand online services to stakeholders.

Objective Metrics:
A. Percent of services online.
B. Percent of customers using available online services, once implemented.

Annual Initiatives:
i) Identify Requirements for E-Licensing Solution and Select Vendor.
ii) Implement Online Self-Exclusion and Treatment Provider Training.

Issue 4 Strategic Priority 4: Increase Operational Effectiveness, Compliance, and Efficiency

Description ADG is dedicated to the idea of continuous improvement. In FY19, ADG employees submitted 27 separate process improvements that resulted in savings of time and resources across the agency. In FY20, ADG intends to continue to strengthen its culture of continuous improvement by developing a comprehensive internal audit structure to ensure compliance and efficiency of all ADG divisions.

Solutions:

STRATEGIES TO ACHIEVE STRATEGIC PRIORITY 4:

Annual Objective #1: Strengthen Culture of Continuous Improvement

Objective Metrics:
A. Number of Process Improvement Records (PIRs) Submitted by Employees
B. Percent of Employee Ideas Implemented
C. AMS Implementation Score

Annual Initiatives:
i) Create Online Employee Idea Submission; Track separately from PIR's.
ii) AMS Training Videos
iii) 4 Box Problem Solving

Annual Objective #2: Strengthen Arizona Department of Gaming's Compliance.

Objective Metrics:
A. Percent of Audit Developed.

Annual Initiatives:
i) Develop Internal Audit.

Issue 5 Strategic Priority 5: Develop a World-Class Team

Description ADG achieved the highest employee engagement score in FY19 amongst all state agencies. Attracting, retaining and cultivating talent in a thriving economy requires a focus on the present and future states of a dynamic and ever-changing workforce. ADG is engaged in succession planning across all levels of the agency to ensure key are positions filled well into the future.

Solutions:

STRATEGIES TO ACHIEVE STRATEGIC PRIORITY 5:

Annual Objective: Develop Staff and Execute Succession Planning

Objective Metrics:
A. Percent of Required Succession Plans Completed

Annual Initiatives:
i) Draft Succession Plans and Begin Implementation.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	110.0	110.0	110.0
General Fund	2,509,500.0	2,509,500.0	2,509,500.0
Other Appropriated Funds	16,249,000.0	16,249,000.0	16,249,000.0
Non-Appropriated Funds	469,300.0	469,300.0	469,300.0
Federal Funds	0.0	0.0	0.0

Program Summary

ENFORCEMENT

Rudy J. Casillas, Deputy Director
Phone: (602) 771-4263
A.R.S. § 5-602

Mission:

To enforce Arizona Revised Statutes, Title 13, Chapter 33, Gambling Laws and to assist Tribal Gaming Operations, Tribal, State and Local Law Enforcement Agencies with comprehensive investigations of illegal gambling operations within their respective jurisdictions.

Description:

The Department of Gaming enforces the State's gambling laws and assists Tribal Gaming Operations, Tribal, State and Local Law Enforcement Agencies with comprehensive investigations of illegal gambling operations within their respective jurisdictions. This is accomplished through agency research, confidential information sources, citizen complaints and mutual collaboration with law enforcement agencies. The Department of Gaming's enforcement functions are funded by tribal contributions established in Proposition 202, codified in A.R.S. § 5-601.02, and the Tribal-State Compacts.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	10,724.6	11,163.3	11,163.3
Other Non Appropriated Funds	240.3	180.0	180.0
Total Funding	**10,964.9**	**11,343.3**	**11,343.3**
FTE Positions	**87.3**	**87.3**	**87.3**

◆ **Goal** 1 To ensure integrity of Gaming in Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of noncompliant issues identified by the Department.	189	200	217	220	220
Compact Compliance Review (CCR) Potential Issues List delivery lead time.	28	30	24	28	28
Initial contact for new game request lead time.	5.3	7	5	5	5
Reduce the response time to verify validity of criminal inquires from 17.5 to 10 days.	17.5	10	2	2	2

Program Summary

CERTIFICATION

Rudy J. Casillas, Deputy Director
Phone: (602) 771-4263
A.R.S. § 5-602

Mission:

To investigate, evaluate, and determine suitability of gaming employees, financiers, management contractors and providers of gaming services applicants for the issuance or denial of state certification.

Description:

The Department of Gaming receives applications from individuals and entities seeking state certification or recommendations for a Tribal license. The Department will issue a temporary state certification by the close of the next business day following its receipt of a complete employee application, unless the Department has a good faith basis to believe that the person may not qualify for state certification under Compact Section 5(f). Following the completion of a background investigation, if the applicant is found suitable, state certification is granted. At the conclusion of the background investigation of a tribal member, a recommendation is made to the Tribe as to whether the person should receive a tribal license. The Department also conducts background investigations and audits to certify corporations or other entities that provide gaming services to tribal gaming facilities in an amount that exceeds $10,000 per month. Individuals or entities whom are denied, revoked or suspended may exercise administrative procedures pursuant to A.R.S. §§ 41-1092. This program is funded through certification fees and investigative costs established in Section 5(l) of the Tribal-State compacts.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,831.3	2,388.3	2,388.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,831.3**	**2,388.3**	**2,388.3**
FTE Positions	**28.0**	**28.0**	**28.0**

◆ **Goal** 1 To improve services to stakeholders.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of days elapsed from receipt of completed application to the issuance of temporary certification	9.1	12	5	5	5
Average number of days from receipt of application to license issuance for new employee certification applicants.	13.3	17	11	12	12
Average number of days from receipt of application to license issuance for renewal employee certification applicants.	16.4	20	13	12	12
New AB vendors average number of days from receipt of application to certification issuance.	46.2	45	23	30	30
New D vendors average number of days from receipt of application to certification issuance.	15.5	25	15	15	15
Renewal AB vendors average number of days from receipt of application to certification issuance.	43.9	45	22	25	25
Renewal D vendors average number of days from receipt of application to certification issuance.	15.8	25	13	15	15

Program Summary

DIVISION OF RACING

Rudy J. Casillas, Deputy Director
Phone: (602) 771-4263
A.R.S. §§ 5-101 to 5-116

Mission:

To regulate and supervise pari-mutuel racing and wagering conducted in Arizona in order to protect both animal and human racing participants, as well as the wagering public.

Description:

The Division of Racing regulates and supervises all commercial horse racing meetings and pari-mutuel wagering conducted on and off track in Arizona in order to enforce laws and regulations and, thereby, protect racing participants and the wagering public.

This Program Contains the following Subprograms:

- Horse Racing

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,124.5	2,318.7	2,513.7
Other Non Appropriated Funds	0.9	289.3	289.3
Total Funding	**2,125.4**	**2,608.0**	**2,803.0**
FTE Positions	**40.5**	**38.5**	**40.5**

Subprogram Summary

HORSE RACING

Rudy J. Casillas, Deputy Director
Phone: (602) 771-4263
A.R.S. §§ 5-101 to 5-116

Mission:

To regulate and supervise all commercial horse racing meetings and pari-mutuel wagering conducted on- and off-track in Arizona in order to ensure compliance with laws and regulations and, thereby, protect racing participants and the wagering public.

Description:

The Department of Racing regulates and supervises all commercial horse racing meetings, conducts investigations, issues licenses, conducts equine drug testing, oversees wagering, hears appeals of steward decisions, collects revenues for the State, distributes awards to program recipients, and provides information upon request to the public and other agencies.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,124.5	2,318.7	2,513.7
Other Non Appropriated Funds	0.9	289.3	289.3
Total Funding	**2,125.4**	**2,608.0**	**2,803.0**
FTE Positions	**40.5**	**38.5**	**40.5**

◆ **Goal** 1 To improve the regulation of Racing and Boxing/MMA Divisions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of total horse racing licensees with disciplinary action	6	5	2	2	2
Average lead time in days from receipt of application to issuance of racing license	31	35	24	25	25
Average number of days from receipt of permitee application to issuance.	64.5	180	184	180	180
Reduce the number of race related horse fatalities from 3.0/1000 starts to the national average of 1.62/1000.	3.41	1.61	2.89	2.0	1.61
Ensure 100% of horses scheduled to race receive a pre-race horse exam.	0	20	55	100	100
Ensure racing expenditures for FY19 do not exceed the racing appropriation.	1,765,900	2,151,000	2,148,000	2,402,400	2,402,400
Reduce the number of race related equine fatalities.	44	44	50	36	36

Program Summary

BOXING

Francisco Meneses, Jr., Executive Director
Phone: (602) 771-4263
A.R.S. §§ 5-221 et seq.

Mission:

To regulate and supervise boxing and mixed martial arts events conducted in Arizona to protect all participants in these events.

Description:

The Department regulates and supervises all boxing, kickboxing, tough man, and mixed martial arts (MMA) events in Arizona to ensure compliance with laws and regulations, thereby protecting all participants.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,779.5	2,509.5	2,509.5
Other Appropriated Funds	19.1	183.7	183.7
Other Non Appropriated Funds	112.8	0.0	0.0
Total Funding	**1,911.4**	**2,693.2**	**2,693.2**
FTE Positions	**0.0**	**2.0**	**2.0**

◆ **Goal** 1 To improve the regulation of Racing and Boxing/MMA Divisions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Boxing Matches.	68	88	62	83	90
Number of Boxing Events.	18	22	9	12	15
Number of MMA Matches.	180	176	177	200	230
Number of MMA Events.	18	22	17	20	23
Begin measuring the number of violations missed by officials at each Boxing/MMA event, determine jumping off point, and set target of no more than one missed violation per event.	0	1	1	1	1

Agency Summary

OFFICE OF THE GOVERNOR

Janice K. Brewer, Governor
Phone: (602) 542-1371
Constitution Art. 5, Part 1, Section 1

Mission:

To provide leadership for the State of Arizona and to manage the Executive branch of state government to ensure that it efficiently and effectively serves Arizona's citizens.

Description:

The Governor serves as the Chief Executive Office of the Arizona state government. The Constitution provides that the Governor shall be the Commander-in-Chief of Arizona's military forces and authorizes the Governor to grant reprieves, commutations, and pardons, pursuant to law. The Governor is also responsible for making appointments to positions in state government pursuant to law, representing Arizona in official dealings with other governmental entities, taking action on bills approved by the Legislature, and informing the public on issues affecting the state.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,871.2	8,699.9	8,699.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	32,034.9	42,741.6	42,741.6
Total Funding	**39,906.1**	**51,441.5**	**51,441.5**
FTE Positions	**99.4**	**102.1**	**102.1**

Agency Summary

GOVERNOR'S OFFICE OF STRATEGIC PLANNING AND BUDGETING

John Arnold, Executive Director
Phone: (602) 542-5383
35-113, et. al.

Mission:

To facilitate the effective and efficient allocation of resources in accordance with fiscally sound principles that will enable the Governor and state government to provide quality services to the citizens of Arizona.

Description:

This office provides a central Executive branch resource for the compilation, analysis, and investigation of state fiscal matters. It advises the Governor in preparation of the Executive budget and advocates for that budget through the legislative process. The office assists and advises all entities of state government in budget development and execution. It also coordinates the process of defining state government programs, developing strategic plans, and measuring program performance to achieve desired results.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,014.5	2,684.1	2,684.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,014.5**	**2,684.1**	**2,684.1**
FTE Positions	**18.0**	**22.0**	**22.0**

Agency Summary

DEPARTMENT OF HEALTH SERVICES

Cara M. Christ, MD, MS, Director
Phone: (602) 542-1140
A.R.S. §§ 36-101 et seq.

Mission:

To promote, protect, and improve the health and wellness of individuals and communities in Arizona.

Description:

Arizona's award-winning, nationally accredited Department of Health Services (DHS) is responsible for leading the State's public health system, including responding to disease outbreaks, licensing health and child care facilities, operating the Arizona State Hospital, and improving the overall health and wellness of all Arizonans.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	19,649.3	20,861.3	20,986.3
➢ ARIZONA STATE HOSPITAL	68,884.6	74,647.2	74,647.2
➢ PUBLIC HEALTH SERVICES	354,312.3	382,334.7	376,395.3
Agency Total:	**442,846.2**	**477,843.2**	**472,028.8**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	84,825.4	97,158.3	95,876.7
Other Appropriated Funds	46,575.4	56,170.3	56,521.3
Other Non Appropriated Funds	311,445.4	324,514.6	319,630.8
Total Funding	**442,846.2**	**477,843.2**	**472,028.8**
FTE Positions	**1,452.9**	**1,452.9**	**1,452.9**

Department of Health Services

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Cara M. Christ, MD
Strategic Planner: Carla Berg
Last modified: 07/15/2019

Vision: Health and Wellness for all Arizonans.

Mission: To promote, protect, and improve the health and wellness of individuals and communities in Arizona.

Agency Description: The award-winning, nationally accredited Arizona Department of Health Services (ADHS) is responsible for leading Arizona's public health system including responding to disease outbreaks, licensing health and child care facilities, operating the Arizona State Hospital, and improving the overall health and wellness of all Arizonans.

Executive Summary: The Arizona Department of Health Services (ADHS) identified five strategic priorities to reach our vision:

Improving Health Outcomes: through identifying the needs and aligning services to our vulnerable populations; and ensuring agreements improve health outcomes.

Promoting and Supporting Public Health and Safety: by preparing for emerging public health threats, addressing quality of care issues and public health risks including the opioid epidemic and investigating complaints at licensed facilities; and promoting healthy relationships and non-violent behavior.

Improving the Public Health Infrastructure: by enhancing our workforce through improved employee engagement.

Maximizing Agency Effectiveness: by integrating the AMS into agency practices and optimizing agency IT infrastructure.

Implementing the Arizona Health Improvement Plan: to address strategic action items for our leading public health issues.

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Improve Health Outcomes	2018	FY18 Health in all Policies implemented to increase Healthy AZ Workplace participation. Pain Management and Sober Living licensing fully implemented. Completed 2019 State Health Assessment.
2	Promote and Support Public Health and Safety	2016	FY18 100% of Opioid Action Plan were implemented to address public health risks and Opioid Response was continued in FY19.Consistently achieved goal for quarterly employee after hours call downs to respond to emergencies.
3	Improve Public Health Infrastructure	2017	Achieved national public health accreditation in September 2017. Annual reports have been submitted for accreditation sustainability with a focus on quality improvement and goal of reaccreditation in 2022. FY18 and FY19 Employee Engagement action items completed along with Agency Engagement Communications Plan. Engagement score has increased from 1.7 in 2012 to 3.6 in 2019.
4	Maximize Agency Effectiveness	2017	Continued strengthening of agency-wide AMS implementation.Fully integrated the Arizona Radiation Regulatory Agency into ADHS in FY18 and improved application processing and inspections. Reduced the time-frames for processing non-ionizing applications from approximately 60 to 6 days.
5	Implement the Arizona Health Improvement Plan (AzHIP)	2015	Implemented obesity & tobacco AzHIP FY18 action items. Established and maintained cadence of updates to AzHIP dashboards. Strengthened structured discussions with Steering Committee and stakeholders and held 2nd annual AzHIP Summit in January 2019.

Department of Examples

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Establish agreements to improve health outcomes	Maternal mortality plan action items	Improve knowledge, education, and access to care for pregnant and postpartum women. Support workforce, workforce capacity, and systems of care. Improve surveillance and implement action items.
1	Support the State Hospital as a Center of Psychiatric Excellence	ASH Performance Audit score	Staff education on current and upcoming requirements. Ongoing review of POCs developed from Audits to evaluate survey readiness and compliance.
1	Align services with needs of vulnerable populations	ACEs plan action items	Integrate knowledge of trauma into culture, policies, and practices to make ADHS a Trauma-Informed Agency. Characterize data that leads to Arizona having the highest percentage of children exposed to ACEs.
2	Prepare for and respond to public health emergencies	Opioids plan action items	Implement GME and CME on Arizona Pain & Addiction Curriculum. Launch MAT mentoring program. Issue first State Drug Overdose Fatality Review Report.
2	Address public health risks	Immunizations plan action items	Implement solutions to reduce non-medical exemption rates. Determine best practices for improving vaccination coverage. Implement campaigns to promote vaccination.
		Licensing facility complaint response	Implement action items to improve response from initial complaint to disposition in licensing facilities.
2	Promote healthy and safe communities	STD plan action items	Improve access to STD screening and treatment among high risk groups. Build capacity to prevent congenital syphilis and control the spread of STDs.
		ASH assault rate	Ongoing NVCI staff training, clinical intervention, behavioral and nursing care planning.
3	Enhance public health workforce	Employee Engagement Plan action items	Continue to host quarterly Engagement Champion meetings and develop an Agency Employee Retention Plan.
		ASH staff turnover	Continue implementation of Compensation Plan with messaging to increase incentive use.
		Reciprocity action items	Undertake administrative rule reform to achieve interstate reciprocity for licensed professionals to reduce barriers to licensure in Arizona while protecting the public.
4	Optimize agency resources	IT plan action items	Implement high priority cloud optimization projects, Google Team Drives, and statewide security controls.
5	Implement action items for high-impact strategies	AzHIP action items completed on time	Complete action items where ADHS is lead organization. Utilize work group meetings and Summit for engagement.

Program Summary

ADMINISTRATION

Don Herrington, Deputy Director
Phone: (602) 542-1068
A.R.S. § 36-132

Mission:

To provide the leadership, direction and resources to ensure the Agency's mandated responsibilities, mission, and goals are met.

Description:

The program ensures fiscal integrity and adequate resources to conduct business; coordinates all internal and external activities through comprehensive strategic planning; and promotes service excellence through staff training and process improvement. In addition, the program provides overall management and direction to the Department; develops and administers policy; responds to, investigates and resolves consumer complaints; coordinates and promotes various health-related activities for information and educational consumer needs; and maintains and supports relationships with the legislature, community, and other health agencies.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,837.2	10,448.5	10,573.5
Other Appropriated Funds	9,812.1	10,412.8	10,412.8
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**19,649.3**	**20,861.3**	**20,986.3**
FTE Positions	**129.5**	**129.5**	**129.5**

◆ **Goal** 1 To Improve Public Health Infrastructure

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Employee Engagement Plan Action Items Completed	7	19	19	12	0

◆ **Goal** 2 To Maximize Agency Effectiveness

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
IT Plan Action Items	0	0	16	33	0

Program Summary

ARIZONA STATE HOSPITAL

Aaron Bowen, PsyD, Chief Executive Officer
Phone: (602) 629-7000
A.R.S. § 36-202

Mission:

To provide specialized psychiatric services to support people in achieving mental health recovery in a safe and respectful environment.

Description:

The Arizona State Hospital, a component of the state-wide continuum of behavioral health services, provides inpatient treatment and rehabilitation services for the most severely mentally disabled citizens of Arizona, including individuals referred under the provisions of the judicial system. Therefore, the Hospital must provide a comprehensive range of intensive interventions in a secure and safe environment.

This Program Contains the following Subprograms:

- Clinical and Program Services

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	65,863.1	71,095.2	71,095.2
Other Appropriated Funds	3,021.5	3,552.0	3,552.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**68,884.6**	**74,647.2**	**74,647.2**
FTE Positions	**651.2**	**651.2**	**651.2**

Subprogram Summary

CLINICAL AND PROGRAM SERVICES

Aaron Bowen, PsyD, Chief Executive Officer
Phone: (602) 629-7000
A.R.S. § 36-202

Mission:

To provide specialized psychiatric services to support people in achieving mental health recovery in a safe and respectful environment

Description:

The Arizona State Hospital, a component of the state-wide continuum of behavioral health services, provides inpatient treatment and rehabilitation services for the most severely mentally disabled citizens of Arizona, including individuals referred under the provisions of the judicial system. Therefore, the Hospital must provide a comprehensive range of intensive interventions in a secure and safe environment.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	65,863.1	71,095.2	71,095.2
Other Appropriated Funds	3,021.5	3,552.0	3,552.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**68,884.6**	**74,647.2**	**74,647.2**
FTE Positions	**651.2**	**651.2**	**651.2**

◆ **Goal** 1 To Improve Health Outcomes

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
ASH Performance Audit Score	0	0	90%	100%	0

◆ **Goal** 2 To Promote and Support Public Health and Safety

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Rate of Assaults per 1,000 Patient Days	9.57	4.14	7.98	4.14	0

◆ **Goal** 3 To Improve Public Health Infrastructure

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Arizona State Hospital Turnover Rate	0	0	0	10	0

Program Summary

PUBLIC HEALTH SERVICES

Cara M. Christ, MD, MS, Director
Phone: (602) 542-1140
A.R.S. 36-132

Mission:

To promote and protect the health of Arizona's children and adults.

Description:

The program ensures public safety through public health policy and leadership, public health preparedness services, and public health prevention services. These subprograms enhance collection, analysis, and dissemination of public health data; build and protect public health infrastructures that detect, control, and protect Arizonans from infectious and environmental threats and enhance the state's ability to respond to emergencies; improve Arizonans' health outcomes by preventing disease, reducing disability, and increasing access to care; strengthen the family and community by promoting and improving health status through leadership, collaboration and partnership; and recognize, involve, and communicate with public health constituencies.

This Program Contains the following Subprograms:

- Administration and Local, Border and Native American Health Offices
- Public Health Statistics
- Arizona Poison Control
- State Laboratory Services
- Epidemiology and Disease Control
- Health Systems Development
- Women's and Children's Health
- Children with Special Health Care Needs
- Nutrition and Physical Activity
- Biomedical Research Commission
- Emergency Medical Services
- Pediatric Neurological Autoimmune Disorder

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,125.1	15,614.6	14,208.0
Other Appropriated Funds	33,741.8	42,205.5	42,556.5
Other Non Appropriated Funds	311,445.4	324,514.6	319,630.8
Total Funding	**354,312.3**	**382,334.7**	**376,395.3**
FTE Positions	**672.2**	**672.2**	**672.2**

Subprogram Summary

ADMINISTRATION AND LOCAL, BORDER AND NATIVE AMERICAN HEALTH OFFICES

Colby Bower, Assistant Director
Phone: (602) 542-1032
A.R.S. §§ 36-132, 36-110, 36-189A

Mission:

To provide leadership, coordination and support for state-wide public health and to strengthen the family and community by recognizing, involving, and communicating with public health constituencies

Description:

The subprogram consists of the Offices of the Deputy and Assistant Directors of the Division of Public Health Services, the Public Health Services, the Preventive Health and Health Services Block Grant Administration, Licensing Services, the Office of Border Health, and the liaisons for local health, and Native American health. The subprogram coordinates internal programs and resources, provides accountability, and develops and maintains linkages with private, federal, state, and local organizations and agencies. The Office of Border Health coordinates and integrates public health program efforts to identify, monitor, control, and prevent adverse health events in border communities, and strengthens cross-border public health collaboration with Mexico. The Local Health liaison provides consultation, technical assistance and advocacy for local health departments and other agencies to develop and maintain programs that improve the public's health. The Native American liaison serves as an advocate, resource, and communication link between the Department and the Native American health care community for the purpose of enhancing health care services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	5,451.2	10,142.9	7,336.3
Other Appropriated Funds	20,606.5	27,582.1	27,582.1
Other Non Appropriated Funds	311,445.4	324,514.6	319,630.8
Total Funding	**337,503.1**	**362,239.6**	**354,549.2**
FTE Positions	**648.1**	**648.1**	**648.1**

◆ **Goal** 1 To Promote and Support Public Health and Safety

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Complaints Initiated On Time	98%	100%	98%	100%	100%

◆ **Goal** 2 To Improve Public Health Infrastructure

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Licensing Reciprocity Action Items	0	0	0	8	0

Subprogram Summary

PUBLIC HEALTH STATISTICS

Jessica Rigler, MPH, CIC, CHES, Assistant Director
Phone: (602) 364-3855
A.R.S. §§ 36-132, 36-136, 36-301 to 36-347

Mission:

To collect, analyze and report public health statistics and information that guide actions and policies to improve the health of Arizonans

Description:

This subprogram provides epidemiological and statistical public health data to support the Department and public. In addition, the subprogram provides health registries, vital statistics reporting, tobacco primary care evaluation, hospital cost reporting, statistical evaluation and epidemiological technical assistance.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	125.0	125.0	125.0
Other Appropriated Funds	3,000.0	3,000.0	3,000.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**3,125.0**	**3,125.0**	**3,125.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To Promote and Support Public Health and Safety

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Immunizations Plan Action Items	0	0	0	29	0

Subprogram Summary

ARIZONA POISON CONTROL

Jessica Rigler, MPH, CIC, CHES, Assistant Director
Phone: (602) 364-3855
A.R.S. § 36-1163

Mission:

To provide a 24-hour, seven-days-a-week state-wide poison and drug information system for doctors, medical institutions, and citizens

Description:

The subprogram, made up of the Arizona Poison and Drug Information Center at the University of Arizona (UA) and the Banner Poison Control Center, is a statewide system of poison information, education and treatment services. The call centers provide general information about poisons or specific information when there is a certain or suspected exposure to poison to callers throughout the state. Both centers follow-up on human exposures and track medical outcomes.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	599.7	990.0	990.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**599.7**	**990.0**	**990.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

STATE LABORATORY SERVICES

Jessica Rigler, MPH, CIC, CHES, Assistant Director
Phone: (602) 364-3855
A.R.S. §§ 36-451 to 36-479, 36-495, 36-15

Mission:

To ensure that essential laboratory services are available to support public health activities in Arizona

Description:

The State Laboratory provides environmental, clinical and reference analytical lab services to diagnose, prevent, and treat infectious and communicable diseases, epidemics, and biological and chemical threats. Conditions caused by environmental contamination, chronic conditions, and inherited disorders are also priority services. The State Laboratory monitors and evaluates the quality of state-wide environmental and clinical laboratories, and enhances environmental and clinical capabilities through training and consultation.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	6,567.4	7,231.4	7,487.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**6,567.4**	**7,231.4**	**7,487.4**
FTE Positions	**24.1**	**24.1**	**24.1**

Subprogram Summary

EPIDEMIOLOGY AND DISEASE CONTROL

Jessica Rigler, MPH, CIC, CHES, Assistant Director
Phone: (602) 364-3855
A.R.S. §§ 36-132, 36-136

Mission:

To monitor, investigate, prevent, and control diseases in Arizona through programs in infectious disease control, environmental health, HIV/AIDS prevention, and immunizations

Description:

Provides epidemiological and medical support, guidance, and evaluation to program areas within the Bureau and to other State and local agencies and the general public. Collects, maintains, and analyzes data to monitor and assess the impact of diseases in Arizona; conducts routine and epidemic disease investigations; coordinates disease prevention and control activities within the State; and maintains a state-wide epidemic detection and response capability. Programs reduce morbidity, disability and premature death due to communicable diseases; prevent and control adverse health effects due to environmental factors including sun, lead exposure, pesticide poisoning, infectious agents in food and water, and exposure to unsanitary conditions; monitor and reduce HIV/AIDS; and prevent and control the occurrence of human disease and disability due to infectious agents by the administration of vaccines.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	420.7	590.7	590.7
Other Appropriated Funds	963.4	1,000.0	1,000.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,384.1**	**1,590.7**	**1,590.7**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To Promote and Protect Public Health and Safety

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Immunization rate among 2-year old children	n/a	n/a	n/a	n/a	0
Percent of infectious disease trainings provided to county health departments conducted on schedule.	n/a	n/a	n/a	n/a	0
Percent of diagnosed urgent infectious diseases reported to ADHS within legally mandated timeframes	n/a	n/a	n/a	n/a	0
Percent of communicable and infectious disease lab reports submitted electronically.	n/a	n/a	n/a	n/a	0

◆ **Goal** 2 To Promote and Support Public Health and Safety

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Hepatitis A Cases	0	0	487	317	0
Sexually Transmitted Disease Breakthrough Plan Action Items	0	0	0	45	0

Subprogram Summary

HEALTH SYSTEMS DEVELOPMENT

Sheila Sjolander, MSW, Assistant Director
Phone: (602) 542-2818
A.R.S. §§ 15-1721, 36-2921

Mission:

To optimize the health of Arizona residents by developing and strengthening systems and services to expand access to primary care and other services with emphasis on the health needs of underserved people and areas and by promoting and protecting the health and well-being of Arizona's minority and vulnerable populations

Description:

Health Systems Development was established in 1995 and is the Primary Care Office for the State of Arizona. Health Systems Development administers the Arizona Department of Health Services Primary Care Program, Well Woman HealthCheck Program and the Colorectal Cancer Control Program and provides a complementary focus on improving access to primary health care through workforce recruitment, retention programs and the designation of medically under-served areas.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	198.0	198.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**0.0**	**198.0**	**198.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To Implement Arizona Health Improvement Plan

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of AzHIP Action Items Completed On Time	0	90	84%	90%	0

◆ **Goal** 2 To Promote and Support Public Health and Safety

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Opioid Deaths	867	780	1,176	592	1,117

Subprogram Summary

WOMEN'S AND CHILDREN'S HEALTH

Sheila Sjolander, MSW, Assistant Director
Phone: (602) 542-2818
A.R.S. § 36-132

Mission:

To strengthen the family and the community by promoting and improving the health and safety of women and children

Description:

The Bureau of Women's and Children's Health supports efforts to improve the health of Arizona's women and children. Activities focus on assessment of health status and identification of health issues, development of partnerships and planning to address health issues, and provision of "safety net" services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,528.5	3,568.0	3,568.0
Other Appropriated Funds	377.9	450.0	450.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,906.4**	**4,018.0**	**4,018.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To Improve Health Outcomes

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Maternal Mortality Plan Action Items	0	0	0	51	0
Adverse Childhood Experiences Plan Action Items	0	0	0	69	0

Subprogram Summary

CHILDREN WITH SPECIAL HEALTH CARE NEEDS

Sheila Sjolander, MSW, Assistant Director
Phone: (602) 542-2818
A.R.S. §§ 36-132

Mission:

To continuously improve comprehensive systems of care which enhance the health, future, and quality of life for children and youth with special health care needs, their families, and the communities in which they live

Description:

The Office for Children with Special Health Care Needs (OCSHCN) oversees systems, programs and policies related to children and youth with special health care needs and their families. These responsibilities are carried out through direct serve programs, community development, systems development, education, advocacy, data analysis, quality improvement activities, and public/private partnerships. OCSHCN seeks to develop systems of care for these children/youth and their families and communities that are family-focused, comprehensive, timely and responsive, culturally competent, and directed toward allowing a child/youth to achieve their fullest potential.

Subprogram Summary

NUTRITION AND PHYSICAL ACTIVITY

Sheila Sjolander, MSW, Assistant Director
Phone: (602) 542-2818
A.R.S. § 36-132

Mission:

To improve health and well-being through nutrition education and promotion of physical activity along with passionate support for people and programs to reduce hunger, increase breastfeeding, and decrease obesity throughout Arizona

Description:

This subprogram directs the continued promotion, planning, implementation, assurance and evaluation of nutrition and physical activity program and services. The subprogram collaborates with the public and private sectors and coordinates community education activities on risk factors for general and high-risk population groups. It responds to inquiries and referrals from the public and community resources. Nutrition services are made available through contractual agreements. The subprogram oversees several federal nutrition programs and surveillance systems.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	314.8	400.0	400.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**314.8**	**400.0**	**400.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To Implement Arizona Health Improvement Plan

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
AzHIP Action Items Completed On Time	75%	80%	84%	90%	0

Subprogram Summary

BIOMEDICAL RESEARCH COMMISSION

Jessica Rigler, MPH, CIC, CHES, Assistant Director
Phone: (602) 364-3855
A.R.S. 36-271 to 36 -278

Mission:

To advance medical research within the State of AZ

Description:

The Biomedical Research Centre awards grants and contracts for biomedical research projects and programs studying the causes of disease, epidemiology and diagnosis of disease, the formulation of cures, medically accepted treatment, and prevention of diseases. The Centre oversees research projects to ensure contract compliance and. The Centre also administers special projects designed to advance biotechnology and health in the academic, non-profit, and for-profit sectors in Arizona.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,498.8	2,000.0	2,000.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,498.8**	**2,000.0**	**2,000.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

EMERGENCY MEDICAL SERVICES

Don Herrington, Assistant Director
Phone: (602) 364-3855
A.R.S. §§ 36-2201 to 36-2246

Mission:

To protect the health and safety of people requiring emergency medical and trauma services (EMS), and promote improvements in Arizona's EMS and trauma system through research and education of the public and EMS providers

Description:

The subprogram provides direction for all statutorily-mandated components of Arizona's EMS and trauma system including certification of Emergency Medical Care Technicians (EMCT), certification and auditing of EMCT training programs; testing of EMCT applicants; certification and auditing of advanced life support base hospitals; inspection and registration of air and ground ambulances operating in Arizona; issuance of Ambulance Certificates of Necessity and determination of rates for certified ambulance services; licensing of air ambulance services; and investigation of complaints against individuals and entities regulated by the Bureau of EMS. The subprogram has developed a state-wide EMS/trauma system including a trauma registry and trauma center designation and continues to build a system of data linkages between hospitals and the trauma registry.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	1,400.0
Other Appropriated Funds	413.0	542.0	637.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**413.0**	**542.0**	**2,037.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To Promote and Support Public Health and Safety

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Opioid Plan Action Items	0	0	0	76	0

Subprogram Summary

PEDIATRIC NEUROLOGICAL AUTOIMMUNE DISORDER

Jessica Rigler, MPH, CIC, CHES, Assistant Director
Phone: (602) 364-3855
A.R.S. 36-2201 to 36-3855

Mission:

To help support the development of an Arizona Center of PANS/PANDAS Excellence that would provide a continuum of services to those with PANS/PANDAS, including but not limited to: increase PANS/PANDAS research, increase physician and medical professional education and awareness, increase support services to families and increase access to care.

Description:

The goal is to provide grant(s) on a competitive basis to accelerate promising research toward clinical testing and breakthroughs designed to improve the health of patients with PANS/PANDAS.

Agency Summary

GOVERNOR'S OFFICE OF HIGHWAY SAFETY

Alberto C. Gutier, Director
Phone: (602) 255-3216
A.R.S. § 28-602

Mission:

To be focal point for highway and traffic safety issues in Arizona. GOHS is an independent cabinet agency that provides leadership and funding in developing, promoting and coordinating programs; influencing public and private policy; and increasing public awareness of highway and traffic safety throughout Arizona.

Description:

The Governor's Office of Highway Safety (GOHS) funds programs that target speed reduction, decrease impaired driving, reduce wrong way driving incidents, increase seat belt and child safety seat usage as well as motorcycle safety awareness and driver distractions that result in traffic fatalities and injuries on our streets and highways. GOHS provides grant funding to law enforcement agencies, fire departments, fire districts and non-profit organizations throughout Arizona, including other state agencies.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	10,418.2	11,451.5	11,451.5
Total Funding	**10,418.2**	**11,451.5**	**11,451.5**
FTE Positions	**12.0**	**12.0**	**12.0**

Governor's Office Of Highway Safety

Fiscal Year 2020 Strategic Plan

Agency Director: Alberto Gutier
Strategic Planner: Nicole Costanza
Last modified: 05/21/2019

Vision: America's Safest Highways

Mission: The Arizona Governor's Office of Highway Safety (GOHS) is the focal point for highway and traffic safety issues in Arizona. GOHS is an independent cabinet agency that provides leadership and funding in developing, promoting and coordinating programs; influencing public and private policy; and increasing public awareness of highway and traffic safety throughout Arizona.

Agency Description: The Arizona Governor's Office of Highway Safety (GOHS) funds programs that target speed reduction, decrease impaired driving, reduce wrong way driving incidents, increase seat belt and child safety seat usage as well as motorcycle safety awareness and driver distractions that result in traffic fatalities and injuries on our streets and highways. GOHS provides grant funding to law enforcement agencies, fire departments, fire districts and non-profit organizations throughout Arizona, including other state agencies.

Executive Summary: Every federal fiscal year, GOHS implements their Arizona Highway Safety Plan that supports law enforcement agencies statewide with the necessary funding for overtime, equipment, awareness, and training to aid in effective measures to reduce statewide traffic fatalities.

GOHS is strategically focused on highway safety issues including, but not limited to:

1. Minimize statewide traffic fatalities, crashes, and serious injuries
2. Decrease impaired driving crashes and fatalities
3. Decrease pedestrian & bicyclists fatalities and injuries
4. Decrease motorcycle fatalities
5. Educating Arizona citizens on the importance of seat belt and child safety seat usage
6. Decrease Wrong-Way Driving Incidents and Fatalities
7. Expanding Electronic Search Warrants for Blood on DUI arrests

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Minimize Statewide Traffic Fatalities	2020	• With A.R.S. 28-914 regarding distracted driving, law enforcement can issue warnings to educate the public • Several countermeasures underway to reduce speed and reckless driving • Working on establishing a tablet-based Drug Recognition Expert (DRE) database for Arizona • Began relationship with the Grand Canyon National Park rangers enforcing impaired driving laws in the National Parks. • Implementation of a new fake ID card app available for all law enforcement (LE) agencies
2	Decrease Wrong-Way Driving Incidents and Fatalities	2020	• Enforcement agencies can now issue a felony citation with HB 2243 in DUI cases • Continuing to decrease the number of wrong-way driving fatalities in CY
3	Expand Electronic Search Warrants for Blood	2020	• Trained 58 (LE) agencies in the state with the train-the-trainer program • Registered 4,212 enforcement officers with access to use the E-Warrant database.

Governor's Office Of Highway Safety

Fiscal Year 2020 Strategic Plan

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
#1	Decrease Unrestrained Driver and Passenger Fatalities	• Percentage of usage • Number of installations • Percentage of fatalities	• Increase observed seatbelt usage by emphasizing the "Seatbelts Save Lives" and "Buckle Up, It's the Law" enforcement/educational campaigns • Increase the number of child safety seat installations/inspections
	Reduce and Minimize Impaired Driving fatalities	• Number of agencies • Number of officers trained • Percentage of fatalities	• Continue DUI Task Force Enforcement, supporting the use of high visibility enforcement techniques, saturation patrols and integrated enforcement tactics • Expand Know Your Limit (KYL) program to all agencies statewide • Fund and support training to more law enforcement personnel on Drug Recognition Experts (DRE), Field Sobriety Testing (SFST/HGN), Phlebotomy, Advanced Roadside Impaired Driving Enforcement (ARIDE), and Drug Impairment Training for Education Professionals (DITEP)
	Minimize Pedestrian and Bicyclist Fatalities	• Percentage of fatalities	• Increase citations issued in cities and counties that have jay walking ordinances • Continue expanding bike rodeos and helmet use
	Reduce Motorcycle Fatalities	• Percentage of fatalities	• Continue to provide motorcycle safety training scholarships (AMSAF) • Continue motorcycle enforcement details, including split lane and speeding • Continue motorcycle safety media campaign
	Reduce Speeding, Aggressive and Reckless Driving	• Number of citations	• Implement Speed Enforcement Task Forces statewide to decrease speeding related crashes and fatalities
	Minimize Distracted Driving	• Number of citations • Number of warnings	• Continue enforcing existing city, counties, and Tribal distracted/cell phone ordinances with citations and warnings • Increase number of warning citations issued for violation of A.R.S. 28-914 until January 1, 2021.
#2	Decrease Wrong-Way Driving Fatalities	• Number of incidences • Number of fatalities	• Reduce the number of incidents of wrong-way driving • Reduce the number of wrong way driving fatalities
#3	Increase the number of electronic search warrant users on DUI cases	• Number of trained users	• Continue expanding the number of city and county law enforcement agencies using the electronic search warrants for blood for DUI

5 Year Plan

Issue 1 To minimize the number of traffic fatalities from a high of 1,049 in state fiscal year 2019

Description In 2019 GOHS set a fatality goal of 1,002. Based on the trends in fatalities in 2019, the number for 2019 is currently at 1,049 fatalities.

Solutions:

GOHS will analyze statewide/local traffic data and develop our yearly Highway Safety Plan (HSP), which serves as a means for the reduction of traffic crashes, deaths, injuries, and property damage resulting from the crashes on public roads.

GOHS develops, promotes, and implements effective education and enforcement programs geared towards ending preventable crashes and reducing economic costs associated with vehicle use and highway travel. This includes requesting grant proposals from jurisdictions for highway safety projects. These proposals will be reviewed by GOHS staff to determine performance during enforcement periods, past grant award expenditures and crash data provided from the jurisdiction that indicates a serious problem.

The HSP also promotes safety belt and child safety seat use through strong, cohesive statewide enforcement and education campaigns under the banner of "Buckle Up Arizona…It's the Law!" Arizona is a secondary safety belt violation state, but the law enforcement agencies implement a zero-tolerance policy when they encounter safety belts not being used when they stop for another traffic infraction.

Issue 2 Reduce the impaired driving involvement in crashes.

Description To combat the prevalence of impaired driving from alcohol and drugs, GOHS devotes significant resources to overtime enforcement, equipment, and training for law enforcement officers statewide.

Arizona's impaired driving program utilizes enforcement, education, training, and public awareness to reduce the number of crashes, fatalities, and injuries resulting from alcohol- and drug-impaired collisions.

Solutions:

To combat the prevalence of impaired driving, GOHS devotes significant resources for overtime enforcement, equipment, and training for law enforcement officers statewide. GOHS will pursue the following strategies to reduce impaired driving on our roadways:

1. DUI enforcement program;
2. Funding for equipment and supplies (Portable Breath Testing Devices (PBT), phlebotomy supplies, drug testing kits, urine and blood kits, and gas cylinders used to calibrate PBTs, Intoxilyzers, and Livescan Instruments;
3. Officers training (Standardized Field Sobriety Test (SFST) Drug Recognition Expert (DRE) Horizontal Gaze Nystagmus (HGN) DUI report writing and testimony, law enforcement phlebotomy, Advanced Roadside Impaired Driving Enforcement (ARIDE), and Drug Impairment Training for Educational Professionals (DITEP);
4. Traffic Safety Resource Prosecutor and electronic search warrant program with the courts by officers;
5. Public awareness activities including media releases.

GOHS will continue to fund these proven effective strategies to reduce the number of alcohol and drug driving-related fatalities by increasing the number of DUI arrests, training law enforcement on effective tools and techniques, and regularly informing the public about the danger associated impaired driving and the threat of arrest for those who break the laws.

Issue 3 Decrease serious traffic injuries due to speed and aggressive driving.

Description Speeding is the number one contributing factor in the State's fatal crashes. Countless tragedies are caused by excessive speed crashes, which injure and kill innocent people. Arizona's wide thoroughfares are conducive to driving far in excess of the posted speed limit, changing lanes, tailgating, and passing dangerously on the daily commute. Some drivers ignore the most important rules of safe driving, which are common sense and courtesy.

Solutions:

GOHS supports several strategies to reduce speeding, aggressive driving, and red light running. They include:

1. Law enforcement (overtime for sustained statewide traffic enforcement campaigns conducted throughout the year);
2. Equipment purchases (vehicles, speed trailers, Laser and Radar guns);
3. Materials and support for public information and media campaigns;
4. Training for project and program managers;
5. Annual public opinion surveys

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	13.0	13.0	13.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	1,200.0	1,200.0	1,200.0
Federal Funds	9,000.0	9,000.0	9,000.0

◆ **Goal** 1 To minimize statewide traffic fatalities, crashes and serious injuries.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Grant Proposals received from jurisdictions.	325	321	321	300	300
Contracts negotiated, written, and executed.	306	266	290	263	280
Miles traveled fatality rate (prior calendar year).	1.41	1.44	1.44	1.44	1.44

Explanation: Crash data compiled on calendar year

Total statewide fatalities (prior calendar year). Actual 2019 is for the period July 1, 2018 to June 30, 2019	935	1,002	1,049	1,050	1,050

Explanation: Actual data represents the prior year calendar data. Performance measures will now be calculated using a calendar year base average.

◆ **Goal** 2 To decrease impaired driving crashes and fatalities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Contracts for any type of alcohol-detection devices.	23	18	18	18	18
Agencies funded for DUI enforcement.	71	73	81	75	75
Officers receiving standardized field sobriety/horizontal gaze nystagmus/drug recognition expert/phlebotomy training. (Based on a federal fiscal year)	1,007	1,050	1,350	1,350	1,350
Alcohol-related fatalities (prior calendar year).	235	226	261	255	255

Explanation: Actual represents prior calendar year actual. Performance measures will now be calculated using a calendar year base average.

Law enforcement, prosecutors and judges attending GOHS Summit training on DUI, Speed, Seat Belt, etc.	325	325	325	325	325

◆ **Goal** 3 To Identify reasons for increased serious traffic injuries

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Agencies participating in public information & education/enforcement projects.	21	25	23	23	23
Public information & education campaigns developed each calendar quarter.	1	1	1	1	1
Enforcement/training/public information & education events.	4	4	4	4	4
Percent of seat belt use Statewide (prior calendar year).	88.1	89.9	86.2	86.4	86.6

Explanation: Actual data represents prior calendar year actual. Performance measures will now be calculated using a calendar year base average.

Number of serious traffic injuries	4,350	4,000	3,729	3,750	3,750

◆ **Goal** 4 To increase the efficiency and effectiveness of grants and programs promoting highway safety

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Agency FTE Count	12	12	12	12	12
Percent of Arizona Management System Adoption	0	0	0	0	0

Explanation: Metric is pending

Number of Regrettable Attrition	1	1	0	0	0
Number of Administrative Rules Improved	0	0	0	0	0
Number of Breakthroughs Achieved	0	0	0	0	0
Percent of Services Online	50	50	50	50	50

◆ **Goal** 5 To expand Electronic Search Warrants for Blood on DUI arrests

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Registered enforcement officers with access to E-Warrant data base Period covers SFY ending June 30th estimating an increase of 1,000 officers registered each year.	0	0	4,539	5,539	6,539

Agency Summary

ARIZONA HISTORICAL SOCIETY

W. James Burns, Executive Director
Phone: (480) 387-5366
A.R.S. § 41-821(A)

Mission:

To connect people through the power of Arizona's history.

Description:

The Arizona Historical Society is a member- and government-supported nonprofit State agency. It is governed by a Governor-appointed board consisting one representative of each county, one representative of each of five historical organizations, and five appointees at large.

Museums and historic properties are located in Flagstaff, Tempe, Tucson, Yuma, Douglas, and Pine-Strawberry. The Society maintains an extensive library and archival collections used by a diverse audience, and it produces the Journal of Arizona History and various historical books. The Society certifies and supports 73 local historical societies in preserving and disseminating Arizona history. The Society also supports other board-approved community activities.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,195.0	3,107.7	3,966.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,151.8	1,257.6	1,257.6
Total Funding	**4,346.8**	**4,365.3**	**5,223.8**
FTE Positions	**42.5**	**43.5**	**46.0**

5 Year Plan

Issue 1 Unified Organization Identity

Description AHS strives to Create a unified identity for the organization (Internal and External)

Solutions:

Strategy 1.1. Establish AHS as a strong, recognizable brand.
Objective 1.1.1. Improve identification of historic sites and museums as entities within the AHS brand.
Objective 1.1.2. Standardize use of Arizona Historical Society as "The Brand", in all communications and marketing.
Objective 1.1.3 Engage staff to develop strong sense of unified AHS identity.
Objective 1.1.4. Increase public awareness of AHS.
Objective 1.1.5. Engage support groups and boards in discussions about the need for an AHS branded approach.
Objective 1.1.6 Establish universal AHS membership branding.
Strategy 1.2. Enhance the Certified Museum program.
Objective 1.2.1. Create greater value for AHS Certified organizations and greater identification with AHS as a respected historical organization and partner.
Strategy 1.3. Develop performance and financial reporting metrics to reflect new organizational structure.
Objective 1.3.1 Modify reporting, budgetary alignment to reflect functional alignment with emphasis on the AHS organization as a single entity.

Issue 2 Financial Resources

Description Enhance financial resources to advance our mission and ensure long-term sustainability and growth.

Solutions:

Strategy 2.1. Develop a planned giving program.
Objective 2.1.1 Diversify revenue streams to reduce dependence on appropriated funds.
Objective 2.1.2 Develop a high-functioning 501(c)3 for stewardship of gifts.

Strategy 2.2. Develop a grant-writing program.
Objective 2.2.1 Diversify revenue streams to reduce dependence on appropriated funds.
Strategy 2.3. Launch a capital campaign.
Objective 2.3.1. Build endowment, address deferred capital projects, create new exhibitions, and improve stewardship of collection and archival materials.
Strategy 2.4. Establish, develop and grow relationships with elected officials.
Objective 2.4.1. Build awareness of AHS' mission and vision and an understanding of the essential role that AHS plays in communities across Arizona.
Strategy 2.5 Maximize existing earned income streams and develop new earned income streams.
Objective 2.5.1 Diversify revenue streams to decrease dependence on appropriated funds.
Strategy 2.6. Involve affiliate organizations (boards and support groups) in overall fundraising plan.
Objective 2.6.1. Grow relationships with affiliate organizations.
Strategy 2.7. Optimize AHS' volunteer corps statewide.
Objective 2.7.1. Hire a volunteer coordinator.
Objective 2.8. Optimize AHS staff time by providing the necessary IT resources and skills (infrastructure, hardware, software, training) to do their jobs.
Strategy 2.8.1 Identify in-house staff to officially handle some IT tasks and external resources to handle other tasks.
Strategy 2.8.2. Evaluate training needs.
Strategy 2.8.3. Develop and prioritize IT needs list.

Issue 3 Community Trust

Description To become the most trusted authority on Arizona history.

Solutions:

Strategy 3.1. Market and communicate information about our historical resources (what we have) and what we do with those resources (publications, programs, exhibitions, events, history education).
Objective 3.1.1. Increase online presence by adding more collections and publications.
Objective 3.1.2. Create online exhibitions for our longtime exhibitions currently on display.
Objective 3.1.3. Develop traveling exhibitions for historical organizations across the State.
Objective 3.1.4. Develop internal resources and resource guide for inquiries requiring subject matter expertise.
3.1.4.1. Create a book club and suggested reading list.
Strategy 3.2. Reinvent the Journal of AZ History as a modern scholarly journal and a trusted source for AZ history.
Objective 3.2.1. Promote the Journal to scholars and recruit esteemed authors.
Objective 3.2.2. Broaden the topics in the Journal to be more reflective of the breadth of AZ history.
Objective 3.2.3. Improve the book review section.
Objective 3.2.4. Build a database of scholars with specialties and contact information.
Strategy 3.3. To become the "go to" place for helping to provide curriculum and lesson plans to Arizona's history / social studies teachers.
Objective 3.3.1. Develop a “Museum in a Box” program (digital or physical).
Objective 3.3.2. Explore the possibility of revising and republishing the Arizona history textbook.
Objective 3.3.3. Expand outreach program.

Issue 4 Collections

Description To improve our ability to collect, preserve, interpret, and disseminate Arizona's history.

Solutions:

Strategy 4.1. Concentrate collections on high-utility items
Objective 4.1.1. Remove items from collections that do not directly relate to mission and items that have low utility.
Objective 4.1.2. Actively collect high-utility items with strong provenance, research, exhibit and programming use.
Strategy 4.3. Seek federal grants to support exhibitions and programming.
Objective 4.3.1. Develop long term (3-5 years) programming and exhibition schedules.
Objective 4.3.2. Develop detailed budget for each exhibition and program.
Strategy 4.4. Develop digital and online educational programming.
Objective 4.4.1. Evaluate digital storage options.
Objective 4.4.2. Develop online educational programming.
Objective 4.4.3. Create online components for exhibitions.

Strategy 4.5. Develop a plan to disseminate historical content more broadly statewide.
Objective 4.5.1. Incorporate traveling exhibitions into long-term exhibition schedule and planning.
Objective 4.5.2. Market AHS online catalogs of objects and archival documents.

Issue 5 Audience

Description To attract audiences by creating transformative experiences through history.

Solutions:

Strategy 5.1. Engage visitors through interactive experiences using online and onsite technology.
Objective 5.1.1. Increase visitation and encourage audience growth using on-site technology.
Objective 5.1.2. Increase digital engagement to build new audiences.
Strategy 5.2. Provide visitors with participatory experiences that unite education with entertainment.
Objective 5.2.1. Create revenue-generating on and off-site tours that promote local history and environment.
Objective 5.2.2. Analyze existing programs, adopting the most successful statewide, as appropriate.
Objective 5.2.3. Develop merchandising/cross-sales opportunities.
Strategy 5.3. Develop experiences that are meaningful and relevant to today's audiences.
Objective 5.3.1. Create exhibitions, programs, and events that offer insights into modern day issues through a historical lens.
Objective 5.3.2. Evaluate all AHS activities to gather data that will inform future decision making about exhibitions, events, and programs.
Strategy 5.4. Conduct studies of the guest experience at each AHS location.
Objective 5.4.1. Identify opportunities to enhance guest experiences in ways that are relevant, implementable, and impactful.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	46.0	46.0	46.0
General Fund	3,107.7	3,107.7	3,107.7
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	1,257.6	1,300.0	1,500.0
Federal Funds	0.0	0.0	0.0

- **Goal** 1 To create a unified identity for the organization (Internal and External)
- **Goal** 2 To enhance financial resources to advance our mission and ensure long-term sustainability and growth.
- **Goal** 3 To become the most trusted authority on Arizona history.
- **Goal** 4 To improve our ability to collect, preserve, interpret, and disseminate Arizona's history.
- **Goal** 5 To attract audiences by creating transformative experiences through history.

Agency Summary

PRESCOTT HISTORICAL SOCIETY

Fred Veil, Executive Director
Phone: (928) 277-2002
A.R.S. § 41- 831

Mission:

To serve as an educational and cultural center, which fosters public and community understanding and appreciation of historical, social, cultural, and natural aspects of Arizona, with emphasis on the Central Highlands, and which promotes involvement in and support for research, collections, conservation, exhibits, and related programs.

Description:

The Prescott Historical Society operates the Sharlot Hall Museum, which was founded in 1928 and is located on the grounds of the first territorial Governor's residence and offices. The nearly four-acre landscaped campus features 11 exhibit buildings, including four restored historic structures: the territorial Governor's Mansion (1864), Fort Misery (1864), the Fremont House (1875), and the Victorian-era Bashford House (1877). The Lawler Exhibit Center (1977) hosts both permanent and changing exhibits, an historic theater, and storage of extensive historic and prehistoric objects. A large Archive Library (2008) houses a 10,000 book library and hundreds of thousands of images, documents, maps and oral histories.

In March 2013, a new support facility constructed with non-State funds was completed. In April 2014, a new admissions building, also privately financed, was added. An Education Center, financed entirely by the non-profit Sharlot Hall Historical Society, is currently under construction and is expected to be completed by the end of FY 2020. The Bob Stump VA Medical Center hosts a branch museum that interprets the history of Fort Whipple. Public programs include the annual Folk Arts Fair, Prescott Indian Art Market, Folk Music Festival, Frontier Christmas, Western History Symposium, musical and theatrical historical productions, living history interpretations in both indoor and outdoor settings, heritage gardens, lecture series, education tours, and outreach opportunities for children and adults.

Funding:	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
General Funds	827.6	837.2	893.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,004.2	3,162.0	3,162.0
Total Funding	**1,831.8**	**3,999.2**	**4,055.2**
FTE Positions	**11.0**	**11.0**	**11.0**

5 Year Plan

Issue 1 Excellence in Education

Description Sharlot Hall Museum is dedicated to excellence in exhibitions, programs, and preservation of its collections for public benefit. As the top priority of the institution, comprehensive plans for both internal and traveling exhibits and programs, and wide use of websites and other means will offer patrons opportunities that excite, enrich, and educate a broad range of ages and a diverse public. As an overarching goal, efforts in this area will be based on appropriate Arizona curriculum standards where possible.

Solutions:

Fund and continue implementation of the Museum's long-range exhibit plan
. Fund and construct an education facility to be used for presentation, festivals, lectures, training, demonstrations, and related educational and cultural activities.
Continue to implement and improve the Museum's education plan, with increased emphasis on school tours and youth oriented activities.
. Explore opportunities to expand the Museum's collections, including its archival materials
. Develop a plan designed to increase public awareness of the research opportunites offered by the Museum's Library & Archives.
.Evaluate and implement, as appropriate, opportunities to utilize technology in new and existing exhibits.

Issue 2 Long-Range Financial Planning

Description Sharlot Hall Museum is committed to sound and responsible stewardship of the public resources to ensure that we can continue to proviide our members and visitors with an educational and cultural experience consistent with our mission.

Solutions:
Provide a solid development plan to obtain funds for both short term and long term needs
Continually evaluate the Museum's investment strategies to ensure maximum return within fiscally prudent guidelines
Employ cost effective management principles in administering operational and capital funds
Develop resource focused upon these sectors:

1. Endowments/planned giving/major gifts/naming opportunities;
2. Annual giving and membership base expansion;
3. Corporate and institutional connections/support opportunities;
4. Governmental relations; and
5. Fund raising events with a focus on those which maximize revenues and minimize impact on the Museum staff.

Issue 3 Long-Range Facilities Planning

Description The Sharlot Hall Museum's exhibit, facilities and space utilization plans describe the facilities changes, renovations, and required upkeep to accommodate the present physical plant and future growth. This initiative ensures that facilities will meet the needs of the Museum campus and community.

Solutions:
Review and revise, as appropriate, these plans to reflect current needs and projected resources/sustainability to include proper space utilization
.Fund and construct a facility for education and cultural development.
Produce a Five-Year Capital Improvement Plan

Issue 4 Economic and Political Support

Description This initiative is designed to assist Sharlot Hall Museum in its dual efforts to provide quality of life experiences for the community and to serve as a regional economic generator through civic tourism

Solutions:

Maintain a high profile with state, county, and local government to assure tax base funding

Develop partnerships with community businesses, leaders, and others

Develop partnerships with complementary institutions/entities which offer learning and coalition building opportunities,facilities and event production sharing, etc.:

1. Indigenous tribal entities
2. Arizona Historical Society
3. Local historical museums/entities/events (Phippen, Smoki, Westerners Corral, etc.)
4. Service clubs
5. Educational institutions

Issue 5 Public and Media Relations

Description Wide ranging efforts to publicize the unique nature and extensive quality offerings of the Sharlot Hall Museum is the foundation of sustainability. The Museum can only fulfill its mission if the public is aware of existence, and the many rewards it offers.

Solutions:

Develop solid public relations, marketing and promotion plan;

.Continue to foster strong relationships with local media;

Develop progressive membership plan, with increased emphasis on corporate memberships;

Develop visitor surveys and other means to obtain audience input

Issue 6 Human Resources

Description A major challenge for the Museum over the next several years is to address the effects of an aging management team and the inevitable loss of years and even decades of expertise and institutional knowledge. It is anticipated that within the next 5 years, if not sooner, six of the eight key management employees will retire. Prudent management dictates that this human resources issue be addressed by the Board of Trustees and the Executive Director. Moreover, in recognition of the fact that personnel requirements are influenced by changing operational circumstances and other causes, a long-term evaluation of such needs is in order.

Solutions:

i.The Board of Trustees, with input from the Executive Director, will develop a plan for the succession of the Executive Director in the event he should become incapacitated, die or retire.

ii.The Executive Director, with input from staff, will develop a plan for the succession of other key management employees in the event of their incapacity, death or retirement.

iii.The Executive Director, with staff input, will develop a needs-assessment for Museum staffing associated with long-range criteria, taking into account existing expertise, anticipated growth and projected changes in operational circumstances.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	13.0	13.0	13.0
General Fund	1,000.0	1,000.0	1,000.0
Other Appropriated Funds	600.0	625.0	650.0
Non-Appropriated Funds	100.0	200.0	300.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To increase museum visitation annually.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of people served (includes museum, festival, and theatre attendees; and researchers)	33,500	34,000	33,100	33,500	33,750
Percent of museum clients pleased with service	99	99	99	99	99
Number of volunteer hours	25,400	25,500	25,000	25,500	25,600
Number of museum researchers	2,700	2,750	2,625	2,650	2,700

Explanation: .

Number of website unique visitors	438,000	450,000	464,000	475,000	480,000

◆ **Goal** 2 To continue phased facility expansion and modification, bringing needed square footage for exhibits and other uses to suport goal 1 above.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Capital campaign dollars raised to build new square footage (in thousands)	1,364,000	100,000	309,600	550,000	250,000
Increase in number of dues-paying members	1,750	1,800	1,85 0	1,875	1,900

◆ **Goal** 3 To increase the private, non-state funding support for expansion and operations

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Dollars of supplemental non-state funds per annum in thousands	1,967	689	934	1,136	839

Explanation: FY 18 & 19 includes funds restricted for capital projects

Agency Summary

DEPARTMENT OF HOMELAND SECURITY

Gilbert M Orrantia, Director
Phone: (602) 542-7013
A.R.S. § 41-4252

Mission:

To protect Arizona by providing strategic direction and access to federal grants and other resources for the state's homeland security stakeholders in preventing terrorist attacks; enhancing border security; heightening cybersecurity efforts; reducing Arizona's vulnerability to critical hazards; and enhancing the capacity and expertise to plan for, mitigate, respond to and recover from critical hazards that affect the safety, well-being, and economic security of Arizona.

Description:

The Department of Homeland Security administers federal grants to State and local agencies to protect our border and prevent or reduce Arizona's vulnerability to terrorist attacks.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	20,136.6	20,092.4	20,092.4
Total Funding	**20,136.6**	**20,092.4**	**20,092.4**
FTE Positions	**16.0**	**16.0**	**16.0**

Department of Homeland Security
Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Gil Orrantia
Strategic Planner: Bill Long
modified: 05/01/2019

Vision:
To be the nationwide best practice for grant management and administration among all state homeland security departments.

Mission:
Protect Arizona by providing strategic direction and access to resources that will enable all of the State's homeland security stakeholders to achieve our collective goals of: preventing terrorist attacks; enhancing border security; heightening cybersecurity efforts; reducing our vulnerability to all critical hazards; enhancing the capacity and expertise to plan for, mitigate, respond to and recover from all critical hazards that affect the safety, well-being, and economic security of Arizona; and building the resiliency of Arizona.

Agency Description:
The Department administers federal grants to State and local agencies to protect our border and prevent or reduce Arizona's vulnerability from terrorist attacks.

Executive Summary:
The Arizona Department of Homeland Security (AZDOHS) is the State Administrative Agency (SAA) responsible for the management and administration of federal DHS grants. Since 2010, the allocation of federal DHS grants to Arizona has decreased more than 56%.

Issue:
Maintaining the safety and security of Arizona's residents with potentially further reduced federal funding.

Strategy:
If federal funds are reduced, stakeholders would be encouraged to seek maintenance and sustainment support through their local governing body.

Issue:
Sustaining the viability of the AZDOHS with potentially further reduced federal funding.

Strategy:
AZDOHS will continue to use the Arizona Management System to analyze and assess our internal budget and internal processes.

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Effectively manage homeland security grant funds	2017	• Operation Stonegarden Grants have funded **135,136** hours of law enforcement overtime, **51,276** vehicle stops, and **1,939** arrests, in an effort to secure our border. • AZDOHS has conducted **418** site visits or desk reviews of our stakeholders to ensure **100%** compliance on grant awards. • Monitoring and oversight of grant funding has ensured over **99%** of grant funding is utilized.
2	Provide strategic direction and improve regional collaboration on homeland security issues within Arizona	2017	• AZDOHS has conducted **24** Integrated Planning Team (IPT) meetings and **40** Regional Advisory Council meetings which provide strategic oversight on deployment of regional assets based on federal grant funding. • Organized a Cyber Disruption workshop to strengthen Arizona's response to a cyber incident.
3	Create a more efficient Department	2017	• Engaged our stakeholders on a 1-on1 basis to ensure education and mentorship occurs. • Conducted stakeholder seminars to improve the reimbursement process. • Decreased the AZDOHS average reimbursement processing time from 42 to 12 calendar days, in order to minimize stakeholder capital outlay (**71% reduction**).

Department of Homeland Security

Fiscal Year 2020 Strategic Plan 2-pager

Securing Arizona

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
#1	Effectively manage homeland security grant funds	Use every dollar available to protect our state Comply with all federal and state grant guidance	• Reallocate funding from projects that do not expend their awarded amount to other projects that need funding to further support the homeland security mission • Ensure the success of Operation Stonegarden by conducting integrated planning team meetings and monitor key statistics such as: vehicle stops, overtime hours worked, and illegal aliens apprehended • Obligate funds from federal grants within 45 days of receipt of grant award • Conduct site visits and desk reviews to ensure stakeholder compliance on grant awards
#2	Provide strategic direction and improve regional collaboration on homeland security issues within Arizona	Conduct Regional Advisory Council (RAC) meetings within each region every year	• Assist in identifying resources and needs at the regional level throughout the state • Strengthen our ability to work together at all levels to address common threat and vulnerability issues and encourage the sharing of resources across town, city, county, and Tribal lines
#3	Create a more efficient Department	Days to reimburse stakeholders	• Conduct stakeholder seminars to improve the reimbursement process • Continuously improve our internal processes • Engage with stakeholders on a 1-on-1 basis • Continuously collect and analyze data to determine reasons for delays

5 Year Plan

Issue 1 MAINTAINING THE SAFETY AND SECURITY OF ARIZONA'S RESIDENTS WITH REDUCED FUNDING

Description POTENTIAL IMPACT TO ARIZONA'S ENHANCEMENT OF BORDER SECURITY AND THE CAPABILITY AND CAPACITY TO PREVENT, PROTECT, MITIGATE, RESPOND TO AND RECOVER FROM TERRORIST ATTACKS AND ALL HAZARDS.
In today's current environment, there is a persistent threat of terrorist attacks. It's not a matter of if, but when these attacks will occur worldwide. It is more important than ever to provide as many resources as possible to homeland security initiatives to ensure the safety and security of Arizona's residents.

There is an ongoing challenge to maintain and sustain the capabilities and capacity levels achieved over the past several years with the continuous looming potential reductions in federal funding. One of the major elements that is key to the capability and capacity to prevent, protect, mitigate, respond to and recover from terrorist attacks and all hazards is the collaborative partnerships that have been developed and fostered through the homeland security grant program.

As is the case with many federal grant programs, AZDOHS leadership is aware of the potential in reduced homeland security grant funding and continues to work with stakeholders to maximize the use of current grant funds. While AZDOHS may experience fluctuations in funding levels, there will be an ongoing requirement and expectation that Arizona will continue to assure border security operations are enhanced and sustained; and that the capabilities and capacity (built with homeland security grant funds) to address the ever-present and ongoing threats of terrorism, illegal border crossings, human and drug trafficking along the Arizona/Mexico border, and information-sharing among law enforcement entities (local, state, tribal, federal) to prevent adversarial attacks are sustained.

To provide safety and security to Arizona's residents; the capability and capacity to conduct border security operations, maintain emergency response plans, and interoperable communications, and equipment to respond to acts of terrorism or other critical hazards is a priority for the well-being of all residents. It is also imperative that training and exercise continue to maintain and sustain a capable response force.

Reduced funding impacts Arizona's border security operations by decreasing state, local and tribal high-visibility uniformed patrols along the Arizona/Mexico border and also affects the ability to prevent and protect Arizona's residents from terrorism and other critical hazards. It is essential to maintain the strategic direction, capabilities and capacity to prevent, protect, mitigate, respond to and recover from an incident for the safety, well-being and economic security of Arizona.

The challenge is sustaining or enhancing the capacity levels in accordance with increasing threats/hazards in the current homeland security environment.

Solutions:

STRATEGY TO ADDRESS ISSUE 1 – MAINTAINING THE SAFETY AND SECURITY OF ARIZONA'S RESIDENTS WITH POTENTIALLY REDUCED FEDERAL FUNDING - POTENTIAL IMPACT TO ARIZONA'S ENHANCEMENT OF BORDER SECURITY AND THE CAPABILITY AND CAPACITY TO PREVENT, PROTECT, MITIGATE, RESPOND TO AND RECOVER FROM TERRORIST ATTACKS AND ALL HAZARDS.
The AZDOHS will continue to focus on border security, maintaining and sustaining the capabilities and capacities to prevent, protect, mitigate, respond to and recover from threats or acts of terrorism and all critical hazards with the grant funds awarded to Arizona through the FFY 2019 funding cycle. To address this issue, the AZDOHS will focus on the furtherance of enhancing regional partnerships and collaborative information-sharing activities.
It is the goal of the AZDOHS to manage and administer the available funds while maintaining compliance with the USDHS National Preparedness Goal and the National Preparedness System to sustain capabilities that can be regionally and federally deployed. Although deployment is coordinated through the mutual aid compacts at the local, state and regional level, the SAA is the designated entity eligible to apply for and receive homeland security grant funds.
If federal funds are reduced, stakeholders would be encouraged to seek maintenance and sustainment support through their local governing body.

Issue 2 SUSTAINING THE VIABILITY OF AZDOHS SECURITY WITH DRASTICALLY REDUCED FUNDING

Description IMPACT TO AZDOHS TO EFFECTIVELY PROVIDE HOMELAND SECURITY STRATEGIC DIRECTION, ENHANCE COLLABORATIVE EFFORTS AND ADMINISTER AND MANAGE GRANT FUNDS AWARDED TO THE STATE OF ARIZONA.
The AZDOHS is the State Administrative Agency (SAA) responsible for the management and administration of the suite of grant programs available from the USDHS. As the SAA, there is a myriad of roles, responsibilities and reporting requirements to maintain eligibility to receive and maintain compliance with all of the grant guidance and award conditions.

Since 2015, Arizona's homeland security grant funds have increased by more than 12.5%. However, with increased funding the SAA must still maintain compliance and meet all reporting requirements well after the end of a grant performance period regardless of any potential reductions of the grant programs.
While the AZDOHS has made every effort to be exemplary stewards of the funds awarded to the State, the department would be impacted by a reduction of funds.
A substantial reduction in funds will directly result in a reduction of current AZDOHS staffing levels. A reduction in current staffing levels will affect the department's ability to sustain the collaborative efforts that have brought together and built working relationships across the various disciplines. The collaborative relationships built have served as a cornerstone involving collective efforts to share information, leverage resources, and increase the level of prevention and response capabilities.

Reduced staffing would impede the ability to efficiently and effectively manage and administer the grant programs as well as meet all of the state and federal reporting requirements. Failure to maintain compliance with the reporting requirements could result in Arizona being ineligible to receive homeland security grant funds or a reimbursement being held until such time compliance is achieved.
Reimbursement requests to stakeholders would be delayed thus imposing unintended budgetary consequences on local jurisdictions to be able to accept and utilize any potential grant funds that may have been awarded. Accordingly, stakeholder relationships and collaborative efforts would be affected.
Should federal homeland security grant funding be reduced, the overarching impact to the State of Arizona will negatively affect border security and counter-terrorism efforts. In addition, emergency management, preparedness and response efforts will also be impacted. Reduced funding could affect the sustainment of Arizona's current levels of security, preparedness and emergency response.

Solutions:
SUSTAINING THE VIABILITY OF THE AZDOHS WITH POTENTIALLY REDUCED FEDERAL FUNDING - IMPACT TO AZDOHS TO EFFECTIVELY PROVIDE HOMELAND SECURITY STRATEGIC DIRECTION, ENHANCE COLLABORATIVE EFFORTS AND ADMINISTER AND MANAGE GRANT FUNDS AWARDED TO THE STATE OF ARIZONA.
To address reduction of funding to maintain and sustain the AZDOHS, the department will continue to use the Arizona Management System to analyze and assess our internal budget and internal processes.
Annual reviews and assessments will be conducted to determine viability of staff levels to maintain ongoing department responsibility requirements. If reduction in funds is experienced, reduction in force recommendations will be made to the director accordingly.
With limited resource options, it will be difficult to sustain the standards of excellence the AZDOHS has attained to be good stewards of the homeland security funds awarded to Arizona.
AZDOHS will continue to use the Arizona Management System to analyze and assess our internal budget and internal processes.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	27.0	27.0	27.0

◆ **Goal** 1 To effectively manage homeland security grant funds

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Operation Stonegarden Vehicle Stops	43325	45000	33917	35000	35000
Explanation: Total number of vehicle stops during Operation Stonegarden					
Operation Stonegarden Apprehensions	3135	3500	2525	3000	3000
Explanation: Total number of illegal aliens turned over to Border Patrol during Operation Stonegarden					
Operation Stonegarden OT Hours	127477	130000	90909	95000	95000
Explanation: Total number of overtime hours worked during Operation Stonegarden					

◆ **Goal** 2 To provide strategic direction and improve regional collaboration on homeland security issues within Arizona

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Federal allocation compliance rate	100	100	100	100	100
Explanation: Results expressed as a percentage.					
Projects Monitored	245	275	191	225	225
Explanation: Total combined number of projects AZDOHS has monitored via site visits and desk reviews to ensure grant compliance					
Reimbursement Process Improvements	10	10	10.5	10	10
Explanation: Decrease the AZDOHS average reimbursement processing time from 42 to 28 calendar days to minimize stakeholder capital outlay					
Funding Reallocated	562816	600000	2680000	2000000	2000000
Explanation: Total amount of funding reallocated to prevent funds from reverting back to the Federal government					
Projects Reallocated	22	30	42	40	40
Explanation: Total number of projects reallocated to prevent funds from reverting back to the Federal government reallocated to prevent funds from reverting back to the Federal government					
Drawdown Rate	99	99	99	99	99
Explanation: Total amount of expended grant funds, not reverted to Federal government					

◆ **Goal** 3 To create a more efficient Department

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
# of Agency FTE Count	12	16	16	16	16
Explanation: Number of active employees in HRIS (excluding board and commission members, interns, volunteers, and “pool” positions)					
# of Regrettable Attrition	2	1	0	0	0
Explanation: The number of voluntary separations of employee’s whose performance ratings were meets expectations or better (e.g. MAP score of 2.0 or higher) AND whom the agency indicated they had planned to retain the employee, represented as a monthly total.					
# of Administrative Rules Improved or Repealed	0	0	0	0	0
Explanation: "# of administrative rules eliminated or streamlined by your agency - An improved rule is defined as the repeal of a rule that is overly burdensome, antiquated, contradictory, redundant, or nonessential; or modification of a rule to reduce regulatory burden, administrative delay or uncertainty "					
# of Breakthroughs Achieved	0	1	0	0	0
Explanation: Number of breakthrough plans completed where a +50% efficiency gain has been sustained					
% of Services Online	33.0	33.0	33.0	33.0	33.0
Explanation: "# of agency services provided online Online defined as where the entire process from the customer perspective can be completed electronically. (No physical mail, wet signature, or office visit requirements)"					

Agency Summary

BOARD OF HOMEOPATHIC AND INTEGRATED MEDICINE EXAMINERS

David Geriminsky, Executive Director
Phone: (602) 542-8154
A.R.S. 32-2901

Mission:

To protect the public health, safety, and welfare of Arizona citizens by examining, licensing, and regulating homeopathic physicians and medical assistants.

Description:

The Board of Homeopathic and Integrated Medicine Examiners regulates the practice of homeopathic medicine in Arizona. The Board reviews and examines the education, experience, and background of applicants to determine whether they possess the qualifications required by law to practice homeopathic medicine and any of the subspecialties within the scope of practice. The Board conducts investigations into complaints against physicians and holds hearings, taking disciplinary action as necessary to protect the public safety. The Board also registers homeopathic medical assistants that work under the direct supervision of licensed homeopathic physicians.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	37.6	46.1	46.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**37.6**	**46.1**	**46.1**
FTE Positions	**1.0**	**1.0**	**1.0**

5 Year Plan

Issue 1 Complete rulemaking for doctor of homeopathy rules. Prepare written examination.

Description Proposed rules have been drafted to provide a framework for interested and qualified individuals seeking to obtain license a a Doctor of Homeopathy (D.H.).

Solutions:
An exemption to rulemaking moratorium was granted in January 2016.
The Board must complete rulemaking process with particular emphasis on procedures relative to foreign trained applicants and delineating the amount of science credits that will be accepted to meet this particular educational criteria.

However, the Board is currently researching whether the qualifications for licensure need to be modified to align more closely with those found in other states and with the education currently available to qualified applicants.

Issue 2 Seek Legislative change to clarify statues and reduce burdensome regulation

Description The Board has identified several statutes which are either no longer necessary or should be modified to reduce regulatory burdens while still protecting the public health safety and welfare.

Solutions:
Draft legislation to meet the already identified shortcomings in statute and identify sponsors.
Identify key stakeholders and be sure the public and licensees have input in the process.

Issue 3 In concert with the expressed goals of the Arizona Department of Administrations Strategic Enterprise Technology (ADOA-/SET) office the Board would explore alignment with other boards and commissions to implement E-licensing

Description The Governor has expressed a data systems initiative designed to automate and create paperless, on-line solutions to assist applicants, customers and stakeholds to access information more quickly. The Board is suportive of such efforts although significant hurdles exist.

Solutions:
Several key components would have to merge for the Board to be part of this initiative:
1) sufficient and ongoing additional funding and actual revenue;
2) an innovative method by which the Board would be allowed to participate in the initiative given the small number of current and prospective licensees that would benefit.
The Board with the approval of the legislature may wish to consider a method to pay back the initial costs of implementing the system. This may include an ongoing agreement to reimbuse the general fund for any loan that may be provided to implement the system.

However, the Board is researching additional options for replacing the current, ageing, access database it now uses which may be more financially responsible.

Issue 4 Cooperate services with other state agencies to reduce expenditures

Description In an effort to reduce expenditures and remain financially stable the Board has cooperated administrative functions with the Board of Acpuncture. This relationship should be formalized in statute.

Solutions:
The Board has already entered into an ISA with the Acupuncture Board of Examiners. This agreement cooperates the adminstrative functions and staffing of the two agencies.

Pursue, legislative change to cooperate the administrative functions of the agencies and provide clear direction for how the relationshiip should operate. This should be similar to the Medical Board and Physicians Assistants Board.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	1.0	1.0	1.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	46.1	46.1	46.1
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To issue, renew, or deny applications and renewals for licenses, permits, and registrations in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Applications received (includes physicians, assistants, and dispensing permits filed with an initial application)	NA	4	13	15	17
Explanation: FY 2019 : 3 medical assistants, 5 dispensing permit, 5 physicians					
New licenses issued (physicians and medical assistants and dispensing permits)	NA	4	11	13	15
Explanation: FY 2019: 3 medical assistants, 4 physicians, 4 dispensing permits,					
Licenses eligible for renewal (physicians, dispensing permits, and medical assistants)	NA	130	108	108	108
Explanation: Eligible FY19 Renewal: Dispensing=27; Physicians=70; Assistants=11					
Number of licenses renewed	NA	90	95	95	95
Explanation: FY 2019: Total includes 60 physicians, 25 dispensing permits, 10 assistants.					
Average number of days from receipt of completed application to issuance or denial of license/registration	NA	47	46	45	45

◆ **Goal** 2 To receive, investigate, and adjudicate complaints consistent with the performance objectives of the board.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of complaints resolved within 180 days.	NA	75	50	75	75
Explanation: Reduction from previous year is due to vacancy in Executive Director Position					
Number of complaints or inquiries received	NA	6	3	5	5
Explanation: The number represented indicates total number of complaints whether or not resolved in the fiscal year					
Complaints resolved by taking disciplinary action against licensee (includes Suspension and Consent agreements)	NA	1	0	0	0
Suspension/Revocation	NA	1	0	0	0
Average number of days per investigation from start to final adjudication	NA	120	180	120	120
Explanation: Average number above estimate due to executive director vacancy					
Percent of licensees with disciplinary action	NA	2	2	2	2
Explanation: 77 licenses and of that total 1 on probation, reflects current fiscal year actions					
Total number of investigations conducted	NA	6	0	NA	0
Explanation: Note: statistic reflects both ongoing and closed cases					

◆ **Goal** 3 To collect, update, and deliver information in a timely manner concerning licensees' location, practice modalities, and status for the public record.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of information inquiries responded to within 24 hours	NA	72	75	75	75

Explanation: Includes email, packet requests, phone messages

Agency Summary

ARIZONA DEPARTMENT OF HOUSING

Carol Ditmore, Director
Phone: (602) 771-1007
A.R.S. §§ 41-3951 to 41-4065

Mission:

To provide housing and community revitalization to benefit the people of Arizona.

Description:

The Department of Housing is a cabinet-level agency, created in 2002 by the Legislature to serve as the State's primary agency to address housing issues. Primarily funded through federal resources and fees, the Department administers housing and community development resources, serves as the State's public housing authority, and regulates Arizona's manufactured housing industry.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	15,000.0	0.0
Other Appropriated Funds	322.2	322.2	322.2
Other Non Appropriated Funds	101,098.0	94,725.2	92,973.2
Total Funding	**101,420.2**	**110,047.4**	**93,295.4**
FTE Positions	**77.0**	**77.0**	**77.0**

Department of Housing

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Carol Ditmore
Strategic Planner: Reginald H. Givens
Last modified: 06/01/2019

Vision: To promote, preserve and invest in affordable housing; protect consumers; and revitalize communities to make Arizona the best place to live.

Mission: Providing affordable housing and community revitalization to benefit the people of Arizona.

Agency Description: The Arizona Department of Housing is a cabinet level agency, created in 2002 by the State legislature to serve as the State's primary agency to address housing issues in the State. Primarily funded through Federal resources and fees, the agency administers housing and community development resources, serves as the State Public Housing Authority, and regulates Arizona's manufactured housing industry.

Executive Summary: The Department's Strategic Issues & Strategies include: **Create the best living environment for Arizona's citizens and communities** by targeting its resources to encourage the development of sustainable, energy-efficient, accessible housing in areas of opportunity with private and community partners; working with rural cities and counties to make good and timely investments in community development and revitalization through federal resources; and operating at the speed of business to regulate the manufactured housing industry in order to protect consumers. **Coordinating efforts to reduce homelessness by** providing a safety net for struggling homeowners by providing timely assistance to avoid foreclosures; and reducing homelessness by working with other public and private partners and making resources available to re-house people. **Practicing fiscal responsibility** by providing efficient and effective financial services; wisely investing available resources; and addressing the challenging lack of resources in Arizona to improve the state's most critical housing problems by finding innovative ways to finance the Department's mission without general fund support.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Increase affordable housing opportunities	2017	• Achieved annual goal, producing 1996 new affordable rental units. • Assisted 898 homebuyers with down payment and closing cost assistance of $15M.
2	Reduce homelessness	2017	• Achieved goal, housing 437 homeless persons through the Rapid Rehousing Program. • Achieved goal, educating 317 incarcerated persons about the rental process. • Exceeded goal, preventing 87 Households from being evicted through pilot which launched in April 2019.
3	Improve low income communities	2018	• Exceeded goal, increasing from 54% to 75% the number of CDBG projects that are compliant with the Schedule of Completion, resulting in more timely investment of federal resources to Arizona's low-income rural communities. • Complete the rehabilitation/weatherization of 768 homes.
4	Enhance agency practices to align with business needs	2020	• This new initiative focuses on the alignment of agency functions with those of our industry partners to improve results through efficient and effective systems and practices.

Department of Housing

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1.	• Produce more affordable rental units	• Number of affordable housing units developed	• Continue to refine the Qualified Action Plan (QAP) and other lending standards to promote higher production of rental units through the cost effective use of agency resources • Continue to refine lending standards to avoid high risk and time intensive loan proposals • Create an "ADOH as Primary Lender" loan product for non-profit supportive housing developments
	• Promote homeownership by assisting potential homebuyers with down payment assistance (DPA)	• Number of homebuyers assisted into homeownership	• Continue to provide down payment assistance (DPA) through agency homebuyer program • Develop program and process to support manufactured housing subdivisions aimed at homeownership (unit + land)
	• Aid inmates leaving state prison with short term housing solutions to reduce recidivism	• Number of ex-offenders newly enrolled to receive housing assistance in month • Total number of ex-offenders currently receiving housing assistance in month	• Launch financial assistance pilot at Lewis Prison's Eagle Point Second Chance Center
2.	• Re-house homeless persons through the Rapid Rehousing Program	• Number of households assisted	• Implement standardized use of the VI-SPDAT ensuring that persons of appropriate acuity are provided rapid rehousing assistance
	• Educate inmates in Arizona's state prisons about the rental process to prepare them for a successful housing experience, post-release	• Number of incarcerated persons enrolled in the Roadmap To Housing program	• Continue Roadmap To Housing training program at Lewis Prison's Eagle Point Second Chance Center • Work with ADC to expand delivery of Roadmap To Housing training program to other state prison facilities
	• Help low-income households avoid eviction and foreclosure	• Number of households assisted to avoid eviction • Number of household assisted to avoid foreclosure	• Continue Eviction Prevention Pilot Program launched in FY2019 • Continue providing foreclosure assistance through Save Our Home AZ
3.	• Ensure timely investment of federal funding into Arizona's low-to moderate income rural communities	• Percentage of Community Development Block Grant projects on schedule	• Implement monthly reporting requirements • Scrutinize application schedules for feasibility of completing projects as represented • Ensure special conditions of CDBG contracts address past performance concerns
	• Continue providing rehabilitation and weatherization to improve aging housing stock	• Number of sub-standard owner-occupied housing units rehabilitated	• Continue housing rehabilitation and weatherization programs
4.	• Enhance functions of the agency to better meet the needs of industry partners	• Application integration in the manufactured housing division	• Product and developer selection • Transition from multiple systems to a singular system combined with data migration
		• Complete implementation of new loan servicing application	• Complete application transition system

5 Year Plan

Issue 1 Creating better living environments for Arizona's citizens and communities

Description The Department will focus on creating the best living environments for Arizona's citizens and communities by targeting its resources to encourage the development of sustainable, energy-efficient, accessible affordable housing in areas of opportunity with private and community partners; working with rural cities and counties to make good and timely investments in community development and revitalization through federal resources; and operating at the speed of business to regulate the manufactured housing and modular building industry in order to protect consumers.

While the Department has always taken a conservative approach to the utilization of its resources, it has had to increase its efforts to target its resources in order to demonstrate the greatest impact in Arizona with fewer resources. With an end goal of aiding in the creation of conditions that create and promote more productive living amongst all Arizonans, the Department is narrowing its focus, increasing efforts to maximize the number of new rental units it can produce throughout the state in order to address an ever growing deficit in available affordable housing.

Activities that are financed through Department resources that create better living environments include: the development of affordable rental housing units through new construction or acquisition and rehabilitation; rehabilitation and weatherization improvements of dilapidated owner-occupied housing stock with a priority for seniors, individuals living with disabilities, and families with children; monthly rental subsidy assistance for Arizona's lowest income households who otherwise would be homeless; development and support of transitional housing opportunities for Arizona's most vulnerable special needs populations, including those transitioning out of homelessness, victims of domestic violence, recovering substance abusers, and others; improved infrastructure and community facilities in Arizona's 13 rural counties; regulating the activities of the manufactured housing industry; and other community development and revitalization activities.

Solutions:

The Department's strategies to create better living environments includes: (1) targeting resources that promote development of affordable housing opportunities along public transportation hubs to increase transportation to jobs, education, and after school programs for family units and senior centers when properties focus on providing senior housing, in order to provide location efficient housing for low-income households; (2) tying financial assistance through the Department to projects that will create the highest economic impact in the shortest term; (3) requiring the incorporation of energy efficiency and green building practices for long-term energy savings and sustainability for Department-financed projects; (4) continuing to limit Department investments to only those projects that require a public subsidy to achieve viability – encouraging the use of limited resources for the creation of new units and the use of non-limited (e.g., 4% federal tax credit) resources for the rehabilitation and retention of existing rental stock; (5) collaborating with community partners to end homelessness by providing permanent supportive rental housing; (6) working with the Department's rural communities to make good and timely investments of federal resources; and (7) operating at the speed of business to provide timely inspection services to manufactured housing plants and installation sites.

Issue 2 Coordinating efforts to end homelessness throughout the state

Description The Department will coordinate efforts to end homelessness by providing a safety net for struggling homeowners by providing timely assistance to avoid foreclosures; and reduce homelessness by working with other public and private partners and making resources available to avoid evictions and re-house the homeless. Since the State began addressing the issue of homelessness, decades ago, there had not been a collective conscience fighting this issue until recently. In order for Arizona to make progress it will take a coordinated effort. Despite numerous challenges and obstacles, such as inadequate resources, significant progress has been made towards achieving our ongoing objective to end homelessness in Arizona.

While the foreclosure crisis has abated, with foreclosure levels falling to pre-recession levels, close to 18 percent of Arizona mortgage holders are still underwater and thousands of homeowners are still unable to afford their mortgages, as they are unable to find employment opportunities that match their pre-recession incomes, or have experience difficulties due to job loss or illness. Fortunately, through at least 2020, the Department will have resources to help such households avoid foreclosure. While the Department currently has no dedicated funding to aid renters in avoiding eviction, it will be looking for resources to address a growing need for this type of assistance to avoid homelessness.

By utilizing strategies like the "Housing First" concept, we are working to remove the instability that comes with being homeless by offering Rapid Re-housing resources. We have seen firsthand how people's lives have been transformed once they are stabilized in housing that is supported with services that assist people to become self-sufficient.

The Department will continue to work with the Maricopa County, the City of Phoenix, and other community partners to address chronic homelessness in Maricopa County. The Men's Overflow Shelter (MOS), operated by Central Arizona Shelter Services (CASS), in Phoenix, began in 2007 as a temporary, short term shelter in response to unusually high temperatures and heat related deaths of individuals experiencing street homelessness. However, the facility was not intended to remain open on a permanent basis despite housing an average of 500 people a night. In January 2014, the state fire marshal citied the MOS with five code violations. Various structural issues and upgrades to basic living conditions were cost prohibitive necessitating the need to close the facility. Working with our collaborative partners, Valley of the Sun United Way, Maricopa County, and the city of Phoenix we found short-term, mid-term, and long-term solutions to housing the individuals who depended heavily on the MOS facility. This coming together to work out a solution for the MOS has led to a renewed effort to look at the totality of all of these public and private efforts to end homelessness and a concerted effort to end homelessness together within the next five years.

Solutions:

The Department is taking a multi-pronged approach, by continuing to offer foreclosure assistance and looking for ways to avoid evictions to avoid homelessness in the first place; and then working with innovative approaches to re-house those persons and households who fall into homeless.

To assist still struggling homeowners, the Save Our Home AZ (SOHAZ) program continues to successfully assist Arizona homeowners who are either facing a potential foreclosure or are significantly underwater with their mortgage payments. Moving forward, the Department will: (1) continue to offer principal reduction assistance to homeowners who are living with the negative effects of paying against underwater mortgages; (2) continue to provide principal reduction assistance, when feasible, to buy down mortgages to an affordable payment for underemployed Arizonans; and (3) the Program will also continue to provide monthly mortgage assistance to homeowners who are completely unemployed or for whom a principal reduction is not a feasible solution. Such financial assistance is given as a loan so that as the housing market improves, homeowners who sell an assisted property may be repaying a portion of the assistance back to the State to recycle for future use.

People experiencing homelessness will continue to be identified through various outreach efforts and referred to the access points either for singles or families. Individuals generally access emergency shelters first and then are assessed for the appropriate housing interventions. Outreach teams identify individuals and families experiencing homelessness. The common assessment tool known as the Service Prioritization Decision Assessment Tool (SPDAT) is now being utilized to assess the needs of the individuals or families and match them to the most appropriate intervention. Often this can entail diversion, rapid-re-housing, or permanent supportive housing. The SPDAT has undergone rigorous testing. It has been reviewed by experts in healthcare, mental healthcare, housing and homelessness. It is effective in a range of population from an age, gender, and cultural perspective. The core premise is to get the right household to the right program at the right time to end homelessness, based upon evidence of strengths, understanding of needs and housing status.

The SPDAT has enhanced the homeless assistance providers' ability to better serve in that it has reduced subjectivity and increased

objectivity in referring and working with people to see that they obtain the best service and housing for their needs. With agreement on using the same assessment tool, there is now consistency in the evaluation process. The use of SPDAT will greatly improve the screening processes, better serving homeless populations to get to the type of assistance they individually need.

The Department is focused and committed to finding permanent supportive housing options which are more effective and less costly than traditional shelter services. It does this by providing funding to build rental facilities that are designed to address the needs of formerly homeless individuals and families, and by providing Rapid Re-housing rental assistance, to assist those homeless individuals and families to simply need a stabilized living situation to recover. Working with our housing partners, we will continue to work on permanent supportive housing solutions, and other ways to reduce Arizona's homeless population.

Beginning in FY2018, the Department will be working with the Arizona Department of Corrections and other state agencies, to address housing issues of individuals exiting Corrections facilities in order to avoid homelessness and to provide more stable housing situations in order to aid in the reduction of recidivism.

Issue 3 Practicing Fiscal Responsibility

Description The Department will practice fiscal responsibility by providing efficient and effective financial services; wisely investing available resources; and addressing the challenging lack of resources in Arizona to improve the state's most critical housing problems by finding innovative ways to finance the Department's mission without general fund support.

Solutions:

Utilizing the Arizona Management System (AMS), the Department will continue to implement lean management practices that will assist with the most efficient and effective financial services and will lead to the wisest investing of the Department's available resources.

The Department will continue to focus on addressing the challenging lack of resources in Arizona to improve the State's most critical housing problems by finding innovative ways to finance the Department's mission without general fund support. Prior to the economic and ensuing state budget crises, the Department was the beneficiary of excess funding from the State's Unclaimed Property Fund, through a legislated formula of 55 percent of the fund, which was annually deposited into the State Housing Trust Fund. This resource amounted to approximately $30 million a year that the state was dedicating to helping address affordable housing needs throughout the state. This was an important resource, in that it allowed the Department to address housing problems that no federal funding resource addresses. These types of activities included the development and support of homeless shelters, tribal housing issues, disaster-related housing assistance, emergency repairs for low-income homeowners such as roof and heat and air conditioning repairs, emergency eviction prevention programs, and other desirable activities for which no other resources exist. In FY2017, the Department began to be the beneficiary of excess fees earned through the State's mortgage programs, now operated by the Arizona Industrial Development Authority, which will be deposited into the State Housing Trust Fund. The Department will be looking for other such ways to finance its activities without putting a burden on the Arizona taxpayer.

Issue 4 Enhance agency practices to align with business needs

Description This new strategic initiative focuses on the alignment of agency functions with those of our industry partners to improve results through efficient and effective systems and practices.

Solutions:

The Manufactured Housing division of the Arizona Department of Housing utilizes and maintains an antiquated set of desktop and web applications for providing numerous public services to its stakeholders. In combination with these applications, new applications have recently been developed as-needed to introduce new public services electronically. This mixture of old and new has in turn created more difficulties with a rise in administration duties, a lack of information sharing, and no uniformity. With additional development projects on the wait list, continuing down the path of creating small as-needed applications, while ignoring aging ones, is not practical nor suggested. Having a single module-based web application designed from the ground up is recommended. In turn, each module could then share relational information within, create greater awareness, access information faster, reduce data entry, and vastly improve the quality of service and interaction between consumers and ADOH staff.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	77.0	77.0	77.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	323.2	323.2	323.2
Non-Appropriated Funds	28,190.4	29,036.2	29,500.0
Federal Funds	96,633.1	99,532.1	99,532.1

◆ **Goal** 1 To Increase Affordable Housing Opportunities

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of low-income rental units funded annually.	1,919	1,790	1469	1,996	1850
To reduce the number of days from receipt of Rental development funding application to decision.	0	90	88	85	85
To increase the percent of rental properties that are compliant with monitoring each month.	85	85	87	90	90
To reduce the vacancy rate of ADOH monitored federal low-income rental units.	2.25	2.25	1.7	2.0	2.2
To reduce the number of days from request for manufactured or modular housing inspection to issuance of inspection permit.	7	7	4.1	3	3
To conduct 100 percent of all required manufactured housing dealer audits.	103	118	81	118	103

◆ **Goal** 2 To Reduce Homelessness

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
To increase the number of beds funded for housing/shelter/treatment of people experiencing homelessness.	102	125	120	135	130
To increase the percentage of formerly homeless individuals positively exiting assisted housing in the 13 rural counties.	86	90	80	95	90
Increase the number of households exiting homelessness through Rapid Re-housing Assistance.	775	792	788	800	800
To reduce the number of days from receipt of foreclosure assistance application to decision.	23	22	17	22	22

◆ **Goal** 3 To Improve Low Income Communities

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
To maintain the current low average number of days to issue program payments to subcontractors.	5	5	3.7	5	5
To maintain the low number of days from receipt of Loan Servicing requests to completion.	5	5	5	5	5
To reduce the number of multi-family loan deferral requests.	24	24	31	24	24

◆ **Goal** 4 To Enhance Agency Practices to Align with Business Needs

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Launch integrated applicatoin in the manufactured housing division	0	0	0	1	0

Agency Summary

INDEPENDENT REDISTRICTING COMMISSION

Raymond Bladine, Executive Director
Phone: (602) 542-5221
Constitution Art. 4, Part 2, Section 1

Mission:

To administer the fair and balanced redistricting of congressional and legislative districts for the State of Arizona.

Description:

The Independent Redistricting Commission was established with the approval of Proposition 106 by voters in November 2000. The Commission has five members, four of whom are selected by the House and Senate majority and minority leadership. The final member is selected by the other four members and cannot be registered with a political party already represented on the Commission. The five-member Commission is responsible for redrawing Arizona's congressional and legislative district boundaries based on the decennial census.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**0.0**	**0.0**	**0.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Industrial Commission of Arizona

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: James Ashley
Strategic Planner: Jason Porter
Last modified: 07/19/2019

Vision: The best state in the proactive, collaborative, and steadfast protection of the life, health, safety, and welfare of the workforce.

Mission: To efficiently administer and effectively oversee all applicable laws related to the protection of life, health, safety, and welfare of employees within the state.

Agency Description: The Industrial Commission of Arizona (ICA) was established to oversee laws protecting the life, health, safety, and welfare of Arizona's workers. The ICA administers the state's Workers' Compensation Act and other employee protections, such as laws related to occupational safety and health, minimum wage, unpaid wages, and youth employment. The ICA also provides workers' compensation benefits to claimants of uninsured employers and bankrupt self-insured employers.

Executive Summary: The ICA's 2020 strategic plan is being driven by proactive, collaborative workplace safety, continually-improved customer service and operations, and an engaged, high-performing workforce.

With a core mission to protect and assist workers both before and after a workplace injury occurs, and to work with employers in the promotion of workplace safety, the ICA will continue to focus on assisting high-hazard industries in hazard elimination before injuries occur and will begin efforts to reduce the volume of workers' compensation litigation.

A solid foundation has been established to provide extensive online customer service through online forms and portals serving functions throughout the agency, saving stakeholders time and money. Continual improvements and expansion of the online experience will continue through internal insight and customer input.

Significant progress has been made in the last two years to develop a high-performing, engaged workforce. Continued efforts will focus on improving the skillset of every employee through professional development, AMS maturity, and use of standard work.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Model State for Worker Safety and Health	2018	• Increased construction consultation visits by ~ 70% (530) in FY18 and high-hazard visits by ~7% in FY19 (753) • FY19 - 99 Safety& Health Achievement Recognition Program ("SHARP"), Voluntary Protection Program ("VPP"), and Public Entity Partnership Program ("PEPP")participants • FY19 – Completed milestones necessary to apply for ICA VPP recognition • FY19 - Conducted 31 opioid reduction education programs • FY19 - Opioid use in workers' compensation decreasing • Statewide work-related injuries decreasing (FY19 : ~168 reported injuries/100,000 workers)
2	Operational Excellence Through Continuous Improvement	2018	• FY19 - Successfully deployed 100% of AMS elements with a maturity score of 3.6 • FY19 - Deployed electronic filing system for standard work • FY18 - 3 operational breakthroughs (construction visits, electronic records, Special Fund processing) • FY19 - 2 operational breakthrough (Earned Paid Sick Time ("EPST") time limit, EPST average pending time)
3	Efficient Customer Service Through Wise Use of Technology	2018	• FY18 - Deployed online Claims Portal with library of online forms with electronic filing capability • FY19 – Launched Salesforce-based Claims/Administrative Law Judge ("ALJ") computer system w/ enhanced customer portal • FY19 – Launched Salesforce-based Legal case management computer system • FY19 – Deployed 4 customer-focused division web pages
4	High Performing and Agile Workforce	2018	• FY19 - Increased staff professional development by over 100%; 213 employees participated (breakthrough) • FY19 - Developed skill matrices for all agency positions • Increasing engagement score (FY16 – 1.7; FY17 – 4.4; FY18 – 5.0; FY19 – 8.2) • FY19 - Published 207 standard work documents in new ICA standard work filing system
5	Reduce Volume of Workers' Compensation Litigation (Without Impacting Due Process)	2020	• FY19 - Implemented evidence-based treatment guidelines for all body parts and conditions • FY18-19 - Full and Final settlement legislation adopted and judicial review process implemented (303 approved) • FY19 – Helped over 500 employers obtain insurance • Increased Special Fund settlements (FY19 - 83, FY18 - 100)

Industrial Commission of Arizona

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Improved outreach - Increase number of employers who benefit from Arizona Division of Occupational Safety and Health ("ADOSH") programs	• VPP/SHARP/PEPP participation • # of High-hazard consultation visits	• Increase VPP/SHARP/PEPP participation by 10% through community outreach • Achieve 800 high-hazard consultation visits (A3) • Increase # of employees trained by 10% • Complete agency VPP pursuit (A3) • Division focus on prompt abatement of hazards
	Improved outreach - Increase number of employees who benefit from ADOSH programs	• # of employees trained • # of employees impacted by Consultation visits • # of hazards abated & average abatement time	
2	Improve operational efficiency of Labor Department programs	• EPST Retaliation– Processing time limit and avg. pending time • Wage – Processing time limit and avg. pending time	• EPST Retaliation A3 • Wage Claims A3 • Standard work re pre-investigation and investigation process
	Improve operational efficiency of Special Fund	• # of workers' compensation insurance obtained • Indemnity payments – # of days • % of audit criteria achieved	• Continued deployment of Compliance Unit Special Project • Exceed and sustain industry standard claims adjusting (94%) • Indemnity payment A3
3	Successful deployment and strategic improvement of Claims/ALJ System	• # of documents uploaded/webforms submitted in ICA Community • % of inbound documents submitted electronically • % of outbound documents served electronically	• Strategic planning to remedy problems, improve user experience • Standard work re new Claims/ALJ System operations
	Improve customer service by planning for new Labor Department computer system, planning for Cloud-based storage solution, deploying agency credit card portal, and completing Division website refresh	• # of transactions in credit card portal (once deployed) • Number of Division web pages refreshed	• Plan Labor Dept. system with integrated document management and workflow automation • Plan Cloud-based storage solution • Deploy online credit card portal • Complete website refresh project
4	Improve skillset of every employee through professional development, AMS maturity, and use of standard work	• # of employees completing professional development • AMS maturity score • # of standard work documents published	• Continued emphasis - 100% participation in professional development • Continued implementation of Divisional AMS maturity planning • Continued emphasis on creation and publication of standard work documents
5	Reduce workers' compensation litigation in Special Fund	• Total # of Special Fund settlements • # of Full and Final/non-compensable settlements • # of non-apportionment cases referred to ALJ	• Deploy Special Fund Full and Final settlement program • Deploy early-stage intervention process between Legal and Special Fund
	Reduce workers' compensation litigation by improving and increasing training of out-of-state adjusters and facilitating Full and Final settlements	• # of adjusters trained by Claims Division • # of cases referred to ALJ (normalized by number of filed claims) • # of settlements approved by ALJ (normalized by number of referred cases) • # of Full and Final settlements approved	• Strategically improve out-of-state adjuster program by developing survey and compliance monitoring tools • Conduct mediation skills development program for administrative law judges • Conduct multi-state mediation program evaluation and develop recommendations
	Reduce workers' compensation litigation by educating and encouraging use of the Treatment Guidelines process	• # of trainings conducted re Treatment Guidelines • # of peer-review requests received	• Focus on proactive invitations to participate in training re Treatment Guidelines

Agency Summary

INDUSTRIAL COMMISSION OF ARIZONA

James Ashley, Director
Phone: (602) 542-4411
A.R.S. § 23-108.01

Mission:

To administer and oversee all applicable laws related to the protection of the life, health, safety, and welfare of Arizona's workforce.

Description:

The Industrial Commission of Arizona (ICA) was established to oversee laws protecting the life, health, safety, and welfare of Arizona's workforce. The ICA administers Arizona's workers' compensation provisions and other employee protections, such as laws related to occupational safety and health, minimum wage, unpaid wage claims, and youth employment. The ICA also provides workers' compensation benefits to claimants of uninsured and bankrupt self-insured employers.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATIVE SERVICES	5,499.1	6,088.8	8,088.8
➢ WORKERS COMPENSATION CLAIMS ASSURANCE	2,615.4	2,967.5	2,967.5
➢ ADJUDICATION OF DISPUTES	4,645.2	4,750.8	4,750.8
➢ LABOR LAW ADMINISTRATION	902.7	1,006.2	1,006.2
➢ OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION	5,571.5	6,466.5	6,466.5
➢ SPECIAL FUND CLAIMS PROCESSING	14,609.1	14,635.6	14,635.6
➢ LEGAL COUNSEL	1,274.8	1,352.9	1,352.9
Agency Total:	**35,117.8**	**37,268.3**	**39,268.3**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	18,483.3	20,055.5	22,055.5
Other Non Appropriated Funds	16,634.5	17,212.8	17,212.8
Total Funding	**35,117.8**	**37,268.3**	**39,268.3**
FTE Positions	**215.0**	**215.0**	**215.0**

5 Year Plan

Issue 1 FIVE YEAR 2020 STRATEGIC PLAN

Description VISION:

The best state in the proactive, collaborative, and steadfast protection of the life, health, safety, and welfare of the workforce.

MISSION:

To efficiently administer and effectively oversee all applicable laws related to the protection of life, health, safety, and welfare of employees within the state.

AGENCY DESCRIPTION:

The Industrial Commission of Arizona (ICA) was established to oversee laws protecting the life, health, safety, and welfare of Arizona's workers. The ICA administers the state's Workers' Compensation Act and other employee protections, such as laws related to occupational safety and health, minimum wage, unpaid wages, and youth employment. The ICA also provides workers' compensation benefits to claimants of uninsured employers and bankrupt self-insured employers.

EXECUTIVE SUMMARY:

The ICA's 2020 strategic plan is being driven by proactive, collaborative workplace safety, continually-improved customer service and operations, and an engaged, high-performing workforce.

With a core mission to protect and assist workers both before and after a workplace injury occurs, and to work with employers in the promotion of workplace safety, the ICA will continue to focus on assisting high-hazard industries in hazard elimination before injuries occur and will begin efforts to reduce the volume of workers' compensation litigation.

A solid foundation has been established to provide extensive online customer service through online forms and portals serving functions throughout the agency, saving stakeholders time and money. Continual improvements and expansion of the online experience will continue through internal insight and customer input.

Significant progress has been made in the last three years to develop a high-performing, engaged workforce. Continued efforts will focus on improving the skillset of every employee through professional development, AMS maturity, and use of standard work.

Solutions:

STRATEGY 1: Model State for Worker Safety and Health

Start Year: 2018

Progress/Successes:

*Increased construction consultation visits by ~ 70% (530) in FY18 and high-hazard visits by ~7% in FY19 (753)
*FY19 - 99 Safety& Health Achievement Recognition Program ("SHARP"), Voluntary Protection Program ("VPP"), and Public Entity Partnership Program ("PEPP")participants
*FY19 – Completed milestones necessary to apply for ICA VPP recognition
*FY19 - Conducted 31 opioid reduction education programs
*FY19 - Opioid use in workers' compensation decreasing
*Statewide work-related injuries decreasing (FY19 : ~168 reported injuries/100,000 workers)

FY 20 Annual Objectives:

*Improved outreach - Increase number of employers who benefit from Arizona Division of Occupational Safety and Health ("ADOSH") programs

*Improved outreach - Increase number of employees who benefit from ADOSH programs

STRATEGY 2: Operational Excellence Through Continuous Improvement

Start Year: 2018

Progress/Successes:

*FY19 - Successfully deployed 100% of AMS elements with a maturity score of 3.6
*FY19 - Deployed electronic filing system for standard work
*FY18 - 3 operational breakthroughs (construction visits, electronic records, Special Fund processing)
*FY19 - 2 operational breakthrough (Earned Paid Sick Time ("EPST") time limit, EPST average pending time)

FY 20 Annual Objectives:

*Improve operational efficiency of Labor Department programs
*Improve operational efficiency of Special Fund

STRATEGY 3: Efficient Customer Service Through Wise Use of Technology

Start Year: 2018

Progress/Successes:

*FY18 - Deployed online Claims Portal with library of online forms with electronic filing capability
*FY19 – Launched Salesforce-based Claims/Administrative Law Judge ("ALJ") computer system w/ enhanced customer portal
*FY19 – Launched Salesforce-based Legal case management computer system
*FY19 – Deployed 4 customer-focused division web pages

FY 20 Annual Objectives:

*Successful deployment and strategic improvement of Claims/ALJ System
*Improve customer service by planning for new Labor Department computer system, planning for Cloud-based storage solution, deploying agency credit card portal, and completing Division website refresh

FY 21 Funding Issue:

*The ICA is requesting a one-time, non-general fund appropriation of $2 million to provide funding for FY 2021 and FY 2022 information technology ("IT") projects. The $2 million appropriation will fund the ICA's technology modernization efforts. The focus for FY 2021 is to fully implement the Statewide Cloud First Initiative and modernize the ICA's Labor Department system. The ICA's data storage and Labor systems are in need of modernization. Additionally, during FY 2021 and FY 2022, the ICA is planning to leverage Salesforce to further develop the Claims system and modernize Finance & Budget, ADOSH and Special Fund systems.

STRATEGY 4: High Performing and Agile Workforce

Start Year: 2018

Progress/Successes:

*FY19 - Increased staff professional development by over 100%; 213 employees participated (breakthrough)
*FY19 - Developed skill matrices for all agency positions
*Increasing engagement score (FY16 – 1.7; FY17 – 4.4; FY18 – 5.0; FY19 – 8.2)

*FY19 - Published 207 standard work documents in new ICA standard work filing system

FY 20 Annual Objectives:

* Improve skillset of every employee through professional development, AMS maturity, and use of standard work

STRATEGY 5: Reduce Volume of Workers' Compensation Litigation (Without Impacting Due Process)

Start Year: 2020

Progress/Successes:

*FY19 - Implemented evidence-based treatment guidelines for all body parts and conditions
*FY18-19 - Full and Final settlement legislation adopted and judicial review process implemented (303 approved)
*FY19 – Helped over 500 employers obtain insurance
*Increased Special Fund settlements (FY19 - 83, FY18 - 100)

FY 20 Annual Objectives:

* Reduce workers' compensation litigation in Special Fund
* Reduce workers' compensation litigation by improving and increasing training of out-of-state adjusters and facilitating Full and Final settlements
*Reduce workers' compensation litigation by educating and encouraging use of the Treatment Guidelines process

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	215.0	215.0	215.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	20,055.5	20,055.5	20,055.5
Non-Appropriated Funds	14,029.9	14,029.9	14,029.9
Federal Funds	3,182.9	3,182.9	3,182.9

◆ **Goal** 1 To become a model state for worker safety and health.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Tracking Purposes Only-No Targets: Average number of workers' compensation claims notified (processed) in month divided by number of total employment (non-farm, not seasonally adjusted) x 100,000	204.5	202.5	169.3	N/A	N/A
Explanation: FY20 Scorecard: ICA Work Related Injuries					
Percent of VPP milestones completed by fiscal year end, according to milestone plan	0	100	68	100	N/A
Explanation: FY20 Scorecard: ICA Voluntary Protection Program					

◆ **Goal** 2 To achieve operational excellence through continuous improvement.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of breakthrough goals achieved	3	2	3	N/A	N/A
Explanation: FY20 Scorecard: N/A					

◆ **Goal** 3 To provide efficient customer service through the wise use of technology.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of implementation completed by end of fiscal year	N/A	100	100	N/A	N/A

Explanation: FY20 Scorecard: N/A

◆ **Goal** 4 To become a high performing and agile workforce.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of active employees in HRIS (excluding board and commission members, interns, volunteer, and "pool" positions)	197	215	202	215	215

Explanation: FY20 Scorecard: # of Agency FTE Headcount

Percent of core processes documented by end of fiscal year	N/A	100	90	N/A	N/A

Explanation: FY20 Scorecard: N/A

Total # of Standard Work documents published during the fiscal year to date, reported on the last day of each reporting month.	0	0	207	180	N/A

Explanation: FY20 Scorecard: ICA - Standard Work Publications

Agency Maturity score is generated from average of all Milestone Scores from the AMS Assessment. Milestone scores are generated by averaging component scores across the organization.	3.6	4.0	3.6	3.8	4.0

Explanation: FY20 Scorecard: AMS Implementation Score

Percent of agency deployment is generated from the average active deployments from the AMS Assessment Summary	91	100	100	100	100

Explanation: FY20 Scorecard: AMS Deployment %

Program Summary

ADMINISTRATIVE SERVICES

Sylvia Simpson, Chief Financial Officer
Phone: (602) 542-4654
A.R.S. § 23-101, et seq.

Mission:

To provide support services necessary to ensure the efficient and effective operation of the ICA.

Description:

Administrative Services comprises the following six departments or divisions: Director's Office, which provides executive management and Commission support services; Accounting, which provides financial accounting, investment management, tax assessment, tax collection, budgeting, strategic planning, and workers' compensation self-insurance program services; Management Information Services; Human Resources; Medical Resource Office, which provides administrative review and oversight of the implementation of a process for the use of medical treatment guidelines; and Special Services, which provides facilities management, procurement, and mail services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	5,490.9	5,888.3	7,888.3
Other Non Appropriated Funds	8.2	200.5	200.5
Total Funding	**5,499.1**	**6,088.8**	**8,088.8**
FTE Positions	**38.0**	**38.0**	**38.0**

◆ **Goal** 1 To achieve operational excellence through continuous improvement.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of days to process a self-insurance renewal application	25	15	12	15	15

Explanation: FY20 Scorecard: N/A

◆ **Goal** 2 To provide efficient customer service through the wise use of technology.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of website pages completed by end of fiscal year	N/A	100	36	100	N/A

Explanation: FY20 Scorecard: MIS - Website Refresh

Total # of webpages launched, reported at the end of each reporting month.	0	0	4	16	N/A

Explanation: FY20 Scorecard: MIS - Website Refresh

Tracking Purposes Only-No Targets: # of transactions processed in ICA Payment Portal during reporting month	0	0	N/A	N/A	N/A

Explanation: FY20 Scorecard: ICA Payment Portal - Transactions

◆ **Goal** 3 To become a high performing and agile workforce

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent completed by end of fiscal year	N/A	100	100	N/A	N/A
Explanation: FY20 Scorecard: N/A					
Number of FTEs completing professional development classes during the fiscal year	95	143	213	201	N/A
Explanation: FY20 Scorecard: Professional Development					

◆ **Goal** 4 To reduce volume of workers' compensation litigation (without impacting due process).

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total # of educational presentations delivered or coordinated by agency related to opioid reduction or treatment guidelines during fiscal year, reported at the end of each month.	13	16	31	25	N/A
Explanation: FY20 Scorecard: MRO - Stakeholder Opioid Reduction Education					
Tracking Purposes Only-No Targets: # of peer review requests received by the MRO Office during reporting month.	0	0	N/A	N/A	N/A
Explanation: FY20 Scorecard: MRO - Peer Review Requests					

Program Summary

WORKERS COMPENSATION CLAIMS ASSURANCE

Ruby Tate, Manager
Phone: (602) 542-4661
A.R.S. § 23-901, et seq.

Mission:

To ensure that all workers' compensation claims are processed in accordance with the laws and rules of Arizona.

Description:

This program oversees activities of insurance carriers, self-insured employers, and third-party administrators to ensure the proper processing and payment of workers' compensation claims, which includes assessing penalties for bad faith or unfair claims processes and ensuring that claims are accepted or denied within 21 days of receipt of notices of claim. The Claims Division oversees the administration of medical and indemnity benefits for workers' compensation claims. This Division also includes the Ombudsman's office, which provides assistance to stakeholders.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,425.6	2,820.5	2,820.5
Other Non Appropriated Funds	189.8	147.0	147.0
Total Funding	**2,615.4**	**2,967.5**	**2,967.5**
FTE Positions	**37.0**	**37.0**	**37.0**

◆ **Goal** 1 To achieve operational excellence through continuous improvement.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of days from the receipt of the AMW information to date of determination	37	24	N/A	N/A	N/A
Explanation: Modified below as ICA3354. During FY 19, did not track objective.					
Age (in # of days) of the oldest pending AMW claim (not referred to bad faith) at COB on the last day of each month.	0	0	94	50	50
Explanation: FY20 Scorecard: Claims - AMW Determination Time Limit					
Average number of days from receipt of all necessary information to issuance of LEC award	54	46	46	46	46
Explanation: FY20 Scorecard: Claims - Loss of Earning Capacity (LEC) Awards					

◆ **Goal** 2 To provide efficient customer service through the wise use of technology.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent implemented by end of fiscal year	N/A	100	100	N/A	N/A
Explanation: FY20 Scorecard: N/A					
Tracking Purposes Only-No Targets: Total # of documents submitted during reporting month via electronic means (upload, webform, fax, sftp) divided by total number of documents submitted (including by U.S. Mail) during the reporting month.	0	0	N/A	N/A	N/A
Explanation: FY20 Scorecard: Claims/ALJ System - Inbound (Electronic)					
Tracking Purposes Only-No Targets: Total # of Claims documents sent by agency during reporting month via electronic means (fax, sftp, email notification) divided by total number of documents sent (including by U.S. Mail) during the reporting month.	0	0	N/A	N/A	N/A
Explanation: FY20 Scorecard: Claims/ALJ System - Outbound (Electronic)					

◆ **Goal** 3 To reduce volume of workers' compensation litigation (without impacting due process)

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Tracking Purposes Only-No Targets: Total # of out-of-state adjusters who successfully pass the post-test (or attend Claims Seminar) during fiscal year to date, reported at the end of each month.	0	0	N/A	N/A	N/A
Explanation: FY20 Scorecard: Claims - Out-Of-State Adjuster Training					

Program Summary

ADJUDICATION OF DISPUTES

Michael A. Mosesso, Chief Judge
Phone: (602) 542-5241
A.R.S. § 23-941

Mission:

To resolve disputed matters in workers' compensation, youth employment, and wages efficiently, impartially and equitably as the administrative tribunal of the ICA in matters that arise under the jurisdiction of the ICA.

Description:

The vast majority of matters that are brought before the ALJ Division involve resolution of disputes in workers' compensation cases arising out of and during the administration of claims by insurance carriers, self-insured employers or the ICA as well as decisions made by the ICA. In addition, the ALJ Division hears matters arising under A.R.S. Title 23, youth employment, wage disputes, minimum wage cases, and earned paid sick time cases. Binding arbitration cases under A.R.S. § 38-961 (Public Safety Employees) are also heard by the ALJ Division.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	4,645.2	4,750.8	4,750.8
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**4,645.2**	**4,750.8**	**4,750.8**
FTE Positions	**36.0**	**36.0**	**36.0**

◆ **Goal** 1 To achieve operational excellence through continuous improvement

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of days to issue an Administrative Law Judge (ALJ) award.	14	30	19	25	25
Of the ALJ awards issued, percent of substantive awards issued within 60 days.	100	100	100	N/A	N/A

Explanation: FY 20 Scorecard: N/A

◆ **Goal** 2 To provide efficient customer service through the wise use of technology

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of new agency ALJ workflow automation and document management system implemented	N/A	100	100	N/A	N/A

Explanation: FY20 Scorecard: N/A

◆ **Goal** 3 To reduce volume of workers' compensation litigation (without impacting due process)

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Tracking Purposes Only-No Targets: Divide the # of settlements approved by ALJ during reporting month by the number of cases referred to ALJ during the reporting month, then multiply by 100.	0	0	N/A	N/A	N/A
Explanation: FY20 Scorecard: ALJ - Approved Settlements					
Tracking Purposes Only-No Targets: Divide the # of cases referred to ALJ during reporting month by the number of claims notified during the reporting month, then multiply by 100.	0	0	N/A	N/A	N/A
Explanation: FY20 Scorecard: ALJ - Case Referrals					
Tracking Purposes Only-No Targets: # of Full & Final settlements approved by ALJ during reporting month.	0	0	N/A	N/A	N/A
Explanation: FY20 Scorecard: ALJ - Full & Final Settlements					

Program Summary

LABOR LAW ADMINISTRATION

Steve Welker, Director
Phone: (602) 542-4515
A.R.S. §§ 23-230 et seq., 23-350 et seq., 23-363 et seq., 23-521 et seq.

Mission:

To enforce and provide administration of labor laws regarding wage, youth labor, minimum wage, and earned paid sick time.

Description:

The program enforces all statutes and rules concerning the resolution of wage complaint disputes, the enforcement of youth employment laws, and the enforcement of minimum wage and earned paid sick time (EPST) laws.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	902.7	1,006.2	1,006.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**902.7**	**1,006.2**	**1,006.2**
FTE Positions	**15.0**	**15.0**	**15.0**

◆ **Goal** 1 To achieve operational excellence through continuous improvement.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of days from date or receipt of completed wage form to date of resolution	55	60	65	N/A	N/A
Explanation: FY20 Scorecard: N/A					
Number of days from receipt of EPST claim to date claim resolution is competed with all necessary documentation completed for oldest EPST claim closed	319	135	119	125	125
Explanation: FY20 Scorecard: Labor - EPST - Processing Time Limit					
Sum of number of pending days (beginning with date of receipt of completed EPST form) for all open EPST claims divided by number of open EPST claims	124	90	55	50	50
Explanation: FY20 Scorecard: Labor - EPST - Avg. Pending Time					
# of days from receipt of EPST Retaliation claim to date claim resolution competed with all necessary documentation completed for oldest EPST Retaliation claim closed during reporting month.	0	0	N/A	180	180
Explanation: FY20 Scorecard: Labor - EPST Retaliation - Processing Time Limit					
Sum of # of pending days (beginning with date of receipt of completed EPST Retaliation form) for all open EPST Retaliation claims divided by number of open EPST claims	0	0	N/A	60	60
Explanation: FY20 Scorecard: Labor -EPST Retaliation - Avg. Pending Time					
# of days from receipt of Wage claim to date claim resolution competed with all necessary documentation completed for oldest Wage claim closed during reporting month	0	0	N/A	124	124
Explanation: FY20 Scorecard: Labor - Wage - Processing Time Limit					
Sum of # of pending days (beginning with date of receipt of completed wage form) for all open Wage claims divided by number of open Wage claims	0	0	N/A	50	50
Explanation: FY20 Scorecard: Labor -Wage - Avg. Pending Time					

Program Summary

OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION

Jessie Atencio, Director
Phone: (602) 542-5795
A.R.S. § 23-405

Mission:

To ensure the safety of employees in the State of Arizona covered by the Arizona Occupational Safety and Health Act.

Description:

ADOSH administers the Arizona Occupational Safety and Health Act through a State Plan with Federal OSHA. The Division is responsible for enforcing the occupational safety and health standards in all industries in Arizona except mining, establishments located on Indian reservations, and federal agencies. The Division is also responsible for elevator and boiler safety. ADOSH focuses its efforts on both compliance and consultation/training.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	3,022.3	3,468.9	3,468.9
Other Non Appropriated Funds	2,549.2	2,997.6	2,997.6
Total Funding	**5,571.5**	**6,466.5**	**6,466.5**
FTE Positions	**64.0**	**64.0**	**64.0**

◆ **Goal** 1 To become a model state for worker safety and health.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
The number of safety consultations for high-hazard employers completed during the fiscal year	704	775	753	800	825
Explanation: FY20 Scorecard: ADOSH Outreach -Safety Consultations-High Hazard					
Total # of employers who are participating in an ADOSH partnership (including VPP, SHARP, PEPP, CPP, AAMPP, HPP, and RRAP programs) at the end of each reporting month.	88	97	139	153	168
Total # of days to abate hazards that are abated in reporting month divided by total number of hazards abated in reporting month as result of ADOSH Consultation and Compliance Programs	0	0	N/A	26	23
Explanation: FY20 Scorecard: ADOSH Outreach - Abatement Time					
Total # of hazards abated by Arizona employers as a result of ADOSH Consultation and Compliance Programs during fiscal year, reported at the end of each month.	0	0	N/A	2,341	2,458
Explanation: FY20 Scorecard: ADOSH Outreach - Hazards Abated					
Total # of Arizona employees removed from a hazard as a result of ADOSH Consultation or Compliance Assistance visits during the reporting year, reported at the end of each reporting month.	0	0	N/A	17,643	18,643
Explanation: FY20 Scorecard: ADOSH Outreach - Employees Impacted					
Total # of Arizona employees trained by ADOSH Consultation or Compliance Assistance, both formal and informal training, during reporting year, reported at the end of each reporting month.	0	0	N/A	4,644	4,876
Explanation: FY20 Scorecard: ADOSH Outreach - Employees Trained					

Program Summary

SPECIAL FUND CLAIMS PROCESSING

Bonnie Holly, Special Fund Manager
Phone: (602) 542-3294
A.R.S. §§ 23-907, 23-966, 23-1065

Mission:

To provide benefits to all injured employees not covered by regular workers' compensation insurance coverage or by self-insurance coverage in Arizona.

Description:

The program processes all claims for injured workers where the employer failed to provide workers' compensation insurance; provides continual workers' compensation benefits for bankrupt self-insured employers; provides partial coverage of workers' compensation benefits for second injury claims; provides vocational rehabilitation benefits; and provides continuing medical benefits for pre-1973 workers' compensation claimants.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	827.3	847.0	847.0
Other Non Appropriated Funds	13,781.8	13,788.6	13,788.6
Total Funding	**14,609.1**	**14,635.6**	**14,635.6**
FTE Positions	**11.0**	**11.0**	**11.0**

◆ **Goal** 1 To achieve operational excellence through continuous improvement.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of days from acceptance of no insurance claim to first indemnity payment made	53	60	55	60	60

Explanation: FY20 Scorecard: Special Fund - Indemnity Payments - No Insurance Claims

All audit scores for Special Fund claim files audited during the month divided by number of files audited during the month	73	90	89	95	95

Explanation: FY20 Scorecard: Special Fund - Audit (All Claims)

◆ **Goal** 2 To reduce volume of workers' compensation litigation (without impacting due process)

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Special Fund cases settled during the fiscal year	100	65	83	84	84
Explanation: FY20 Scorecard: Special Fund - Voluntary Settlements					
Tracking Purposes Only-No Targets: # of non-apportionment Special Fund cases referred to ALJ Division and opened by the Legal Division each reporting month.	0	0	N/A	N/A	N/A
Explanation: FY20 Scorecard: Special Fund - ALJ Referrals (Non-Apportionment)					
Total # of Special Fund cases settled as non-compensable or via Full and Final settlement during reporting year, reported at the end of each reporting month.	0	0	N/A	18	18
Explanation: FY20 Scorecard: Special Fund - Voluntary Settlements					

Program Summary

LEGAL COUNSEL

Gaetano Testini, Chief Counsel
Phone: (602) 542-5781
A.R.S. § 41-192 (G)

Mission:

To further the strategic goals of the Industrial Commission of Arizona by: (1) skillfully managing the Commission's legal affairs; (2) providing timely and reliable legal advice and services that foster sound decision-making in all areas of operation; (3) proactively pursuing collection efforts; (4) promoting business compliance with workers' compensation coverage laws; and (5) recommending appropriate policies, practices, and procedures that minimize risk.

Description:

The Legal Division represents the Special Fund, ADOSH, and the Labor Department in all legal matters affecting or involving these Divisions. The program promulgates rules for the Agency, provides legal advice as requested by Commission and agency staff, represents the Agency in personnel matters, initiates collection of no-insurance accounts receivables and third party liens, and operates a program for processing and collecting of other delinquent accounts. The program also operates a compliance program that identifies Arizona employers who are operating without workers' compensation insurance.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,169.3	1,273.8	1,273.8
Other Non Appropriated Funds	105.5	79.1	79.1
Total Funding	**1,274.8**	**1,352.9**	**1,352.9**
FTE Positions	**14.0**	**14.0**	**14.0**

◆ **Goal** 1 To achieve operational excellence through continuous improvement.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of no insurance investigations resulting in employers obtaining workers' compensation insurance during the fiscal year	338	408	509	444	444

Explanation: FY20 Scorecard: Legal - WC Insurance Obtained

Agency Summary

DEPARTMENT OF INSURANCE

Keith A. Schraad, Director
Phone: (602) 364-3100
Arizona Constitution Article 15, Section 5; A.R.S. Title 20

Mission:

To protect Arizona citizens and businesses by promoting a safe, strong, innovative, and competitive insurance marketplace.

Description:

The Department of Insurance is the most cost-efficient insurance department in the nation per capita. The Department assists and potects Arizona citizens and businesses by making sure Arizona insurance companies are financially sound so they can pay insurance claims; by answering questions and investigating complaints from Arizona citizens and businesses; by helping the insurance iindustry comply with Arizona law; by helping defray the cost of state government with $500 million of insurance premium tax collections each year; and, by encouraging competition and economic development.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ POLICY AND ADMINISTRATION	1,419.2	1,556.9	1,556.9
➢ SOLVENCY REGULATION	2,597.6	2,654.4	2,654.4
➢ CONSUMER SUPPORT	2,842.8	2,849.0	2,849.0
➢ FRAUD INVESTIGATION AND DETERRENCE	989.2	1,115.8	1,115.8
➢ LICENSING	610.1	646.9	646.9
➢ PREMIUM TAX COLLECTIONS AND ANALYSIS	161.6	167.1	167.1
➢ CAPTIVE INSURER PROGRAM	319.0	396.1	396.1
Agency Total:	**8,939.5**	**9,386.2**	**9,386.2**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	5,116.5	5,663.2	5,663.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	3,823.0	3,723.0	3,723.0
Total Funding	**8,939.5**	**9,386.2**	**9,386.2**
FTE Positions	**72.0**	**76.0**	**76.0**

Department of Insurance

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Keith Schraad
Strategic Planner: Scott Greenberg
Last modified: 07/18/2019

Vision: Effective insurance consumer protection with minimal regulatory and taxpayer burden.

Mission: To protect Arizona citizens and businesses by promoting a safe, strong, innovative and competitive insurance marketplace.

Agency Description: The Arizona Department of Insurance is the most cost-efficient insurance department in the nation per capita. The Department assists and protects Arizona citizens and businesses by making sure Arizona insurance companies are financially sound so they can pay insurance claims; by answering questions and investigating complaints from Arizona citizens and businesses; by helping the insurance industry comply with Arizona law; by helping defray the cost of state government with $500 million of insurance premium tax collections each year; and, by encouraging competition and economic development.

Executive Summary: The Department of Insurance identified the following four strategic priorities toward actualizing our vision:

Agency Consolidation by Identifying and proposing ways to modernize and unify insurance, financial-institution and auto-theft-authority laws and rules; and, by unifying agency operations, incorporating best practices.

Consumer Education and Protection by improving awareness and accessibility of Arizona's surprise out-of-network billing dispute resolution process; and, increasing and improving consumer and industry outreach and publicity.

Solvency Oversight by strengthening compliance with NAIC accreditation standards.

Agency Modernization by Increasing staff training to remain responsive to industry innovation and to promote agency data security.

-

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Agency Consolidation	2019	Launched collaboration among the Department of Insurance, Department of Financial Institutions and the Arizona Automobile Theft Authority to formulate an action plan for agency consolidation
2	Consumer Education and Protection	2017	Launched surprise out-of-network billing dispute resolution process and system; implemented part of an improved interactive web-based information resource that has already resulted in fewer health insurance questions
3	Solvency Oversight	2017	Received five-year reaccreditation by the National Association of Insurance Commissioners in FY 2019; increased opportunities for training and professional-designation for financial analysts
4	Agency Modernization	2016	Implemented a more robust licensing and regulatory information system; eliminated numerous out-moded rules; worked with stakeholders to modernize insurance premium tax filing laws

Department of Insurance

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Identify ways to modernize and unify insurance, financial-institution and auto-theft-authority rules	# of improved or eliminated rules	Work with stakeholders to identify and improve or eliminate outmoded or conflicting rules.
	Unify agency operations, incorporating best practices	% of 2019 and prior audit findings resolved	Implement best practices for administration, licensing, consumer assistance and examination/analysis functions; resolve findings in Auditor General and General Accounting Office performance and internal control audit reports.
			Implement consolidated website that adopts best practices for providing visitors with an intuitive, easy-to-use resource.
2	Increase and improve consumer and industry outreach and publicity	% change in consumer calls received % complaints without violations	
	Improve awareness and accessibility of the surprise out-of-network billing dispute resolution (SOONBDR) process	# of SOONBDR requests received % of SOONBDR requests that qualify for the dispute resolution process	Create presentation to explain the SOONBDR process and disseminate to consumer, provider and industry associations/groups; make accessible on agency website.
3	Strengthen compliance with NAIC accreditation standards	% of Arizona-domestic multi-state financial filings reviewed within NAIC timeframes	Secure stand-by analytical resources to address peak and unforeseen work volume or regulatory issues.
		% of solvency regulation staff attaining new professional designation	Further increase training and development opportunities.
4	Increase staff training and implement succession planning to remain responsive to industry innovation and to promote agency data security	% of staff completing 2 or more data security training courses	Identify and make available staff training opportunities around data security.
		% of staff formally cross-trained	Implement formal succession planning and cross-training programs with current- and future-looking topics.

5 Year Plan

Issue 1 Agency Consolidation

Description The Arizona Department of Financial Institutions and the Arizona Automobile Theft Authority will be consolidated into the Arizona Department of Insurance, forming the Arizona Department of Insurance and Financial Institutions effective July 1, 2020.

Solutions:

IDENTIFY WAYS TO MODERNIZE AND UNIFY INSURANCE, FINANCIAL-INSTITUTION AND AUO-THEFT-AUTHORITY RULES by working with sakeholders to identify and improve or eliminate outmoded or conflicting rules.

UNIFY AGENCY OPERATIONS, INCORPORATING BEST PRACTICES by implementing best practices for administration, licensing, consumer assistance and examination/analysis functions; by resolving findings in Auditor General and General Accounting Office performance and internal control reports; and by implementing a consolidated website that adopts best practices for providing visitors with an intuitive, easy-to-use resource.

Issue 2 Consumer Education and Protection

Description The evolution of new insurance products, federal and state legislation, and advances in technology present challenges to Arizona citizens in terms of understanding the type of product or service they are considering (insurance versus something other than insurance), obtaining coverage that will best meet their needs, and in understanding rights under policies/contracts and Arizona law.

Solutions:

INCREASE AND IMPROVE CONSUMER AND INDUSTRY OUTREACH AND PUBLICITY by implementing a consolidated website that adopts best practices for providing visitors with an intuitive, easy-to-use resource.

IMPROVE AWARENESS AND ACCESSIBILITY OF THE SURPRISE OUT-OF-NETWORK BILLLING DISPUTE RESOULTION (SOONBDR) PROCESS by creating a presentation to explaint eh SOONBDR process and disseminating it to consumers, providers and industry associations/groups, and making the presentation available on the agency website.

Issue 3 Solvency Oversight

Description State insurance departments must meet baseline sstandards, ust undergo annual interim review, and every five years must undergo a full on-site accreditation review to ensure that states have the laws, resources and practices in place to ensure that insurance companies remain financially solvent and able to pay claims under the policies they issue.

Solutions:

STRENGTHEN COMPLIANCE WITH NAIC ACCREDITATION STANDARDS by securing stand-by analytical resources to address peak and unforeseen work volume or regulatory issues, and further increase training and development opportunities.

Issue 4 Agency Modernization

Description The evolution of new insurance products, federal and state legislation, and advances in technology present challenges in competently overseeing the insurance industry while fostering a welcoming, supportive environment to industry innovation.

Solutions:

INCREASE STAFF TRAINING AND IMPLEMENT SUCCESSION PLANNING TO REMAIN RESPONSIVE TO INDUSTRY INNOVATION AND TO PROVMOTE AGENCY DATA SECURITY by developing and implementing formal succession planning and corss-training programs with current- and future-looking topics.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	81.0	81.0	81.0
General Fund	5,663.2	5,663.2	5,663.2
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	3,723.0	3,723.0	3,723.0
Federal Funds	0.0	0.0	0.0

Program Summary

POLICY AND ADMINISTRATION

Scott B. Greenberg, Deputy Director
Phone: (602) 364-3764
A.R.S. Title 20; A.R.S. Title 20; AZ Const. Art. 15, § 5

Mission:

To provide leadership and support toward the Department efficiently and effectively achieving its mission.

Description:

This program leads, manages the resources of, and provides support to the Department towards its successfully fulfilling its mission. It reaches out to major constituencies (industry, consumers and media) and works to improve processes, systems, laws, rules, administrative and regulatory policies and procedures; coordinates regulatory efforts with fellow state insurance regulators through participation in the National Association of Insurance Commissioners, and with other state and federal agencies; coordinates enforcement efforts with the Attorney General's Office and issues administrative orders; develops and oversees strategic and operational plans and budgets; coordinates responses to public records requests and subpoenas; and provides agency accounting, budgeting, payroll, personnel, facilities management, risk management, telecommunication, information technology, mail processing and courier services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,413.3	1,552.4	1,552.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	5.9	4.5	4.5
Total Funding	**1,419.2**	**1,556.9**	**1,556.9**
FTE Positions	**8.0**	**10.0**	**10.0**

◆ **Goal** 1 To efficiently and effectively coordinate, facilitate and support accomplishment of department-wide and divisional goals and objectives.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Employee engagement ratio	6.5	6.7	4.8	5.0	5.0

Explanation: Sum of "strongly agree" responses divided by the sum of "disagree" and "strongly disagree" responses to the Employee Engagement Survey

◆ **Goal** 2 To provide a satisfying work environment for agency employees.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of employee separations to average filled FTE positions	14.6	15.0	10.9	15.0	15.0

Explanation: As of the end of FY 2018, 12 of 72.5 FTEs were eligilble for retirement, and an additional 2 FTEs will be retirement-eligible in FY 2020.

Percentage of Insurance Department employees surveyed who responded they were "satisfied" with their jobs	88.0	90.0	75.0	80.0	80.0

◆ **Goal** 3 To provide high-quality business and technology services and support to internal customers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of Insurance Department employees surveyed who responded they were "satisfied" or better with the Business Services Section	68.4	85.0	89.5	85.0	85.0
Percentage of Insurance Department employees surveyed who responded they were "satisfied" or better with the Information Services Division	80.3	80.0	86.0	80.0	80.0

Program Summary

SOLVENCY REGULATION

Kurt A. Regner, Assistant Director
Phone: (602) 364-3963
A.R.S. Title 20; AZ Const. Art. 15, § 5 and Art. 14, § 16

Mission:

To promote the ability of authorized insurers to perform their financial obligations under insurance policies.

Description:

The program monitors the solvency of insurers doing business in Arizona through field examination and analysis of financial and transactional filings, administers the estates of Arizona insurer receiverships, and pays certain claims owed by insolvent insurers to Arizona residents.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	282.2	347.6	347.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	2,315.4	2,306.8	2,306.8
Total Funding	**2,597.6**	**2,654.4**	**2,654.4**
FTE Positions	**13.4**	**14.4**	**14.4**

◆ **Goal** 1 To efficiently and effectively analyze and examine insurer financial filings and records.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of domestic multi-state insurer financial filings reviewed within timeframes prescribed by the National Association of Insurance Commissioners (NAIC).	92.0	95.0	99.1	95.0	95.0
Percentage of domestic insurers examined within statutory timeframes	100.0	100.0	92.9	100.0	100.0
Number of new domestic receiverships	0	N/A	0	0	0

Explanation: No one can predict the number or timing of insurance company insolvencies.

Program Summary

CONSUMER SUPPORT

Erin H. Klug, Assistant Director
Phone: (602) 364-3762
A.R.S. Title 20

Mission:

To assist, inform, and protect Arizona insurance consumers.

Description:

This program provides information and assistance to the public on a broad range of insurance-related issues; administers health care appeals; and performs investigations, examinations, and market surveillance in furtherance of consumer interests.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,770.5	1,944.2	1,944.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,072.3	904.8	904.8
Total Funding	**2,842.8**	**2,849.0**	**2,849.0**
FTE Positions	**28.8**	**28.8**	**28.8**

◆ **Goal** 1 To efficiently and effectively analyze and examine insurers' marketing, claims, underwriting, and rating practices.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of market conduct examination reports filed within one year after exit from company for reports filed during the year	100.0	100.0	N/A	100.0	100.0
Amount of restitution recovered through market conduct examinations (in thousands of dollars)	0.0	10.0	0	10.0	0
Percentage of market conduct examination draft reports sent to the company within 60 days after exit	100.0	100.0	N/A	100.0	100.0
Percentage of major medical health insurers that submitted timely pay and grievance reports that complied with the requirements of ARS § 20-3102(F).	100.0	100.0	0	100.0	0

◆ **Goal** 2 To efficiently and effectively review rates, policies, contracts and related form filings to verify they comply with Arizona law.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average calendar days to review required rate and form filings excluding long-term care filings.	10.5	10.0	11.7	12.0	12.0

Explanation: Average calendar days to close (approve/deny/see withdrawal of) required form/rate filings except those for long-term care products from date received to date decision sent.

Percentage of form, rate and rule filings, excluding long-term care filings, closed without objections.	69.9	70.0	62.7	65.0	70.0

◆ **Goal** 3 To efficiently and effectively help Arizona citizens and businesses resolve insurance-related problems.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of survey respondents indicating satisfied or better with assistance rendered	N/A	N/A	N/A	60.0	60.0
Percentage of health care appeals administered within statute-prescribed timeframes for health care appeal cases completed during the fiscal year	100.0	99.5	67.7	90.0	90.0
Average calendar days to resolve insurance consumer complaints.	91.5	50.0	60.7	60.0	60.0

◆ **Goal** 4 To administer a simple, fair, efficient and cost-effective arbitration procedure for surprise out-of-network bill disputes.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of billing dispute resolution requests the ADOI administered within statute-prescribed time frames.	N/A	100	100	100	100

Explanation: Calculates the percentage of dispute resolution cases for which the ADOI completed ADOI-required activities by or before statute-prescribed deadlines. Assumes agency continues to have funding available to pay employees to administer the process.

Percentage of surprise out-of-network billing dispute-resolution-eligible cases resulting in the enrollee paying at least 50% less than the amount the enrollee would have been obligated to pay without the billing dispute resolution process.	N/A	60	100	80	80

Program Summary

FRAUD INVESTIGATION AND DETERRENCE

Paul Hill, Assistant Director
Phone: (602) 364-2140
A.R.S. §§ 20-466 et seq.

Mission:

To deter, investigate, and facilitate conviction for insurance fraud.

Description:

This program conducts criminal investigations from cases received from insurers and other sources that allege various forms of insurance fraud; and, promotes fraud awareness within the insurance industry, law enforcement community and with Arizona citizens and businesses.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	989.2	1,115.5	1,115.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.3	0.3
Total Funding	**989.2**	**1,115.8**	**1,115.8**
FTE Positions	**8.0**	**9.0**	**9.0**

◆ **Goal** 1 To efficiently and effectively investigate fraud referrals.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of fraud referrals received from insurers	2,576	2,600	3,007	3,000	3,000
Number of investigations completed from referrals	165	180	345	250	250
Number of insurer-referred cases submitted for prosecution	99	60	221	100	100
Number of convictions from insurer-referred cases	10	10	14	10	10
Total restitution ordered from investigations of insurer-referred cases (in thousands of dollars)	495.5	250.0	238.9	250.0	250.0
Number of warning letters issued to fraud suspects.	0	90	24	25	25

Program Summary

LICENSING

Scott B. Greenberg, Deputy Director
Phone: (602) 364-3764
A.R.S. Title 20; AZ Const. Art. 15, § 5

Mission:

To provide efficient and highly responsive insurance licensing services while restricting license issuance and renewal to qualified candidates.

Description:

This program issues licenses regulated under A.R.S. Title 20 to candidates that meet requirements, and oversees the administration of related activities, such as producer continuing education and pre-license examinations.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	499.7	536.4	536.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	110.4	110.5	110.5
Total Funding	**610.1**	**646.9**	**646.9**
FTE Positions	**8.2**	**8.2**	**8.2**

◆ **Goal** 1 To efficiently and effectively process insurer license applications.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average calendar days to decide insurer license/expansion applications.	61.2	55.0	37.3	50.0	50.0

Explanation: Average calendar days to decide insurer application for an Arizona Certificate of Authority from date application received to date decision sent to applicant or date withdrawn.

◆ **Goal** 2 To efficiently and effectively process professional service license applications.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Producer license and renewal applications received	69,359	76,232	80,725	81,000	81,500
Total producers licensed at June 30	257,989	271,000	264,857	270,000	275,000
Average calendar days required to render a decision on an insurance professional license application/renewal application from date received to date decision rendered (lead time).	1.7	2.0	1.5	1.5	1.5

Explanation: Average calendar days to decide insurance professional license/renewal application from date received to date notification of decision sent to applicant or date withdrawn.

Average calendar days to review third-party administrator (TPA) registration applications.	6.0	N/A	N/A	N/A	N/A

Explanation: The Department received 21 TPA registration applications during FY 2018. From and after FY2019, this measure will be replaced by a new measure covering TPA registrations and service company permits and renewals.

Average calendar days to decide service company renewal applications	6.7	N/A	N/A	N/A	N/A

Explanation: From and after FY2019, this measure will be replaced by a new measure covering TPA registrations and service company permits and renewals.

Percentage of insurance professional license/renewal applications submitted online	89.1	90.0	89.5	90.0	90.0

Explanation: Percentage of the total number of insurance professional license and renewal applications received entirel online to the total number of license and renewal applications received.

Days to process applications for third-party administrator registrations and service company permits and renewals.	6.6	6.6	8.6	10.0	10.0

Explanation: Starting in FY2019, this measure replaces two previous measures, one that focused on third-party administrator registrations and another that focused on service company renewals.

Program Summary

PREMIUM TAX COLLECTIONS AND ANALYSIS

Scott B. Greenberg, Deputy Director
Phone: (602) 364-3764
A.R.S. §§ 20-224 et. seq.

Mission:

To collect, efficiently deposit and accurately forecast insurance premium tax revenues.

Description:

This program develops and provides tax report forms and information to taxpayers, collects and deposits premium tax revenues, audits premium tax reports and communicates with taxpayers concerning discrepancies, assesses late payment penalties and interest, and forecasts premium tax revenues.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	161.6	167.1	167.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**161.6**	**167.1**	**167.1**
FTE Positions	**2.0**	**2.0**	**2.0**

◆ **Goal** 1 To fully collect the premium tax required by law.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Amount of tax, interest and penalties recovered through audits (in millions of dollars)	0.1	0.1	0.1	0.1	0.1

◆ **Goal** 2 To accurately forecast premium tax revenues.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage difference (absolute value) between tax revenue forecast and actual fiscal-year tax revenues collected	1.6	2.0	7.9	2.0	2.0

◆ **Goal** 3 To provide quality service to premium taxpayers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of insurance premium taxpayers surveyed who reported they were "satisfied" or better with the Premium Tax Unit.	89.9	85.0	91.0	90.0	90.0

Program Summary

CAPTIVE INSURER PROGRAM

Kurt A. Regner, Assistant Director
Phone: (602) 364-3999
A.R.S. Ch. 4, Art. 14, Title 20; AZ Const. Art. 15, § 5

Mission:

To promote the development and soundness of Arizona's domestic captive insurance industry.

Description:

This program licenses Arizona captive insurers; monitors each captive insurer's performance to confirm compliance with applicable laws; detects potentially hazardous conditions and intervenes; and promotes the benefits of captive insurance as a mechanism for efficiently controlling risks and paying losses.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	319.0	396.1	396.1
Total Funding	**319.0**	**396.1**	**396.1**
FTE Positions	**3.6**	**3.6**	**3.6**

◆ **Goal** 1 To facilitate growth of the domestic captive insurance industry.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of new captive insurers licensed	11	10	7	10	10

Agency Summary

JUDICIAL SYSTEM

Hon. Robert Brutinel, Chief Justice
Phone: (602) 452-3307
See Individual Programs

Mission:

To provide Arizona citizens with an independent, accessible, and integrated judicial system that maintains a high degree of public trust and confidence; serves as an asset by dispensing justice, resolving human disputes, and conducting its administrative functions in a fair, equitable, and just manner; and operates efficiently and expeditiously.

Description:

The Arizona Judicial Branch is an integrated, decentralized judicial system implementing its constitutional and statutory responsibilities throughout all levels of government - State, county, and city. The Judicial Branch consists of the Supreme Court, Court of Appeals, Superior Court, and limited jurisdiction (municipal and justice of peace) courts. The Arizona Constitution provides that the administrative supervision over all courts rests with the Chief Justice of the Supreme Court. The Administrative Office of the Courts is charged with assisting the Chief Justice in discharging his or her administrative duties. The Arizona Judicial Council, created in 1990, assists the Supreme Court and the Chief Justice in developing and implementing policies and procedures designed to accomplish the integration of the court system pursuant to the Court's constitutional mandate.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADJUDICATION	5,612.1	5,640.5	5,736.1
➢ ADMINISTRATIVE SUPERVISION (COURTS AND AOC SUPPORT)	12,197.2	13,594.9	14,210.6
➢ REGULATORY ACTIVITIES	0.0	0.0	0.0
➢ COURT ASSISTANCE	39,690.8	50,190.7	51,476.5
➢ FAMILY SERVICES	7,907.0	8,160.7	8,946.9
➢ JUDICIAL NOMINATIONS AND PERFORMANCE REVIEW	408.8	542.5	550.0
➢ COMMISSION ON JUDICIAL CONDUCT	503.0	521.9	533.4
➢ JUDICIAL COMPENSATION	10,564.8	18,281.3	24,306.0
➢ ADULT PROBATION SERVICES	34,545.8	39,575.7	42,880.0
➢ JUVENILE PROBATION SERVICES	40,212.5	45,398.6	46,520.7
➢ COURT OF APPEALS DIVISION I	11,038.5	11,596.9	12,061.4
➢ COURT OF APPEALS DIVISION II	4,922.0	5,168.1	5,242.7
➢ ADULT AND JUVENILE DRUG COURT	1,272.6	1,251.5	1,298.8
Agency Total:	**168,875.1**	**199,923.3**	**213,763.1**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	116,151.6	130,236.5	143,611.4
Other Appropriated Funds	28,972.6	41,305.3	41,770.2
Other Non Appropriated Funds	23,750.9	28,381.5	28,381.5
Total Funding	**168,875.1**	**199,923.3**	**213,763.1**
FTE Positions	**727.7**	**827.5**	**829.5**

5 Year Plan

Issue 1 Goal 1 Promoting Access to Justice

Description The Arizona judiciary leads the nation in identifying and implementing best practices to transform the judicial branch from a system designed for judges and lawyers to a system open (and understandable) to all participants, regardless of their financial status, physical limitations, or ability to obtain legal representation. While the judicial branch has made significant improvements in promoting access to our courts, more is needed to ensure equal access to justice for all Arizonans.

Solutions:

1.Access to Justice

When the judicial branch simplifies court processes and procedures, the court system is faster and easier for the public to navigate.

A.Continue and expand on the Commission on Access to Justice's work.

a.Provide more information to the public through AZCourtHelp.org and azcourts.gov.

b.Work with the Foundation for Legal Services and Education and the State Bar of Arizona to improve access to legal services and legal information for individuals with modest incomes.

c.Form a workgroup to identify ways to simplify court processes and procedures, making them less costly and more efficient while maximizing use of courts' resources.

B.Evaluate whether online dispute resolution (ODR) pilot projects can be expanded statewide to improve access to justice through technology in such areas as:

a.Family court cases (for example, modifications of parenting time and enforcement of child support orders);

b. Municipal court cases (for example, misdemeanor pleas); and

c.Civil court cases (for example, resolving credit card debt, small claims, traffic citations, and other simple civil matters).

C.Implement the recommendations of the Task Force on the Delivery of Legal Services.

D.Continue and expand efforts to ensure individuals with disabilities of any kind are afforded equal access to our courts.
a.Provide training for presiding judges and court administrators on methods to eliminate existing or potential barriers experienced by litigants, defendants, or other court participants with disabilities.

2.Self-Represented Litigants

We must continue to make the justice system more accessible for individuals who cannot or choose not to obtain legal representation. We can improve accessibility by developing simpler ways to obtain information about court processes and procedures, providing ways to do court business away from the courthouse, and providing additional training for judges and court staff.

A. Expand training and resources for effective and appropriate support for self-represented litigants including:

a.Simple, on-demand, internet-based explanations of court and legal processes, including instructional videos explaining court processes for specific types of cases such as small claims, civil collection, and family court;

b.On-demand, internet-based tools that allow litigants to conduct more court business away from court buildings, such as interactive and simple court forms with e-submission options; and

c.On-demand and in-person educational programs for judges and court staff focused on assisting self-represented litigants.

3.Services for limited English-proficient litigants, defendants, and other court participants

We will continue expanding the services available to individuals with limited English language proficiency by increasing access to translated information, forms, and tools available at courthouses and online. Ongoing training will be provided to judges and court staff to ensure they are familiar with language access requirements.

A.Expand services for limited English-proficient litigants, defendants, and other court participants.

a.Provide education for the bench and bar on language access requirements and available services.

b. Explore opportunities for providing electronic services, such as ODR, in languages other than English.

c.Translate vital information provided by forms, web pages, and available videos into languages other than English.

B.Expand the scope of the Court Interpreter Program Advisory Committee to identify and address issues resulting from new requirements courts must meet to provide access to court interpreters.

Issue 2 Goal 2 Protecting Children, Families, and Communities

Description The Arizona judiciary has historically placed a high priority on the goal of protecting children, the elderly, families, and communities and will continue several initiatives that advance this important judicial branch responsibility. Specifically, we will continue developing and implementing best practices related to probationer release conditions. We will expand mental health and substance abuse services for probationers and others who enter the criminal and civil justice systems. We will improve our juvenile justice system by reviewing and updating rules, processes, and procedures in child dependency and delinquency cases along with programs for delinquent youth. We will continue efforts to protect families and victims of domestic violence through initiatives to improve the order of protection process and family court case processing. We will continue efforts to address the complexities of probate court rules and processes. Lastly, we will improve our work with community partners to help defendants identify and address issues leading to their involvement in the criminal and civil justice systems.

Solutions:

1.Fair Justice Initiatives

This agenda continues implementation of the Task Force on Fair Justice for All's recommendations to ensure the court system supports individuals in meeting family and financial obligations while at the same time holding these individuals accountable for violations. This includes expanding use of the pretrial release assessment tool to help courts make pretrial release decisions and using notification tools to assist defendants appearing in court to timely address their cases. We will continue to collaborate with community partners on initiatives addressing mental health and substance abuse issues faced by defendants and their families.

A.Continue refining and developing pretrial release initiatives that help determine release conditions and improve appearance rates.

a.Expand the Public Safety Assessment (PSA) to limited jurisdiction courts and help those courts with issues related to implementing the PSA tool.

b.Automate scoring and use of the PSA for felonies and misdemeanors.

c.Expand the use of text message and other notifications of court events and defendant obligations.

d.Continue judicial education of the pretrial release rules and best practices for deciding release conditions and improving appearance rates.

e.Implement legislative changes allowing mitigation of financial sentences, use of community restitution, and other options in sentencing.

B.Implement initiatives from the Committee on Mental Health and the Justice System and other initiatives addressing people with mental health issues who have been brought to court.

a.Expand access to health care services for probationers and others in both the criminal and civil justice systems by partnering with the Arizona Health Care Cost Containment System (AHCCCS) and other community health providers (sometimes called one-stop medical clinics).

b.Provide training for presiding judges and other court leaders on best practices for working with community stakeholders to address mentally ill persons in the justice system (for example, Convening Protocols Project).

c.Determine if changes are needed to the current standard for requiring involuntary treatment, and seek legislative amendments, as appropriate.

d.Explore the use of telemedicine/counseling services for adult offenders and their families.

e.Continue efforts working with executive branch agencies to improve the delivery of appropriate mental health services to defendants and others involved in the criminal and civil justice systems.

f.Explore additional changes to Rule 11 of the Arizona Rules of Criminal Procedure to identify ways in which court rules governing competency and mental health examinations can be updated, clarified, and improved.

2.Juvenile Court

In recent years, the juvenile justice population and the types of programs needed to serve this population have changed. For juvenile offenders, detention has decreased and the need for more community-based programs is growing. We will work to match juveniles to programs best designed to meet their needs and the needs of their families. Similarly, we will seek to improve dependency case processing and case management to ensure courts remain focused on the best interests of the children involved in those cases. In doing so, we will review the current juvenile court rules to identify changes needed to ensure efficient juvenile court case processing and management.

A.Review the Rules of Procedure for the Juvenile Court to identify ways in which court procedures can be restyled, clarified, and improved.

B.Identify ways to:

a.Expedite child dependency cases through trial and appellate courts;

b.Expedite court processes and procedures for adoptions; and

c.Enhance the Court Appointed Special Advocate (CASA) and Foster Care Review Board (FCRB) programs by providing opportunities to support trauma-based education and enhancing current business practices.

C.Expand the Dependency Alternative Program to divert families from the dependency system when other protective options are available.

D.Fully implement a statewide juvenile case disposition matrix that combines the current risk/needs assessment (i.e., Arizona Youth Assessment System, or AZYAS) with severity-of-offense data.

E.Assist juvenile courts with repurposing juvenile detention center space to better serve juveniles within their communities, including implementing a regional drug treatment program in one regional center.

F.Fully implement statewide policies for the Crossover Youth Practice Model.

a.Evaluate the Crossover Youth Practice Model for expansion to the youthful offender program as well as other programs, such as pretrial, juvenile court, and adult probation.

G.Review current juvenile court financial sanction and assessment practices.

H.Explore the use of telemedicine/counseling to provide mental health services to juvenile offenders and their families under the Substance Abuse and Mental Health Services Administration (SAMHSA) guidelines for Treatment Improvement Protocols.

I.Review provider service standards and expectations for treatment of juveniles with sexual abusive behaviors and make recommendations to align with the most current evidence-based practices in the field.

J.Develop medically assisted treatment as the standard of care for opioid-addicted youth.

K.Explore replicating Yavapai County's Milestones program in other counties to help address school violence issues.

L.Implement reporting of felony information to the National Instant Criminal Background Check System (NICS) and establish procedures for notifying juveniles about prohibitions against possessing a firearm after a probation term.

a.Work with local courts to ensure processes and procedures are in place for accurate and timely reporting of juvenile dispositions.

M.Produce a training curriculum for juvenile court judges assigned to handle delinquency cases.

3.Probation Supervision

In recent years, probation departments have seen a sharp increase in the number of high-risk individuals on probation. These

probationers are released from prison to a term of community supervision and are often individuals with chronic drug addictions or mental illness. We will re-evaluate traditional treatment and supervision models to ensure our probation departments provide an appropriate level of supervision and services to this higher risk population of probationers.

A.Re-evaluate probation supervision requirements and procedures to account for high-risk individuals on probation, such as those released from prison and the higher risk populations handled by problem-solving courts.

B.Develop treatment options for probation departments to provide to opioid-addicted adults, including medically assisted treatment using telemedicine/counseling.

C.Host regional forums with tribal courts and probation department leadership to identify ways to work together on state-tribal issues affecting probation supervision of both adult and juvenile tribal members.

D.Review national research on best practices for improving juvenile probation supervision, treatment services, and child and family outcomes to determine whether modifications to current services are needed.

a.Identify ways to improve parents' participation in juvenile probation services.

b.Implement recommendations and standards for courts to collaborate with law enforcement and school districts to improve educational outcomes.

4.Domestic Violence Initiatives

Efforts are underway to modernize the methods by which individuals seek and courts process requests for orders of protection. We will provide judges and court staff with the necessary tools and training to address order of protection and domestic violence issues. We will develop guides for the public and other community partners to better understand and follow the courts' order of protection processes concerning domestic violence issues.

A.Implement the newly required order of protection process allowing for online requests and for courts to electronically send orders to law enforcement for service and to maintain related information in the Court Protective Order Repository (CPOR).

B.Develop and implement new treatment and supervision models, including telemedicine/counseling options, for domestic violence offenders.

C.Provide training, education, and other information for judicial officers and court staff on domestic violence issues.

a.Expand the library of bench cards available to judicial officers on protective order processes.

b.Develop training and informational resources on relevant domestic violence topics.

c.Provide education on full faith and credit and enforcement of tribal court orders; federal and state laws on firearms and orders of protection and prohibited possessors.

d.Identify ways in which courts can improve access to courts for domestic violence victims.

e.Create guides for those who regularly assist with protective orders and for the public.

D.Work with tribal courts and law enforcement to improve the availability of tribal court orders of protection to law enforcement agencies outside of tribal jurisdiction.

5.Family Court

Given the complexity of family court issues, we will provide tools and resources to help individuals and families find necessary assistance and services in an understandable and timely manner. We will develop relevant training for judges and court staff on best practices in resolving issues in high-conflict family court cases.

A.Explore the redesign or improvement of family court processes.

a.Examine current judicial assignment processes for family court.

b.Consider tools, such as a “quick start” guide, to help individuals understand and navigate family court processes.

B.Develop ways to identify high-conflict family law cases involving domestic violence or mental health issues that require special handling and resources.

C.Develop training for judges and staff on handling high-conflict family cases.

D.Identify court and litigant resources needed to address high-conflict family case issues and develop a strategy on obtaining these resources.

E.Evaluate whether courts can better utilize parent education classes to help attendees understand family court processes.

F.Convene a committee of family court stakeholders to make recommendations addressing ongoing issues related to family court case processes and procedures.

G.Establish a committee to review updated economic data for the Schedule of Basic Support Obligations, findings from the federally mandated quadrennial Case File Review, and to further study and make recommendations on issues raised by the 2017 Committee for an Interim Review of the Child Support Guidelines.

6.Probate Court

The protection of incapacitated and vulnerable individuals is an ongoing priority of the Judicial Branch. Wide-sweeping changes were made in this area nearly a decade ago, but it is important to review the efficacy of the changes and consider other ways to improve and simplify probate court processes, forms, and policies.

A.Establish a task force to review current court processes, policies, and procedures for guardianships and conservatorship cases under the supervision of the probate court.

7.Restorative Justice

Many of our local courts face high case volumes driven by underlying social problems such as homelessness, mental illness, and other social issues. The expanded availability of specialty courts, along with expanded collaborative efforts with our community partners, is essential in ensuring the right services are available and provided at the right time to those in need. When courts and communities work to provide defendants the clinical support needed to resolve the underlying social circumstances that may have contributed to their criminal behavior, those communities can begin to heal both the offender and any victim.

A.Identify best practices for restorative justice programs and establish ways to expand access to such programs in courthouses and in communities.

B.Identify opportunities to expand and support specialty courts addressing homelessness, veterans’ issues, mental illness, domestic violence, and drug and alcohol abuse.

8.Criminal Justice Reform

It is important for the judicial branch to remain aware of criminal justice reform discussions and initiatives within the executive and legislative branches. When appropriate, the judicial branch must participate in those discussions and provide information to help the other branches make informed policy and legislative decisions.

A.Provide information to executive branch agencies and legislative committees regarding criminal justice reform.

Issue 3 Goal 3 Promoting Judicial Branch Excellence and Innovation

Description The goal of promoting judicial branch excellence and innovation requires continuing our examination of court operations at all levels to identify what we can do differently or better to achieve greater efficiencies and outcomes. This effort requires accurate data and the tools necessary for leadership to understand and use data to inform decision making. Where we can, we should address any real or perceived disparities in processes and practices and incorporate effective case management tools and practices for court decision making and daily court operations. We must examine our existing practices, and we should continue to innovate new approaches to streamline, simplify, and enhance our services and programs.

Solutions:

1.Data-Based Decision Making

To effectively manage court processes and programs, we need to ensure judges and court managers have the tools to efficiently and effectively perform their duties. The data we collect is vital to helping direct the best course of action in individual cases as well as overall court processes and policies. We need to identify key data both judges and court managers find most useful in performing their caseload and oversight functions. We need to ensure this data is accurate and readily available to make informed operations and policy decisions.

A.Establish a workgroup to identify the types of court data judges and court managers need to effectively and efficiently manage cases.

a.Develop goals for the use of data for decision making purposes.

B.Use technology to provide court management tools that assemble and present the data necessary to make informed policy and business-related decisions.

2.Civil Justice Reform

Recent innovative changes to civil case processing rules designed to streamline dispute resolution will be evaluated to determine the impact on litigants as well as on timeliness and cost. We will expand these new processes and procedures statewide and, as needed, make adjustments to achieve these goals.

A.Measure and evaluate the impact of new civil justice reform rules, including the commercial court rules, on case processing timeliness, cost of litigation, and litigant satisfaction.

B.Evaluate results from Pima County's Fast Trials and Alternative Resolution (FASTAR) pilot project and rules that make it easier and quicker to process qualifying cases, and consider expanding FASTAR statewide.

3.Case Management

Our courts' ability to efficiently and effectively manage cases is essential for the ongoing success of the judicial branch. We must continue emphasizing and incorporating a variety of approaches, including training and identification of best practices, as well as updating the tools available to judges to assist them in case management and decision making. This may include use of emerging technology, such as business intelligence tools, which will make it easier for judges and court administrators to more readily measure court performance and identify areas in need of improvement.

A.Provide leadership and judicial officer training on principles of and the judicial role in case management.

B.Rewrite judicial officer bench books to reflect changes in civil and criminal rules, particularly after civil rules reforms.

C.Strive to assure that each court adopts and follows case management practices and processes that constitute best practices for that particular court (i.e., appellate, general jurisdiction, or limited jurisdiction).

D.Improve the accuracy of court data by training court deputy clerks and staff, auditing data accuracy, and identifying data needs

for effective court management.

E.Investigate the availability and applicable use of business intelligence tools to measure court and caseflow performance.

F.Address modifications to the Arizona Rules of Probate Procedure to allow:

a.Tracking subsequent petitions in routine (true) probate and mental health cases; and

b.Tracking non-probate cases that are filed within, or consolidated with, a probate case.

G.Review the current system for capital cases to identify needed changes to statutes, rules, and processes and procedures.

4.Court Governance

To achieve a cohesive judicial system, it is important that judges and court administrators at all levels are confident in providing and receiving information and input from the Supreme Court and its administrative office. With this agenda, we will examine our current governance structure and identify any improvements that may be needed to help ensure the judicial system is more responsive to judges and court staff regardless of court size and resources.

A.Explore whether changes are needed to court governance structure, oversight, and level of assistance provided to local courts in addressing local issues.

B.Consider ways to better facilitate the transfer of information from superior courts and limited jurisdiction courts that will help court leadership get an early understanding of developing problems, and to work on local solutions.

5.Supreme Court Commissions

Just as we look to identify improvements and innovation in everyday court practices, it is time to similarly examine other judicial branch activities, such as judicial performance review, judicial conduct review, and bar exams oversight.

A.Review key Commission rules to ensure compliance with existing laws and procedures and examine opportunities for improvement and transparency to the:

a.Judicial Performance Review Commission Rules of Procedure and operating policies;

b.Commission on Judicial Conduct rules and procedures; and

c. Committee on Bar Exams grading policies and procedures.

6.Technology Initiatives

The courts face increasing public expectations to conduct business using technology. These expectations, with the rapid pace of technological change and emerging new technologies, require a constant effort to implement and update systems and programs to meet both the needs of our customers and judicial officers and staff. Technological needs in the courts range from expanding electronic access to services and documents, to completing the rollout and development of new case management systems, to providing additional system functionality and technological tools for courts across the state. In doing so, delivering information technology securely has become necessary for maintaining an environment of trust. We will continue enhancing court technology and processes to protect the courts, as well as the government agencies and the public that access court information, from ever-increasing cybersecurity threats.

A.Enhance case management system functionality and identify other technology tools to assist judges and court administrators in more efficiently and effectively managing cases, such as calculating the date when a judge needs to set the next hearing, identifying unnecessary hearings or other delays, and ensuring decisions are made within time standards.

B.Expand e-filing services to probate and family court cases and establish other case types eligible for e-filing.

C.Implement e-Access services, allowing public access to court records online.

D.Implement a new appellate court case management system.

E.Update the Supreme Court rules forum website to provide easier access and navigation for the public, courts, and attorneys.

F.Finish the rollout of the AJACS-LJ case management system for limited jurisdiction courts.

G.Adopt digital evidence management standards for courts.

H.Explore options and secure funding to maintain and support our existing technology infrastructure.

I.Explore the expansion of technology used in larger court jurisdictions to other jurisdictions (for example, remote appearances by litigants, defendants, and victims seeking protective orders).

J.Provide probation officers with technology that improves their efficiency and effectiveness in performing offender supervision.

K.Explore emerging technologies, such as augmented intelligence, data mining, and predictive/data analytics, to determine whether courts will benefit from their use and the impact on courts incorporating these technologies into their business practices.

L.Integrate data from Maricopa County's iCIS case management system into the JOLTSaz case management system to create a fully statewide juvenile justice data repository.

M.Continue efforts addressing cybersecurity.

a.Integrate older automation systems into newer platforms that better manage security risks.

b.Work closely with state and local governments to ensure that shared data, technology, and facilities are secure.

c.Continue to enhance training and processes within the courts to prevent security breaches.

7.Keeping the Record

With a growing shortage of qualified court reporters at both the state and national level, courts are faced with the ever-increasing challenge of keeping an accurate record of court proceedings. Through emerging innovations, including digital recording and remote court reporting, we will take necessary steps to ensure courts continue to create a complete and accurate record for each and every case.

A.Modernize statutes, rules, and the administrative code permitting courts to create and maintain a complete and accurate court record electronically to supplement court reporters and to reduce the time needed to produce a record and transcript for cases on appeal.

8.Courthouse Safety and Security

Our courthouses, the primary locations for addressing and resolving often emotionally tense disputes, must remain safe places. We will continue implementing court security standards, identifying safety and security needs in our probation offices across the state, and considering other opportunities to further improve and enhance courthouse security.

A.Continue implementing court security standards.

B.Review the security needs of probation offices and determine whether separate security standards and additional training programs are needed.

C.Consider ways to address violence in the courts, violence by litigants, and violence directed at court participants.

D.Create a committee to identify best practices to ensure the safe handling of toxic substances (such as fentanyl), as well as drugs laced with toxic substances, as evidence in the courtroom.

Issue 4 Goal 4 Enhancing Professionalism within Arizona's Courts

Description While education and leadership development have been a longstanding area of excellence and innovation in our judicial branch, we must continue refining our efforts to maintain a high level of service and professionalism throughout the court system.

Solutions:

1.Judicial Branch Leadership

Developing effective leadership skills among our current and future court leaders is essential to maintaining the Arizona judicial branch's reputation as an innovator in court programs and practices.

A.Develop leadership-judge and leadership-team training.

B.Develop a Senior Executive Leadership program.

2.Judicial Officer Excellence

To develop and maintain a strong core of judicial officers, we must ensure that judges who are newer to the bench receive ongoing training and development opportunities. We will use our more experienced judges to share their knowledge, courtroom experience, and best practices to provide new judges with the information and tools they need to effectively manage trials and caseflow.

A.Establish a trial judge training academy.

3.Workforce Development

To ensure we provide a high level of service to the public with professionalism, integrity, accuracy, and timeliness, we must ensure court personnel possess the requisite skills and tools to perform their jobs and fulfill their responsibilities.

A.Update the probation officer certification academy curriculum to ensure the most current evidence-based practices are taught.

B.Continue offering judicial officer training in specialty areas as new topics arise and when updated material is available for existing specialty training topics.

C.Develop a court security officer certification program, officer arming requirements, and weapons training.

D.Continue providing training on diversity, inclusion, and implicit bias to judicial officers and court employees.

E.Provide quality interpreters in the court system through training and continuing to certify court interpreters.

F.Identify ways to develop and retain court employees.

a.Explore the feasibility and benefits of periodically compiling compensation and classification studies conducted for local jurisdictions to provide presiding judges with comparative information that may be helpful when seeking updated classifications and salaries.

G.Identify ways to expand training opportunities for clerks of court and their staff, as well as limited jurisdiction court staff.

4.Culturally Diverse Bench and Workforce

Though continually focused on the need for our courts to reflect the communities they serve, we acknowledge more can be done to encourage and develop a bench and workforce that is culturally diverse.

A.Increase diversity of judicial officers and court staff by:

a.Developing opportunities to encourage minority attorneys to seek judicial branch careers (for example, law student outreach, and the Chris Nakamura Judicial Appointment Workshop); and

b.Offering court leadership planning with a focus on diversity.

5.Judicial Officer, Staff, and Legal Community Well-Being

All too often, courts deal with cases involving tragic consequences. Not only do these cases impact the victims and their families, but judicial officers and court staff are similarly exposed to traumatic events on a routine basis. The impact of this untreated vicarious trauma can affect court personnel interactions with victims and the public; it also impacts the wellness and productivity of the workforce. Efforts to provide trauma-informed training must be expanded within the courts as well as among the legal community.

A.Offer opportunities for judges and court staff to address vicarious trauma resulting from handling court cases.

B.Support State Bar of Arizona efforts to address well-being in the legal profession, including pursuing the American Bar Association's (ABA) recommendations regarding The Path to Lawyer Well-Being.

Issue 5 Goal 5 Promoting Public Trust and Confidence

Description The more the judicial branch can do to inform the public about the role of courts, their place in our communities, and the importance of understanding and participating in the judicial process, the more we can promote the public's trust and confidence in a judicial system that is fair, just, and accessible to all.

Solutions:

1.Public Awareness

The judicial branch is committed to ongoing public awareness efforts to reach all Arizonans to educate and demonstrate how courts operate and the important role courts serve in our society. In doing so, we will continue efforts to partner with educators to promote civic education, bring court proceedings to local communities, and provide information about other court programs, such as judicial performance review.

A.Communicate effectively with the public about the role of courts in a free society, how courts serve our communities, and progress in achieving this agenda's goals.

B.Promote civic education by supporting programs such as "We the People," Mock Trial, Our Courts AZ, and iCivics; partnering with teachers and others in the education community; and conducting appellate arguments in local schools and other community locations.

C.Use juror "downtime" to provide prospective jurors with information about the role of courts and public involvement in the justice system.

2.Public Trust and Confidence

While informing the public about the role of courts, it is particularly important we identify and address concerns or issues that may affect the public's trust and confidence in our justice system.

A.Evaluate efforts by the National Center for State Courts and the Institute for the Advancement of the American Legal System to identify and address public trust in the courts, particularly among minority and low-income communities, and identify those efforts which would be beneficial for Arizona courts and local communities.

B.Develop a rapid response plan to improve the judicial branch's ability to counter attempts at spreading misinformation or undermining the public's confidence in the judicial process.

C.Improve the dissemination of Judicial Performance Review information to the public.

D. Examine and address issues regarding disproportionate minority contact with the justice system.

3.Jury Service

Many citizens are asked to perform their civic duty of jury service. We need to make sure everyone who is eligible to serve on a jury fully understands the importance of his or her time and service in this essential court function.

A.Communicate to the public the importance of jury service.

B.Work with a production company to produce a program about jury service and deliberation.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	865.0	868.0	870.0
General Fund	150,000.0	160,000.0	170,000.0
Other Appropriated Funds	43,000.0	43,000.0	43,000.0
Non-Appropriated Funds	30,000.0	30,000.0	30,000.0
Federal Funds	0.0	0.0	0.0

Program Summary

ADJUDICATION

Kevin Kluge, Division Director/CFO
Phone: (602) 452-3395
AZ Constitution, Article VI, Section 2; A.R.S. § 12-101

Mission:

To dispense justice in a fair and equitable manner and to provide judicial and administrative supervision over the Arizona Judicial Department as mandated by Arizona law and the Constitution.

Description:

The Supreme Court may choose to review decisions of the intermediate appellate courts when a petition for review is filed; hears direct criminal appeals in cases with a death sentence imposed; hears direct appeals in election cases; may accept direct special actions brought in the Supreme Court against state officials; regulates activities of the State Bar of Arizona and oversees admission of new attorneys to the practice of law; reviews charges of misconduct against attorneys, and has authority to suspend or disbar an attorney; serves as the final decision-making body when disciplinary recommendations are filed against Arizona judges by the Commission on Judicial Conduct; adopts rules of procedures for all courts of the state; provides administrative supervision over all courts of the state; and chairs the Commissions on Appellate and Trial Court Appointments.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	5,612.1	5,632.6	5,728.2
Other Appropriated Funds	0.0	7.9	7.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**5,612.1**	**5,640.5**	**5,736.1**
FTE Positions	**48.0**	**48.0**	**48.0**

◆ **Goal** 1 To provide fair and expeditious determination of cases. (Supreme Court activity is difficult to predict; estimates are based on FY 2017 activity level)

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
All cases on file (in thousands)	1,572	1,600	1,819	1,600	1,600
Explanation: LJ stats excluding non-criminal ordinances					
All cases terminated (in thousands)	1,653	1,100	1,226	1,100	1,100
Explanation: LJ stats excluding non-criminal ordinances					
Cases pending (in thousands)	1,105	500	593	500	500
Explanation: Cases pending are as of 6/30					
New case filings	1,177	1,100	1,311	1,100	1,100
State Bar matters on file	70	90	81	90	90
State Bar matters terminated	70	70	78	70	70
State Bar activity reports	2,386	2,385	2,165	2,385	2,300
All other cases on file	8	8	7	8	8
All other cases terminated	5	5	8	5	5

Program Summary

ADMINISTRATIVE SUPERVISION (COURTS AND AOC SUPPORT)

Dave Byers, Administrative Director
Phone: (602) 452-3307
AZ Constitution, Article VI, Sections 3, 7

Mission:

To assist the Chief Justice in carrying out the constitutionally prescribed responsibility for providing administrative supervision over the integrated Arizona court system and to support the Chief Justice and the Supreme Court in providing quality administrative leadership and assistance to Arizona's courts.

Description:

Court Administration is responsible, through nine operating divisions and the Office of the Administrative Director, for providing administrative support to the Chief Justice and Supreme Court; for liaison activities with executive and legislative branch agencies and other judicial departments; for coordinating strategic projects that have potential to change the way courts do business; and, for providing internal and external administrative support for the judicial department. The divisions are Administrative Services; Adult Services; Certification and Licensing; Court Services; Dependent Children's Services; Education Services; Human Resources; Information Technology; and Juvenile Justice Services. Court Administration is also responsible for facilities management and security for the Arizona Courts Building.

*Funding in FY 16 and FY 17 include funding from the Appropriation SLI for Probation Operations and Probation Centralized Services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	12,197.2	13,594.9	14,210.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**12,197.2**	**13,594.9**	**14,210.6**
FTE Positions	**111.4**	**110.9**	**110.9**

◆ **Goal** 1 To identify operational and administrative problems and recommend solutions and to uphold the integrity and independence of the judiciary.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Operational reviews completed	18	20	18	20	20
Average days to complete an operational review report	180	180	180	180	160
Average reviews per specialist	6	7	6	7	7

◆ **Goal** 2 To ensure that automation services are provided that support statewide programs and systems.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Internal and external users connected to the Arizona Judicial Information Network	9,225	9,225	9,216	9,220	9,225
Infrastructure cost per user (dollars)	967	967	933	933	950
Uptime of network availability during normal operating hours (percentage)	99.9	99.9	99.9	99.9	99.9
Uptime of systems availability during normal operating hours (percentage)	99.80	99.98	99.97	99.98	99.98
% of courts with automated accounting and case management systems	100	100	100	100	100
% of courts using COT approved and/or standard case management systems	97	97	97	97	97
% of users with AJIN access (percentage)	100	100	100	100	100

◆ **Goal** 3 To provide accurate, prompt and professional responses to questions or problems concerning court operations, procedures and/or other technological issues received by the AOC Support Center.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total Number of Questions/Issues Received	77,470	70,000	69,840	70,000	70,000
Number of Questions/Issues Received - Urgent Priority	51	50	47	50	50
Percent of Questions/Issues Resolved Within 1 Business Day - Urgent Priority	75	90	91	90	90
Number of Questions/Issues Received - High Priority	386	300	203	300	300
Percent of Questions/Issues Resolved Within 2 Business Days - High Priority	74	85	87	85	85
Number of Questions/Issues Received - Medium Priority	14,732	20,000	10,124	15,000	15,000
Percent of Questions/Issues Resolved Within 3 Business Days - Medium Priority	94	90	90	90	90

Program Summary

REGULATORY ACTIVITIES

Mark Wilson, Division Director
Phone: (602) 452-3362
A.R.S. §§ 32-4001; 28-3391 to 28-3399; 14-5651; 8-134

Mission:

To train, certify and monitor regulatory activities placed under the oversight of the Arizona Supreme Court.

Description:

The program is responsible for oversight of certification, testing, training, compliance and discipline of regulatory programs under the jurisdiction of the Arizona Supreme Court.

This Program Contains the following Subprograms:

- Court Reporters
- Confidential Intermediary
- Private Fiduciary
- Defensive Driving School Regulation

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**0.0**	**0.0**	**0.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

COURT REPORTERS

Mark Wilson, Division Director
Phone: (602) 452-3362
A.R.S. §§ 32-4001 et. seq.

Mission:

To certify individuals in the state who engage in the stenographic or voice writing reporting of proceedings in any Court and who take depositions for use in any Arizona court.

Description:

A.R.S. Title 32, Chapter 40, requires individuals who engage in stenographic or voice writing reporting of proceedings for use in any court in this state be certified by the Board of Certified Reporters. The Board administers examinations for the certification of reporters and recommends to the Arizona Supreme Court rules to implement and enforce the provisions of the law. The Board also has authority to investigate alleged violations of certified reporters and to take appropriate disciplinary action. The program began during FY 2000; effective January 1, 2007, voice writer reporters must be certified, in addition to stenographic reporters.

*Funding includes Regulatory Activities from all non appropriated funds in addition to certified reporter.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	2,215.4	2,370.4	2,370.4
Total Funding	**2,215.4**	**2,370.4**	**2,370.4**
FTE Positions	**21.2**	**20.2**	**20.2**

◆ **Goal** 1 To promptly process and review certification applications and reports for issuance, renewal or denial of certification

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Applications received (new and renewal)	386	14	16	430	16
Certifications granted	20	10	15	425	15
Certifications denied	0	1	1	5	1
Average number of days from receipt of application to decision regarding certification	85	60	86	60	60
Number of certified reporters (end of year)	384	440	402	430	430

◆ **Goal** 2 To investigate and process complaints against certified court reporters to ensure compliance with Arizona law and administrative orders and rules adopted by the Arizona Supreme Court.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints received	1	5	1	5	5
Complaints closed	1	5	3	5	5
Disciplinary action	1	2	1	3	3
Average number of days from receipt of complaint to resolution by dismissal or disciplinary action	210	300	393	300	300
Complaint closure rate (percent)	100	100	300	100	100
Percent of cases closed within 22 month standard	100	100	67	100	100

Subprogram Summary

CONFIDENTIAL INTERMEDIARY

Mark Wilson, Division Director
Phone: (602) 452-3362
A.R.S. § 8-134

Mission:

To train, certify and monitor Confidential Intermediaries to facilitate contact between adoptees or adoptive parents and birth parents and biological siblings while protecting court and agency records and anonymity of those who desire it.

Description:

The Board certifies Confidential Intermediaries (CIs), as specified by the court, to act as a liaison between an adoptive parent, guardian or an adoptee or a birth parent or birth sibling in establishing contact. The CI has statutory authority to access confidential court and agency adoption records to facilitate the search. The program facilitates voluntary contact, while protecting the confidentiality of those who desire their adoption records to remain sealed. The Arizona Supreme Court has adopted rules and procedures to implement and operate the program, and established fees, training, and standards of conduct for CIs with appropriate disciplinary action as necessary. Effective January 1, 2008, CIs have the statutory authority to facilitate contact between siblings who have been separated as the result of dependency/foster care.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	150.2	190.8	190.8
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**150.2**	**190.8**	**190.8**
FTE Positions	**2.5**	**2.5**	**2.5**

◆ **Goal** 1 To promptly process and review applications for initial certification.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of applicants for certification	2	6	6	6	6
Average number of days from receipt of complete application requirements to decision regarding certification	NA	90	90	90	90
Number of individuals granted certification	0	6	6	6	6
Number of individuals denied certification	0	0	0	0	0
CIs certified (end of year)	33	35	31	35	35

◆ **Goal** 2 To promptly process and review applications for biennial renewal of certification. Pursuant to ACJA 7-203, confidential intermediaries renew every other year, in October, of the even-numbered year.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of applications received	NA	27	24	NA	24
Number of individuals granted recertification	NA	27	21	NA	21
Number of individuals denied recertification	NA	0	0	NA	0
Number of days from submission of complete renewal application to decision regarding renewal	NA	90	240	NA	90

◆ **Goal** 3 To provide initial training to individuals eligible for certification and renewal training for certified CIs.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of individuals receiving initial training	3	10	6	10	10

◆ **Goal** 4 To assist CIs to provide high quality service.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Cases closed	0	0	0	0	0

Explanation: As of 1/1/08, CI's no longer required to get permission to open a case

◆ **Goal** 5 To investigate and process complaints against certified confidential intermediaries to ensure compliance with Arizona law and administrative orders and rules adopted by the Arizona Supreme Court.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints received	0	1	0	1	1
Complaints closed	0	1	0	1	1
Disciplinary action	0	0	0	0	0
Number of days from receipt of complaint to resolution by dismissal or disciplinary action	NA	120	NA	120	120
Explanation: No complaints received in FY19					
Complaint case closure rate (percent)	NA	100	NA	100	100
Explanation: No complaints received in FY19					
Percent of cases closed within standard of 22 months	NA	100	NA	100	100
Explanation: No complaints received in FY19					

Subprogram Summary

PRIVATE FIDUCIARY

Mark Wilson, Division Director
Phone: (602) 452-3362
A.R.S. § 14-5651

Mission:

To certify, audit and discipline licensed fiduciaries and fiduciary businesses who are court appointed to serve as guardians for incapacitated persons, conservators for persons in need of protection and personal representatives for decedent estates.

Description:

A.R.S. § 14-5651 requires persons, who serve for a fee and are unrelated to a person or not nominated by will, and are appointed by the Superior Court, to belicensed by the Arizona Supreme Court. The program licenses individuals who meet the statutory requirements and serve by court appointment as guardians, conservators, and personal representatives. The program develops and enforces the rules and policies necessary to implement A.R.S. § 14-5651. The program provides initial and renewal licensure for public and private fiduciaries. The program investigates alleged misconduct by fiduciaries and takes appropriate disciplinary action as necessary. The program conducts random compliance audits of licensed fiduciaries.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	179.0	301.3	301.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**179.0**	**301.3**	**301.3**
FTE Positions	**3.6**	**3.6**	**3.6**

◆ **Goal** 1 To promptly process and review licensure applications and reports for issuance or denial of initial licensure.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of applications received	41	30	29	30	30
Number of individuals licensed	40	25	22	25	25
Number of applications denied	1	1	1	1	1
Number of days from receipt of complete application requirements to decision regarding licensure	85	60	116	60	60
Number of fiduciaries licensed at end of year	244	275	300	275	275

◆ **Goal** 2 To promptly process and review applications for biennial renewal of certification.

*Fiduciaries renew licensure every other year, in the even numbered year. Therefore, there is no renewal in FY15 or FY17.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of applications received	382	NA	NA	300	NA
Number of individuals granted recertification	8	270	233	270	0
Number of applications denied recertification	1	NA	233	270	270
Number of days from submission of complete renewal application to decision regarding renewal	463	NA	258	120	120

◆ **Goal** 3 To receive complaints, conduct impartial investigations and take appropriate action, ranging from dismissal of complaint to license revocation, in accordance with Arizona Revised Statutes and the code of conduct, administrative rules and orders adopted by the Arizona Supreme Court.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of complaints received	36	20	24	20	20
Number of complaints closed	14	15	57	15	15
Number of disciplinary actions	10	5	9	5	5
Number of days from receipt of complaint to resolution by dismissal or disciplinary action	343	275	416	275	275
Complaint case closure rate (percent)	39	100	239	100	100
Percent of complaints resolved within 22 month standard	92	100	85	100	100

◆ **Goal** 4 To conduct audits of licensed fiduciaries and their businesses to insure compliance with statutes, administrative code sections and court orders.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of notice of engagement letters	2	10	1	10	10
Fieldwork completed	7	10	1	10	10
Corrective Action Plans in Place	0	2	0	2	2
Number of final reports completed	2	10	0	10	10

Subprogram Summary

DEFENSIVE DRIVING SCHOOL REGULATION

Mark Wilson, Division Director
Phone: (602) 452-3362
A.R.S. §§ 28-3391 to 28-3399

Mission:

To train, certify and monitor the use of defensive driving schools and defensive driving instructors by the Arizona courts.

Description:

The program certifies and monitors defensive driving schools and instructors that may be used by the Arizona courts for diversion of traffic offenses and provides information to courts on the operation of the program. A statewide database is maintained to record defensive driving course completion and to verify eligibility for participation in the diversion program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	616.2	712.4	712.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**616.2**	**712.4**	**712.4**
FTE Positions	**8.0**	**7.8**	**7.8**

◆ **Goal** 1 To ensure defensive driving schools and instructors meet established standards for administrative and educational quality.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Operational reviews of schools completed	30	50	0	50	50
Percent of instructors rated that are in compliance with Arizona Code of Judicial Administration (ACJA 7-205) and Statutes.	31	95	68	95	95
Instructors monitored	26	50	25	50	50

◆ **Goal** 2 To ensure the statewide database provides accurate and timely information for eligibility and fee payment verification.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average days to complete error change requests from schools	1	1	1	1	1
Percent of student completions reported by schools on time	99	99	99	99	99
Court information change requests processed	167	400	173	400	400

◆ **Goal** 3 To provide continuing training opportunities for instructors to improve the quality of the defensive driving classes.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Current instructors receiving ongoing training	101	120	83	120	120
Percent of instructors indicating training programs are responsive to their needs	98	99	99	99	99

◆ **Goal** 4 To ensure reporting procedures are established and followed for courts and schools to verify accurate fee payment, reporting and processing of defensive driving program traffic dismissals.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of bi-monthly school reports/fee payments reconciled monthly	99	99	99	99	99

◆ **Goal** 5 To investigate and process complaints against certified defensive driving schools and instructors to ensure compliance with Arizona law and administrative orders and rules adopted by the Arizona Supreme Court.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints received	16	10	43	10	10
Complaints closed	27	10	14	10	10
Complaint case clearance rate (percent)	169	100	33	100	100
Disciplinary actions	4	5	10	5	5
Average number of days from receipt of complaint to closure	171	180	195	180	180
Percentage of complaint cases closed within 22 month standard	100	100	99	100	100

◆ **Goal** 6 To promptly process and review applications for certification.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Applications received	10	25	3	3	3
Certifications granted	10	20	1	3	3
Certifications denied	0	3	0	3	0
Average number of days from receipt of complete application to decision regarding certification (Instructors)	101	60	270	60	60
Number of certified schools (end of year)	239	250	214	217	217

Program Summary

COURT ASSISTANCE

Kevin Kluge, Division Director/CFO
Phone: (602) 452-3395
See Individual Programs

Mission:

To aid Arizona courts in protecting children, families, and communities while providing swift, fair access to justice.

Description:

Various divisions within the Administrative Office of the Courts provide support throughout the Arizona Judicial Department by administering and monitoring various statutorily created funds and Arizona Supreme Court established programs to assist in the improvement of Arizona court processes.

*Funding in FY 16 and FY 17 include General Fund funding for Automation.

This Program Contains the following Subprograms:

- Judicial Education
- Domestic Relations
- State Grand Jury
- Post Conviction Relief
- Judicial Assistance
- State Aid to the Courts
- Judicial Collection Enhancement
- Defensive Driving
- Drug Enforcement
- Alternative Dispute Regulation
- Case Processing Assistance

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,599.3	4,725.8	6,011.6
Other Appropriated Funds	17,499.6	24,820.9	24,820.9
Other Non Appropriated Funds	17,591.9	20,644.0	20,644.0
Total Funding	**39,690.8**	**50,190.7**	**51,476.5**
FTE Positions	**239.1**	**243.2**	**243.2**

Subprogram Summary

JUDICIAL EDUCATION

Jeffrey Schrade, Division Director
Phone: (602) 452-3000
ACJA 1-302, 1-108

Mission:

To improve the service the judiciary provides to the public and internal customers by increasing the expertise, skills and abilities of all judicial personnel through a comprehensive, relevant, accessible and high-quality system of judicial education.

Description:

In support of the division's mission, staff have an obligation to provide mandated training for certain categories of court personnel. This includes orientation for new limited and general jurisdiction judges; a certification academy and testing component for new probation officers; and offerings in required programs for judicial staff, including programs on the court system, communication skills, dealing with the public and current issues in the court. In these and other programs, the division strives to involve individuals in the court system in the planning and implementation of programs for their respective positions; to fairly provide programs for all categories of judicial personnel; and to utilize a variety of delivery mechanisms to assure the availability of programs for individuals of all job categories and geographic locations.

This program supports and maintains a statewide system of judicial education and manages oversight of personnel compliance with judicial education standards; maintains, staffs and facilitates a comprehensive system of curriculum and program development committees; maintains a statewide system of local training coordinators to sponsor and monitor local training; conducts and/or facilitates curriculum, program and faculty development programs/processes for statewide judicial education; coordinates and produces conferences, workshops, seminars, videos and broadcasts for judges and non-judge staff; and implements directives of the Committee on Judicial Education and Training and its subcommittees: the Judicial College of Arizona, the Committee on Probation Education, and the Judicial Staff Education Committee and the Court Leadership Institute of Arizona.

Funding:	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
General Funds	108.9	109.3	109.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**108.9**	**109.3**	**109.3**
FTE Positions	**1.1**	**1.1**	**1.1**

◆ **Goal** 1 To provide continuing education to all members of the judiciary.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of sessions offered to judges (limited, general and appellate jurisdictions)	305	255	223	255	255
Number of sessions offered to probation, detention and surveillance officers	994	700	948	700	750
Number of sessions offered to judicial staff	306	300	314	300	300
Number of judges participating in Education Services Division sponsored programs	2,278	1,000	939	1,000	1,000

Explanation: These are duplicated counts of judges, probation staff and judicial staff.

Number of probation, detention and surveillance officers participating Education Services Division sponsored programs	1,033	1,100	1,258	1,100	1,100

Explanation: Probation participant numbers jumped significantly due to addition of Defensive Tactics, Firearms Training, Officer Safety Train the Trainer, and Faculty Skill Development for Officer Safety Instructors statewide.

Number of judicial staff participating in Education Services Division sponsored programs	1,264	1,000	1,016	1,000	1,000

◆ **Goal** 2 To assure a comprehensive system of judicial education for all categories of personnel

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of educational hours offered to judges (limited general and appellate jurisdictions)	517	500	885	500	500
Number of educational hours offered to probation, detention and surveillance officers	2,065	1,800	2,366	1,800	1,900
Number of educational hours offered to judicial staff	508	500	1,055	500	500
Percent of judges in compliance with annual continuing education mandate	99.20	100	100	100	100
Percent of probation, detention and surveillance officers in compliance with annual continuing education mandate	98.03	100	100	100	100
Percent of judicial staff in compliance with annual continuing education mandate	99.63	100	100	100	100

◆ **Goal** 3 To assure appropriate use of available resources to support a comprehensive system of judicial education

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of faculty used to train judges	526	350	379	350	350
Number of faculty used to train probation, detention and surveillance officers	542	500	565	500	500
Number of faculty used to train judicial staff	417	300	406	300	300
Percent of total faculty used paid for services to train judges	3	10	4	10	10
Percent of total faculty used paid for services to train probation, detention and surveillance officers	3	10	2	10	10
Percent of total faculty used paid for services to train judicial staff	2	10	5	10	10
Cost per participant hours from total budget to train judges	16	20	21	20	20
Cost per participant hours from total budget to train probation, detention and surveillance officers	10	15	10	15	15
Cost per participant hours from total budget to train judicial staff	3	15	3	15	15

◆ **Goal** 4 To assure the accessibility of judicial education programs through various delivery mechanisms, including seminars/workshops, conferences, residential programs, broadcasts, computer-based and other distance learning formats

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of seminars/workshops	36	30	32	30	30
Total number of conferences	5	5	5	5	5
Total number of residential programs	51	30	54	30	35
Total number of broadcasts	23	25	19	25	25
Total number of computer based programs	25,731	20,000	26,498	20,000	25,000
Total number of publications	97,7641	65,000	86,047	65,000	90,000
Total number of WENDELL website "hits"	97,764	100,000	86,047	100,000	90,000
Total number of materials checked out of resource library	2,567	1,500	2,893	1,500	1,500

Subprogram Summary

DOMESTIC RELATIONS

Theresa Barrett, Program Manager
Phone: (602) 452-3364
A.R.S. § 25-323.01

Mission:

To provide leadership, coordination, and technical support for the development of family law and child support enforcement programs and policies and to improve the administration of justice in Arizona communities on issues of domestic violence.

Description:

This program coordinates and supports the activities of Supreme Court committees/commissions/subcommittees/workgroups established to evaluate best practices in the areas of family law and child support; to identify possible changes in court rules or business practices; and, to make recommendations amied at facilitating access and efficient processing of family law cases. In addition, this program provides staff support for the Committee on the Impact of Domestic Violence and the Courts, established by Administrative Order of the Supreme Court.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	606.7	640.6	653.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**606.7**	**640.6**	**653.2**
FTE Positions	**5.5**	**5.4**	**5.4**

◆ **Goal** 1 To provide timely and effective administrative and technical support to domestic relations education on children's issues program administrators, to review standards and evaluate statewide domestic relations education on children's issues programs in accordance with statute and Supreme Court administrative order.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of annual reports received and analyzed from prior fiscal year.	100	100	87	100	100
Number of alternative format programs reviewed.	1	1	0	1	0

◆ **Goal** 2 To provide timely, effective administrative and technical support to all judges and court personnel and the Committee on the Impact of Domestic Violence and the Courts.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of time minutes were provided in 20 days & notice 48 hours prior to meeting	100	100	75	100	100

◆ **Goal** 3 To provide on site monitoring and assessment of state and local proceedings and services related to domestic violence issues.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Monitoring and evaluation contacts made with state and local contacts to ensure proceedings and services follow statutes and court rules.	137	100	520	250	250

◆ **Goal** 4 To maintain the competence of judicial officers in the appropriate determination and effective management of domestic violence cases.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of necessary annual updates done for the Bench Book for Orders of Protection and Injunctions Against Harassment in Domestic Violence Cases and related court policies	100	100	100	100	100
Percent of conducting at least one bi-annual statewide training conference specifically devoted to domestic violence issues	NA	100	100	NA	100
Appropriate judicial officers and court personnel educated in policies and procedures that help counties effectively address the needs of domestic violence victims	1,014	300	589	300	300

Subprogram Summary

STATE GRAND JURY

Kevin Kluge, Division Director/CFO
Phone: (602) 452-3395
A.R.S. § 21-428(B)

Mission:

To provide for reimbursement of grand jury expenses as required by law.

Description:

The program provides the mechanism for reimbursement of the direct costs incurred by a county for impaneling a grand jury and the related costs associated with the grand jury's function and duties. Expenses that are reimbursed include juror fees, lodging, meals and mileage, attorneys, interpreters, investigators and expert witnesses appointed to a particular case and transcript preparation.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	97.6	97.9	97.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	623.5	774.3	774.3
Total Funding	**721.1**	**872.2**	**872.2**
FTE Positions	**0.1**	**0.1**	**0.1**

◆ **Goal** 1 To provide for reimbursement of valid grand jury expenses, in accordance with Constitutional mandates.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Claims processed	5	5	4	5	5

Subprogram Summary

POST CONVICTION RELIEF

Kevin Kluge, Division Director/CFO
Phone: (602) 452-3395
A.R.S. § 13-4041

Mission:

To provide reimbursement to counties for state-funded representation of indigent defendants in first-time capital post conviction relief proceedings.

Description:

Laws 1996, Chapter 7, 7th Special Session provides that all indigent prisoners under a capital sentence are entitled to the appointment of counsel to represent them in the state PCR proceeding and requires the Supreme Court to appoint this counsel after the mandate affirming the defendant's conviction and sentence is issued. This legislation establishes a flat fee of $7,500 to be paid to appointed counsel in a first state PCR proceeding unless the counsel is employed by a publicly funded office. The Supreme Court is required to reimburse the county, upon certification by the county that the amount is owed.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	90.3	90.0	90.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**90.3**	**90.0**	**90.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To provide for reimbursement of valid post-conviction relief proceedings.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Claims processed	17	20	19	20	20

Subprogram Summary

JUDICIAL ASSISTANCE

Kevin Kluge, Division Director/CFO
Phone: (602) 452-3395
AZ Const., Art. VI, Section 19, 20, A.R.S. §§ 12-143, 38-813

Mission:

To provide for reimbursement of judges pro tempore and retired judges called to serve in the superior and appellate courts of Arizona.

Description:

The program provides the funding mechanism for payment of salaries of judges pro tempore when serving in the Superior Court, payment of retired judges' differential pay, and payment of travel expenses.

◆ **Goal** 1 To provide reimbursement as required for judges pro tempore and retired judges called to serve in the superior and appellate courts of the state. <=Funding for this program has been eliminated through budget cuts.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Reimbursement provided	0	0	0	0	0

Subprogram Summary

STATE AID TO THE COURTS

Cathy Clarich, Program Manager
Phone: (602) 452-3337
A.R.S. § 12-102.02

Mission:

To improve the processing of criminal cases in the Arizona Superior Court and Justice Courts.

Description:

The Arizona Supreme Court is required to administer the monies in the State Aid to Courts Fund. In addition to administering the fund, this program distributes monies to the Superior Court, including the Clerk of Court, and the Justices Courts in each county based on a composite index formula using Superior Court felony filings and county population.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	315.0	315.0	315.0
Other Appropriated Funds	1,807.3	2,945.3	2,945.3
Other Non Appropriated Funds	15,256.5	17,977.6	17,977.6
Total Funding	**17,378.8**	**21,237.9**	**21,237.9**
FTE Positions	**65.2**	**80.2**	**80.2**

◆ **Goal** 1 To reduce felony case processing delays to improve public protection and to provide swift, fair justice for victims and those accused of crimes. (Target is to have 90% of all felony cases processed within 100 days.)

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of counties' criminal cases processed within 90 days (target is 65%)	45	55	47	65	65
Percent of counties conducting criminal case processing improvement projects	93	93	93	93	93

Explanation: 14 of 15 counties applied in FY19

Subprogram Summary

JUDICIAL COLLECTION ENHANCEMENT

Marcus Reinkensmeyer, Division Director
Phone: (602) 452-3334
A.R.S. § 12-116

Mission:

To improve, maintain, and enhance the ability of the courts to collect and manage monies assessed or received by the courts and to improve court automation projects likely to improve case processing or the administration of justice.

Description:

The Judicial Collection Enhancement Fund (JCEF) is used to improve, maintain and enhance the judiciary's ability to collect and manage monies, including child support, restitution, fines and civil penalties. Funds are used for automation of courts, projects to improve case processing and the administration of justice, and to educate courts about revenue enhancement techniques and technology.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,380.8	3,473.0	4,746.2
Other Appropriated Funds	10,798.2	15,335.2	15,335.2
Other Non Appropriated Funds	552.8	543.0	543.0
Total Funding	**14,731.8**	**19,351.2**	**20,624.4**
FTE Positions	**122.6**	**115.7**	**115.7**

◆ **Goal** 1 To improve, maintain and enhance the ability of the courts to collect and manage monies assessed or received by the courts, pursuant to A.R.S. 12-116.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of annual increase in court revenue in prior fiscal year	-4.7	-2.0	1.0	-2.0	-2.0
Difference in percentage change from previous fiscal year in court revenue collections and case filings	2.3	2.2	2.3	2.2	2.2

◆ **Goal** 2 To fund court automation projects likely to improve case processing or the administration of justice.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of all of the courts that have automated case and cash management systems	100	100	100	100	100
Percent of annual increase in overall court dispositions at all court levels in prior fiscal year.	-2.4	-2.4	3.1	-2.4	2.0
Clearance rate (dispositions/filings) for all cases at all court levels in prior fiscal year.	1.1	1.00	1.5	1.0	1.0

◆ **Goal** 3 To expedite the processing of grant requests in a cost-effective manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Mean cycle days receipt of request to court notification of approval/denial	6.96	10	4.74	10	10
Grant management budget as percent of total budget	1.0	1.0	.701	1.0	1.0

Subprogram Summary

DEFENSIVE DRIVING

Marcus Reinskensmeyer, Division Director
Phone: (602) 452-3334
A.R.S. § 28-493

Mission:

To assist courts in enhancing case processing.

Description:

This program oversees the funds in excess of those needed to administer the Defensive Driving Regulation program. These excess funds are placed into the Traffic Case Processing Fund to aid courts. This is done by establishing new and better automation systems that will improve case management, fine collections, paperwork processing and Motor Vehicle Division reporting, and will reduce traffic case backlogs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,679.4	3,513.7	3,513.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,679.4**	**3,513.7**	**3,513.7**
FTE Positions	**21.7**	**19.7**	**19.7**

◆ **Goal** 1 To develop automation systems to process all court cases.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of courts with a uniform statewide automation system	92.2	93	93	93	93

Subprogram Summary

DRUG ENFORCEMENT

Dori Littler, Acting Program Manager
Phone: (602) 452-3324
A.R.S. § 41-2402

Mission:

To support the court and its components in furtherance of the federal and state governments' efforts to combat drug abuse and gang violence.

Description:

Monies from the Drug and Gang Enforcement Account are distributed by the Arizona Criminal Justice Commission to courts and probation departments for local efforts to deter, investigate, prosecute, adjudicate, and supervise drug offenders and members of criminal street gangs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	951.8	951.8	951.8
Total Funding	**951.8**	**951.8**	**951.8**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To enhance the ability of the courts and probation departments to process drug related cases more expediently and effectively.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average days drug case processing	NA	NA	NA	NA	NA
Percent of quarterly financial and progress reports submitted according to schedule	100	100	100	100	100

Subprogram Summary

ALTERNATIVE DISPUTE REGULATION

Cathy Clarich, Program Manager
Phone: (602) 452-3337
A.R.S. § 12-135

Mission:

To promote the use of court-related alternative dispute resolution programs to increase access to the court system.

Description:

The Alternative Dispute Resolution (ADR) Fund is used for local, regional or statewide projects to create, improve, maintain or enhance alternative dispute resolution programs in the superior or justice courts. Alternative dispute resolution provides disputing parties alternatives to litigation. Examples of alternative dispute resolution methods include mediation and arbitration. Funds are used to develop educational programs (scholarships and conferences).

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	207.3	397.3	397.3
Total Funding	**207.3**	**397.3**	**397.3**
FTE Positions	**1.8**	**1.6**	**1.6**

◆ **Goal** 1 To create, improve, maintain, or enhance alternative dispute resolution programs in superior court and justice of the peace courts.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of volunteer mediators trained	91	52	43	52	50
Number of volunteer mediator training sessions held	7	5	3	5	5

Subprogram Summary

CASE PROCESSING ASSISTANCE

Cathy Clarich, Program Manager
Phone: (602) 452-3337
A.R.S. § 41-2401.(D)(8)

Mission:

To enhance the ability of the courts to process criminal and delinquency cases.

Description:

The Case Processing Assistance Fund (CPAF) is used to enhance the courts' ability to process criminal and juvenile delinquency cases and to process orders of protection. Monies are used to fund judges pro tempore and support staff, and to purchase necessary equipment and supplies that courts are unable to obtain through their local funding sources. CPAF also is used to fund innovative projects to improve criminal and delinquency case processing and processing orders of protection.

*Total FTEs do not include grant funded and field FTEs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,214.7	3,026.7	3,026.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,214.7**	**3,026.7**	**3,026.7**
FTE Positions	**21.1**	**19.4**	**19.4**

◆ **Goal** 1 To enhance the ability of courts to process juvenile delinquency cases.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent growth in filings in prior fiscal year	-.9	-10.1	13.6	-10.1	-5.0
Prior fiscal year clearance rate (dispositions/filings) of 1.00 or greater annually	.9	1.0	1.0	1.0	1.0
Months for disposition of pending cases in prior fiscal year	12.0	11.0	12.0	11.0	12.0

◆ **Goal** 2 To enhance the ability of the courts to process criminal cases.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent growth in filings in prior fiscal year	-3.4	.11	1.4	.11	1.1
Prior fiscal year clearance rate (dispositions/filings) of 1.00 or greater annually	1.01	1.0	1.04	1.0	1.0
Months for disposition of pending cases in prior fiscal year	15	15	15	15	15

◆ **Goal** 3 To expedite the processing of grant requests in a cost-effective manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Mean cycle days receipt of request to court notification of approval/denial	4	10	5	10	10
Grant management budget as percent of total budget	3.8	3.8	4.1	4.1	4.1

Program Summary

FAMILY SERVICES

Caroline Lautt-Owens, Director
Phone: (602) 452-3408
A.R.S. § 8-515.01

Mission:

To administer programs that are designed to ensure that the best interests of dependent children are served by providing a system of information, advocacy and review.

Description:

The Dependent Children's Services Division interacts with the courts, a variety of non-court agencies and organizations and the public throughout Arizona. The division administers three major programs: Foster Care Review Board, Court-Appointed Special Advocate and the Court Improvement Program. Other services include operating a parent assistance hotline program that provides court and other related information to parents and guardians whose children have been removed from the home by Child Protective Services.

This Program Contains the following Subprograms:

- Foster Care Review Board
- Court Appointed Special Advocate
- Model Court - Court Improvement Project

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,610.3	3,703.8	4,025.1
Other Appropriated Funds	3,430.7	3,601.3	4,066.2
Other Non Appropriated Funds	866.0	855.6	855.6
Total Funding	**7,907.0**	**8,160.7**	**8,946.9**
FTE Positions	**63.4**	**61.8**	**62.8**

Subprogram Summary

FOSTER CARE REVIEW BOARD

Lori Dennison, Program Manager
Phone: (602) 452-3408
A.R.S. § 8-515.01

Mission:

To ensure, through local volunteer review boards and a state advisory board, that children involved in dependency proceedings have a permanent placement plan consistent with their best interest.

Description:

The Foster Care Review Board is designed to assist the juvenile court judges. The boards are comprised of volunteer members who receive initial as well as on going training. The boards are responsible for reviewing, within six months of placement and every six months thereafter, the case of each child who remains in out-of-home placement and who is the subject of a dependent action. The case review determines what efforts have been made by the social services agency with whom the child has been placed, to carry out the plan for the permanent placement of the child. Review boards submit recommendations to the presiding juvenile court judge in each county to assist their court review and decision making process. The State Foster Care Board is statutorily required to review and coordinate the activities of the local boards. In addition, the State Board is mandated to make annual recommendations to the Supreme Court, the Governor, and the Legislature on the state's foster care statutes, policies, and procedures. Also included in this subprogram is the Parent Assistance Hotline. The hotline provides accurate information, education and referrals when children are involved with Child Protective Services (CPS), enabling parents and guardians to work more effectively with CPS and the juvenile court.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,171.8	3,265.1	3,365.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	866.0	855.6	855.6
Total Funding	**4,037.8**	**4,120.7**	**4,221.0**
FTE Positions	**54.1**	**52.6**	**52.6**

◆ **Goal** 1 To ensure that each child in out-of-home placement, for 6 months or more, is reviewed by the FCRB at least once every 6 months and is making progress towards permanency.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Children eligible for review during the fiscal year	19,270	17,070	18,835	18,435	18,039
Number of child reviews held during the fiscal year	26,542	23,571	23,740	22,854	22,261
Total number of reviews conducted within the fiscal year	15,371	13,485	14,117	13,590	13,241
Percent of reviews during fiscal year for which the board found that progress was being made towards establishing permanency	57.84	58.86	56.3	57.9	57.9

◆ **Goal** 2 To establish, maintain and train sufficient volunteers to perform high quality case reviews.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
FTEs to support volunteers (Does not include Support Pool)	46.7	46.7	43.7	43.7	43.7
Number of active volunteers during the fiscal year	740	772	721	730	730
Average length of volunteer service during the fiscal year	6.34	6.65	6.53	6.72	6.76
Number of volunteers meeting or exceeding the yearly training requirement	366	390	277	400	400

◆ **Goal** 3 To provide accurate information to families in a caring, respectful manner

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Hotline Calls	469	469	502	502	502

◆ **Goal** 4 To increase public and agency awareness of the Parent Assistance Hotline

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Agency Referrals	166	200	168	150	150
Calls attributable to brochures (DES)	44	40	31	40	40
Calls attributable to other advertising	229	240	303	300	300

Subprogram Summary

COURT APPOINTED SPECIAL ADVOCATE

Deidre Calcoate, Program Manager
Phone: (602) 452-3583
A.R.S. § 8-522

Mission:

To administer and monitor a community-based volunteer advocacy program in the Juvenile Court System for abused and neglected children.

Description:

The Arizona CASA Program is comprised of the state office, county programs, and volunteers who serve abused and neglected children. The state office administers the program by monitoring county programs to ensure compliance with all relevant statutes, orders, policies and procedures, and funding agreements. In addition, the state office provides services, including recruiting tools, training opportunities, and technical assistance and support to county programs and volunteers. County programs educate communities in order to recruit, maintain, and supervise qualified volunteers to advocate for children involved in juvenile court proceedings as required by A.R.S. §§ 8-522 to 8-523, and Arizona Rules of Court, Rules 22 and 22.1.

CASA volunteers are specially trained citizens who are appointed to an individual dependency case by presiding juvenile judges and function as independent advocates for children who are wards of the court. Volunteers help ensure that a child's right to a safe, permanent home is actively pursued. The CASA volunteer has three main roles: 1) to conduct an independent assessment of the case and advocate for needed services for the child and family; 2) to provide written reports and testimony to the juvenile court judge to enable the judge to make the best decision possible; and 3) to be a consistent presence in the child's life, acting as an advocate throughout the court proceedings.

The Court Appointed Special Advocate Fund receives 30 percent of unclaimed state lottery prize money pursuant to A.R.S. § 5-518 and 8-524.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	3,430.7	3,601.3	4,066.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**3,430.7**	**3,601.3**	**4,066.2**
FTE Positions	**9.3**	**9.2**	**9.2**

◆ **Goal** 1 To maintain an adequate number of certified volunteer advocates.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Children eligible for CASA assignment during the year	19,270	17,070	18,835	18,435	18,039
Children with CASA assigned as of 6/30	1,982	2,210	2,108	2,220	2,330
Total Number of volunteers as of 6/30	1,174	1,267	1,250	1,300	1,400
Volunteers serving during the year	1,492	1,582	1,593	1,400	1,500
Number of Assigned CASAs as of 6/30	925	1,017	994	1,575	1,125
Number of volunteers during the year completing the required number of hours	801	850	859	870	900
Percent of number of volunteers serving during the year completing the required number of hours	67	70	64	75	75
Average number of in-service training hours volunteers received	18	19	11	16	16

◆ **Goal** 2 To ensure compliance by performing an operational review of county program activities. Working closely with other Administrative Office of the Court divisions, monitoring is now done on a cycle. Monitoring is not done in all 15 counties each year.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of volunteer files reviewed	177	130	130	130	130
Percent of required items reviewed and found to be in compliance	87	89	78	89	89
Total number of case files reviewed	170	118	102	118	118
Percent of required items reviewed and found to be in compliance	95	97	84	97	97

Subprogram Summary

MODEL COURT - COURT IMPROVEMENT PROJECT

Rob Shelley, Program Coordinator
Phone: (602) 452-3416
A.R.S. § 8-824

Mission:

To evaluate and improve Arizona's dependency case management in order to reduce the amount of time children spend in out of home placement.

Description:

In 1998, based upon a federal dependency court improvement initiative and the Pima County Model Court pilot, new laws governing dependency case time lines and processing were passed. The Court Improvement Program oversees the implementation of this re-engineering of the dependency court process. Program responsibilities include providing technical assistance, training and funding to juvenile courts as they implement the new and revised statutes and improve their handling of dependency petitions. This also includes the implementation of dependency operational reviews and expanding dependency data collection through the use of the Arizona Juvenile On-Line Tracking System, JOLTS.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	438.5	438.7	659.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**438.5**	**438.7**	**659.7**
FTE Positions	**0.0**	**0.0**	**1.0**

◆ **Goal** 1 To reduce the time frame from removal to permanency.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of petitions that met preliminary protective hearing requirements (within 5-7 days of removal)	87	89	71.17	80	80
Average number of days to adjudication	75	75	77	75	75
Percent of petitions for which a permanency hearing was completed within required timeframe (six months for children under 3 years old and 12 months for children ages 3 and older).l	84	87	93.66	90	90

Program Summary

JUDICIAL NOMINATIONS AND PERFORMANCE REVIEW

Kevin Kluge, Division Director/CFO
Phone: (602) 452-3395
AZ Constitution, Article VI, Sections 36, 42

Mission:

To nominate highly qualified individuals for appointment to the Supreme Court, the Court of Appeals, and the Superior Court in Coconino, Maricopa, Pima and Pinal counties and to evaluate the performance of all justices and judges who stand for retention and provide the results of those evaluations to the voters before each retention election.

Description:

Vacancies on the Supreme Court or the Court of Appeals are filled by appointment by the Governor from a list of not less than three nominees for each vacancy submitted by the 16-member Commission of Appellate Court appointments. Vacancies on the Superior Court for Coconino, Maricopa, Pima and Pinal Counties are filled by appointment by the Governor from a list of not less than three nominees for each vacancy as submitted by the 16-member Commission on Trial Court Appointments for Coconino, Maricopa, Pima and Pinal Counties. The five commissions operate under Rules of Procedure adopted by the Supreme Court.

Judicial Performance Review provides a mechanism for surveying attorneys, litigants/witnesses, jurors, peers, court staff, and administrative contacts about the performance of all merit retention justices and judges. The surveys are conducted twice during each term of office. The "pre-election" includes public hearings and the opportunity to comment on a specific judge in writing. Information is disseminated to the public before each general election as part of the Secretary of State's "Voter Information Guide." This program complies with the Americans with Disabilities Act and Federal Minority Rights Voting Act requirements. The information is also reviewed with the judge as a tool for professional growth and improvement. The Commission operates under Rules of Procedure adopted by the Supreme Court.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	408.8	542.5	550.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**408.8**	**542.5**	**550.0**
FTE Positions	**3.6**	**3.6**	**4.6**

◆ **Goal** 1 To ensure the nominating commissions candidate submissions meet the constitutional requirements on considering the diversity of the state's or county's population and nominee submission time line.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Applications received from minorities and women as a percent of all applications	48	50	53	50	50
Nominations of minorities and women as a percent of all nominations	56	50	56	50	50
Percent of nomination lists submitted to the Governor within the 60 day constitutionally set time line	100	100	100	100	100

◆ **Goal** 2 To efficiently meet their constitutional duties.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Cost per appellate court vacancy (dollars)	2,500	3,000	2,600	2,000	2,000
Cost per trial court vacancy (dollars)	1,300	3,000	350	3,000	3,000

◆ **Goal** 3 To provide survey forms during each survey period for distribution to individuals who interact with a merit/retention judge.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Survey forms distributed	45,000	6,000	59,517	6,000	60,000
Survey forms returned	10,000	1,200	11,518	1,200	14,000

◆ **Goal** 4 To widely disseminate the results of the survey and review process.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Pamphlets distributed (in thousands)	120	100	150	100	150
Explanation: Pamphlets are not distributed in a non-election year.					
Telephone Contacts	20	200	200	20	250
Website Hits	19,085	500,000	1,200,000	1,500,000	1,200,000

Program Summary

COMMISSION ON JUDICIAL CONDUCT

Margaret Downie, Executive Director
Phone: (602) 452-3200
AZ Constitution, Article VI.I

Mission:

To investigate and resolve all complaints of judicial misconduct.

Description:

The Commission, comprised of 11 members, is an independent agency that has jurisdiction over all judges in the state, including Supreme Court justices, Court of Appeals judges, Superior Court judges, Justices of the Peace and municipal judges. It also has jurisdiction over commissioners, hearing officers, judges pro tempore, retired judges with temporary assignments, and all other judicial officers serving within the judicial branch of government. When all are taken into account, the Commission's jurisdiction extends to more than 570 judges and judicial officers throughout the state.

The Commission is required to investigate all complaints of judicial misconduct and may resolve them in one of several ways. Complaints that are frivolous or unfounded may be dismissed for lack of jurisdiction, insufficient grounds to justify investigation or no evidence of judicial misconduct. Cases involving serious misconduct are decided in formal hearings, similar to trials, that are open to the public. At the conclusion of a hearing, the Commission can formally recommend to the Supreme Court that a judge be publicly censured, suspended, removed or retired. Discipline in less serious cases may be handled informally.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	503.0	521.9	533.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**503.0**	**521.9**	**533.4**
FTE Positions	**4.0**	**4.5**	**4.5**

◆ **Goal** 1 To investigate and resolve all complaints of judicial misconduct in accordance with Constitutional mandates. (These numbers are based on calendar-year data)

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints processed	332	350	409	370	375
Explanation: FY19 data is based on calendar year (1/1/18 - 12/31/18)					
Formal and Informal Advisory Opinions	109	250	305	250	250
Explanation: FY19 data is based on calendar year (1/1/18 - 12/31/18)					
Preliminary investigations	78	80	73	75	75
Explanation: FY19 data is based on calendar year (1/1/18 - 12/31/18)					
Motions for reconsideration	28	30	31	30	30
Explanation: FY19 data is based on calendar year (1/1/18 - 12/31/18)					
Sanctions and other warnings	43	40	30	30	30
Explanation: FY19 data is based on calendar year (1/1/18 - 12/31/18)					

Program Summary

JUDICIAL COMPENSATION

Kevin Kluge, Division Director/CFO
Phone: (602) 452-3395
AZ Constitution, Article VI, Section 9, A.R.S. § 12-120

Mission:

To fund the state portion of the salary and employee related expenses of Superior Court judges.

Description:

The Arizona Superior Court, which has at least one judge in every county, is the state's only general jurisdiction court. Additional Superior Court judges may be authorized in each county having a census greater than 30,000 inhabitants and upon petition by the Board of Supervisors to the Governor. A Superior Court judge may be authorized for each 30,000 inhabitants or majority fraction thereof. Superior Court judges hear all types of cases except small claims, minor offenses or violations of city codes and ordinances. One-half of the Superior Court judges' salaries are provided by the state as required by A.R.S. § 12-128.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	10,564.8	18,281.3	24,306.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**10,564.8**	**18,281.3**	**24,306.0**
FTE Positions	**83.3**	**181.3**	**181.3**

◆ **Goal** 1 To provide fair and expeditious determination of cases. (Court activity is difficult to predict; projections are based on FY 2014 activity level, which also is an estimate. Cases pending are as of 6/30.)

* The 2015 actual total reflects an estimated figure.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
All cases on file in prior fiscal year	405,000	400,000	377,296	400,000	400,000
All cases terminated in prior fiscal year	187,000	185,000	184,823	185,000	185,000
Cases pending in prior fiscal year	192,000	215,000	192,155	215,000	200,000
New filings (includes transfer in cases) in prior fiscal year	190,000	185,000	185,141	185,000	185,000
Other proceedings in prior fiscal year	40,602	40,000	40,602	40,000	40,000

Program Summary

ADULT PROBATION SERVICES

Kathy Waters, Division Director
Phone: (602) 452-3468
A.R.S. § 13-901

Mission:

To foster the continued development and effective implementation of a balanced approach to Adult Community Corrections, including protection of the public through offender accountability and rehabilitation, and restoration of the community primarily through the collection of restitution and completion of community service.

Description:

Arizona's adult probation system is decentralized, with each of the fifteen county probation departments reporting directly to either the presiding judge of the Superior Court in their respective county or the Court Administrator. The Adult Services Division of the Administrative Office of the Courts administers and oversees nine major state programs/funds which help support the adult probation system: Intensive Probation Supervision (IPS); Adult Standard Probation; Community Punishment Program (CPP); Criminal Justice Enhancement Fund (CJEF); Drug Enforcement Account (DEA); Interstate Compact (ISC); the Drug Treatment and Education Fund (DTEF); Transferred Youth (TY); and the Judicial Collection Enhancement Fund (JCEF). The Division works with the county probation departments to ensure adequate resources are available for them to meet required operational standards based upon applicable statutes, administrative orders and funding requirements. The Division also coordinates approximately 300 state vehicles provided for adult and juvenile probation and surveillance officers, facilitates training events, conducts research and statistical compilation, and provides technical assistance on a variety of probation related matters.

* Beginning with FY 2004, Maricopa County is not included in the statewide result.

This Program Contains the following Subprograms:

- Standard Probation
- Intensive Probation
- Community Punishment
- Interstate Compact
- Drug Treatment and Education
- Global Positioning Systems (GPS)

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	24,468.8	26,938.7	30,243.0
Other Appropriated Funds	5,082.4	7,715.1	7,715.1
Other Non Appropriated Funds	4,994.6	4,921.9	4,921.9
Total Funding	**34,545.8**	**39,575.7**	**42,880.0**
FTE Positions	**11.6**	**12.2**	**12.2**

Subprogram Summary

STANDARD PROBATION

Kathy Waters, Division Director
Phone: (602) 452-3468
A.R.S. § 12-261

Mission:

To provide financial assistance to probation departments to promote public safety by the responsible supervision of probationers in the community.

Description:

The program provides funding in an effort to maintain the statutory caseload average of 60 adult probationers per probation officer (60:1) and creates the availability of state funding to supplement county funds in order to achieve or maintain that 60:1 ratio. The funding must be used primarily for the payment of probation officer salaries to attain the caseload average.

* Beginning with FY 2004, Maricopa County is not included in the statewide result.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	14,671.1	16,467.8	18,609.8
Other Appropriated Funds	3,377.9	3,774.1	3,774.1
Other Non Appropriated Funds	633.4	638.4	638.4
Total Funding	**18,682.4**	**20,880.3**	**23,022.3**
FTE Positions	**1.0**	**1.0**	**1.0**

◆ **Goal** 1 To ensure that each county probation department is provided with adequate resources to meet required operational standards based upon applicable statutes, administrative orders and funding requirements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Operational reviews conducted	2	4	4	4	4
Percent of operational reviews completed within prescribed time frame	100	100	100	100	100

◆ **Goal** 2 To promote victim and community restoration and hold adult standard probationers accountable while providing opportunities for behavioral change consistent with the needs of public safety.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of court-ordered restitution paid by active standard probationers	27.56	30	25.47	30	30
Percent of community restitution hours completed	42.82	43	40.80	45	45
Percent of probationers exiting standard probation and not committed to county jail or DOC	82	83	81	83	84

◆ **Goal** 3 To assist in enhancement of education and training of probation officers and staff by providing regionalized and statewide training.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Certification Academies conducted	4	4	4	4	5
Regional training events	181	100	171	120	120
Percent of probation personnel in compliance with COJET requirements	99.96	100	99.8	100	100

◆ **Goal** 4 To promote public safety by providing each county probation department with adequate resources to meet required operational standards based upon applicable statutes, administrative orders and funding requirements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of probation departments in compliance with 65:1 mandate	64	100	100	100	100
Percent of probation departments whose funding is primarily used for payment of probation officer salaries	100	100	100	100	100
Average annual state cost per probation slot (in dollars) in prior fiscal year	1,335	1,365	1,331	1,325	1,320

Subprogram Summary

INTENSIVE PROBATION

Kathy Waters, Division Director
Phone: (602) 452-3468
A.R.S. § 13-913 et. seq.

Mission:

To provide a highly structured and closely supervised probation alternative which emphasizes the payment of restitution.

Description:

The program provides intensive supervision, through the use of probation officer/surveillance officer teams, to offenders who would otherwise have been incarcerated in the Department of Corrections at initial sentencing or as a result of a technical violation of standard probation. Pursuant to statute, supervision teams of one probation officer and one surveillance officer can supervise a maximum of 25 intensive probationers and a team consisting of one probation officer and two surveillance officers can supervise no more than 40 probationers. In small counties, one probation officer is authorized to supervise up to 15 intensive probationers. Intensive probationers are required to: maintain employment or full-time student status or perform community service at least six days per week; pay restitution and monthly probation fees; establish residency at a place approved by the probation team; remain at their place of residence except when attending approved activities; allow the administration of drug and alcohol tests; perform at least forty hours (with good cause the court can reduce to twenty hours) of community service work each month except for full-time students, who may be exempted or required to perform fewer hours; and meet any other conditions set by the court.

* Beginning with FY 2004, Maricopa County is not included in the statewide results. Beginning in FY 2007, Maricopa and Graham Counties not included.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,446.0	10,085.1	11,223.0
Other Appropriated Funds	460.9	1,535.2	1,535.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**9,906.9**	**11,620.3**	**12,758.2**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To promote victim and community restoration and hold accountable adult intensive probationers while also providing opportunities for behavioral change consistent with the needs of public safety.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of eligible IPS probationers participating in a treatment program	46	45	47	47	48
Percent of IPS probationers maintaining full-time employment	43	46	42	43	43
Percent of IPS probationers not testing positive for illegal drug use	65.47	66	63.68	65	66
Explanation: 14 of 15 counties reporting					
Percent of court-ordered restitution paid by active IPS probationers	25.97	30	30.03	31	32
Explanation: 14 of 15 counties reporting					
Percent of community restitution hours completed	56.20	57	55.77	59	60
Percent of probationers exiting IPS and not committed to county jail or DOC	49	50	53	53	54

◆ **Goal** 2 To promote public safety by providing each county probation department with adequate resources to meet required operational standards based upon applicable statutes, administrative orders, and funding requirements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of probation departments in compliance with statutorily prescribed caseload	93	100	71	71	100
Percent of probation departments provided sufficient operating motor vehicles	100	100	100	100	100
Average annual state cost per probation slot (in dollars) in prior fiscal year	7,713	7,775	7,695	7,685	7,700

◆ **Goal** 3 To provide an advanced training program (Arizona Institute for Intensive Probation) and technical assistance to IPS officers to ensure compliance with program direction.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
IPS institutes conducted	2	2	2	2	2
Percent of IPS officers completing the institute	100	100	100	100	100

Subprogram Summary

COMMUNITY PUNISHMENT

Shanda Breed, Program Manager
Phone: (602) 452-3814
A.R.S. § 12-299

Mission:

To enhance both intensive and standard probation services in an effort to divert offenders from prison or jail and promote public safety through locally designed treatment and control-oriented programming.

Description:

The Community Punishment Program (CPP) provides funds which augment general probation conditions and community-based programs emphasizing supervision, surveillance, control, public protection, community work service, restitution, and victims' rights, as well as opportunities for rehabilitation and treatment.

* Beginning with FY 2004, Maricopa County is not included in the statewide results.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,163.0	2,310.3	2,310.3
Other Non Appropriated Funds	879.9	701.7	701.7
Total Funding	**2,042.9**	**3,012.0**	**3,012.0**
FTE Positions	**1.4**	**1.4**	**1.4**

◆ **Goal** 1 To promote victim and community restoration and hold accountable adult community punishment probationers while also providing opportunities for behavioral change consistent with the needs of public safety.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of active probationers who received CPP funded services	2,127	2,800	1,749	2,300	2,350

Subprogram Summary

INTERSTATE COMPACT

Dori Littler, Program Manager
Phone: (602) 452-3324
A.R.S. § 31-461

Mission:

To provide supervision to probationers transferring to Arizona and monitor the supervision of probationers transferred to other states from Arizona.

Description:

The program provides for the supervision of probationers transferring to Arizona from other states, and probationers transferring from Arizona to other states. County probation departments investigate requests of probationers sentenced in other states who wish to transfer their probation supervision to Arizona. After investigation, these requests are either denied or accepted. If accepted, county probation departments provide supervision for transferred probationers. Arizona probation officers monitor compliance with probation conditions and initiate corrective action, if deemed necessary, through the state Compact Office. Arizona probation departments also maintain contact with probationers transferred from Arizona to other states and collect court-ordered monetary assessments, including restitution and fines.

* Beginning with FY04, Maricopa County is not included in the statewide result. Beginning in FY 2007, Maricopa and Graham Counties are not included

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	351.7	385.8	410.2
Other Appropriated Funds	80.6	92.8	92.8
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**432.3**	**478.6**	**503.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To facilitate the transfer and supervision of probation cases through the interstate compact.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of transfer investigation requests completed within forty-five days of receipt, as required	98.9	99	99.2	99	99.5
Percent of victim assistance fund payments collected	55	59	59	60	60

Subprogram Summary

DRUG TREATMENT AND EDUCATION

Susan Alameda, Treatment Manager
Phone: (602) 452-3558
A.R.S. § 13-901.02

Mission:

To provide treatment and education services to substance abusing probationers.

Description:

The Drug Treatment and Education Fund provides funding to augment treatment and education services for substance abusing offenders convicted of personal possession or use of a controlled substance.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	2.7	2.7
Other Non Appropriated Funds	3,481.3	3,581.8	3,581.8
Total Funding	**3,481.3**	**3,584.5**	**3,584.5**
FTE Positions	**9.2**	**9.8**	**9.8**

◆ **Goal** 1 To reduce the prevalence of drug use and the incidence of criminal activity for substance abusing offenders through treatment services and probation supervision.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of defendants convicted of an ARS 13-901.01 1st or 2nd offense and sentenced to a term of probation during the fiscal year	4,105	4,200	3,899	4,250	3,900
Number of probationers convicted of an ARS 13-901.01 1st or 2nd offense that received DTEF funded treatment services	775	800	510	850	511

Subprogram Summary

GLOBAL POSITIONING SYSTEMS (GPS)

Shanda Breed, Program Manager
Phone: (602) 452-3814
A.R.S. § 13-902(G)

Mission:

To provide global positioning system monitoring for probationers sentenced under ARS 13-902(G).

Description:

A.R.S. §13-902(G) provides that beginning November 1, 2006 after conviction of a dangerous crime against children as defined in A.R.S. §13-604.01, if a term of probation is imposed, the court shall require global position system monitoring for the duration of the term of probation. Many probationers sentenced under A.R.S. §13-902(G) are placed on probation for long terms extending up to life-time probation supervision.

The GPS program offers the highest level of community-based supervision available for those probationers convicted of Dangerous Crimes Against Children. Further, the GPS program allows probationers to receive treatment while in the community or continuing their treatment once released from incarceration. This balanced approach results in short-term public safety through monitoring and potential long-term public safety by offering the probationer the opportunity to change their behavior through treatment.

◆ **Goal** 1 To monitor all GPS offenders on probation as prescribed by statute

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of probationers on GPS	257	350	265	300	301

Program Summary

JUVENILE PROBATION SERVICES

Joe Kelroy, Division Director
Phone: (602) 452-3450
A.R.S. § 8-201

Mission:

To effectively oversee the statewide administration of local juvenile probation services and programs which promote community protection by requiring juvenile accountability and by providing treatment opportunities which result in law abiding behavior.

Description:

The Juvenile Justice Services Division is responsible for the effective administration of juvenile justice programs for delinquent and incorrigible youth in coordination with the juvenile courts. Division programs focus on treatment, rehabilitation and protection of community and youth. The Division administers and oversees seven major programs/funds: Juvenile Intensive Probation (JIPS); Juvenile Treatment Services Fund (JPSF); Family Counseling; Juvenile Standard Probation; Juvenile Crime Reduction Fund (JCRF); Progressively Increasing Consequences; and State Aid for Detention. Other services include providing direction and coordination for the Juvenile On-Line Tracking System (JOLTS); the statewide Literacy, Education and Resource Network (LEARN Labs); oversight of juvenile detention centers; and administration of probation department operational reviews.

This Program Contains the following Subprograms:

- Standard Probation
- Intensive Probation
- Treatment Services
- Family Counseling
- Progressively Increasing Consequences (PIC-Act)
- Juvenile Crime Reduction

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	37,220.1	38,493.6	39,615.7
Other Appropriated Funds	2,959.9	5,160.1	5,160.1
Other Non Appropriated Funds	32.5	1,744.9	1,744.9
Total Funding	**40,212.5**	**45,398.6**	**46,520.7**
FTE Positions	**26.5**	**25.2**	**25.2**

Subprogram Summary

STANDARD PROBATION

David Redpath, Program Manager
Phone: (602) 452-3456
A.R.S. § 8-203

Mission:

To improve, maintain or expand juvenile probation services to ensure proper supervision of youth on probation.

Description:

The program provides funds for the salary and employee-related expenses of probation officers supervising juveniles on probation to the superior court. The fund has been utilized to assist the counties in achieving and maintaining a client/probation officer ratio of 35:1.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,300.4	3,554.6	3,792.8
Other Appropriated Funds	0.0	150.0	150.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**3,300.4**	**3,704.6**	**3,942.8**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To ensure proper supervision of youth on probation.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of juvenile probation departments in compliance with mandated case load ratios of 35:1	93	100	66	100	100
Percent of youth who successfully complete their term of probation	90	85	78	85	85
Percent of juvenile probation departments (15) undergoing on-site visits	100	100	100	100	100
Average annual cost per probation slot (in Dollars) in prior fiscal year	2,429	2,500	2,904	2,500	2,500

◆ **Goal** 2 To manage and monitor the efficient and effective allocation and distribution of state appropriated funds.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of budget modifications reviewed and approved within two weeks	100	100	100	100	100
Percent of juvenile courts (15) whose plans are reviewed and approved	100	100	100	100	100

◆ **Goal** 3 To promote victim and community restoration by holding juvenile probationers accountable for their court ordered financial and community service obligations.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of juvenile probationers ordered to pay restitution, who pay	48	90	71	80	80
Percent of juveniles ordered to pay probation fees, who pay	13	75	49	75	75

Subprogram Summary

INTENSIVE PROBATION

Chris Varner, Program Manager
Phone: (602) 452-3456
A.R.S. § 8-351

Mission:

To effect positive change in a high risk juvenile population through a highly structured community based probation program committed to the prevention of further juvenile offenses and the protection of the community.

Description:

The program provides probation teams that deliver intensive supervision, which emphasizes surveillance, treatment, work, education and home detention, to juvenile offenders. The program seeks to reduce commitments to the Arizona Department of Juvenile Corrections and other institutional or costly out-of-home placements, thus reserving space for more serious youth offenders. Probationers are required to participate in one or more of the following for 32 hours per week: school, court-ordered treatment, employment or community service; if able, to pay required court-ordered fees; to remain at a place of residence, except as allowed and approved by the supervising probation officer; to allow administration of drug and alcohol tests; and to meet other conditions set by the court.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	5,301.0	5,682.0	6,009.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**5,301.0**	**5,682.0**	**6,009.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To ensure the proper level of intensive supervision of high risk probationers .

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of JIPS case load monthly reports reviewed	100	100	100	100	100
Percent of juvenile probation departments (15) visited	100	100	100	100	100
Percent of county JIPS programs (15) receiving informal on site monitoring reports	100	100	100	100	100
Percent of departments exceeding 95% compliance with contact standards as measured in quarterly performance audits	NA	80	NA	80	80
Average annual cost per probation slot (in dollars) in prior fiscal year	10,568	13,000	12,598	13,000	13,000

◆ **Goal** 2 To ensure that JIPS officers are trained and meet established standards.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of JIPS officers passing initial academy testing	100	100	100	100	100

◆ **Goal** 3 To manage and monitor the effective and efficient allocation and distribution of state appropriated funds.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of budget modifications reviewed and processed within two weeks of receipt	100	100	100	100	100
Percent of juvenile courts (15) whose plans and budgets are reviewed and approved	100	100	100	100	100

◆ **Goal** 4 To evaluate the statewide JIPS program aimed at reducing juvenile commitments to the Department of Juvenile Corrections or other institutional or costly out of home placements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of JIPS youth who successfully complete JIPS	87	87	76	87	87

◆ **Goal** 5 To promote victim and community restoration by holding juvenile intensive probationers accountable for their court ordered financial and community service obligations.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of the juvenile intensive probationers ordered to pay restitution who are paying	26	95	70	95	80

Subprogram Summary

TREATMENT SERVICES

Holli Sanger-Alarco, Program Manager
Phone: (620) 452-3246
A.R.S. § 8-322

Mission:

To administer a comprehensive continuum of community based treatment services and diversion programs for delinquent and incorrigible youth placed on probation to reduce repetitive juvenile offenses.

Description:

The Juvenile Treatment Fund is the primary fund that provides intervention services for youth on probation. The Administrative Office of the Courts administers the procurement, contracting and monitoring of statewide contracts for services provided to youth on probation. The fund provides the resources to assist the probation officer in enforcing the terms of probation through a comprehensive continuum of services to ensure accountability, skill development, community safety and crime reduction.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	19,960.9	20,148.0	20,361.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	164.5	1,744.9	1,744.9
Total Funding	**20,125.4**	**21,892.9**	**22,106.5**
FTE Positions	**4.0**	**4.5**	**4.5**

◆ **Goal** 1 To audit and evaluate treatment programs for contract compliance and effective service delivery.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Service contractors audited for compliance with program standards	68	75	67	67	67
Percent of contractors monitored in satisfactory compliance with established program standards (70%+)	98.5	98	98	98	98
Average cost per contract to audit (dollars)	1,362	1,500	1,326	1,500	1,500
Average hours per contract to audit and write report	42	45	44	45	45

◆ **Goal** 2 To provide a comprehensive array of services and interventions for youth on probation.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Youth served	4,625	6,000	5,120	6,000	6,000
Youth provided out of home services	NA	500	510	500	500
Youth provided day support services	NA	175	256	175	200
Youth provided counseling intervention	NA	3,500	663	700	700
Youth provided drug testing	NA	5,000	2,925	5,000	3,000
Youth provided evaluations and other services	NA	1,800	1,660	1,800	1,800
Youth provided educational and vocational services	NA	225	892	900	900
Percent of youth who don't re-offend within 12 months of program completion in prior fiscal year	58	55	58	55	55
Percent of youth with successful outcomes in functional family therapy	100	90	87	90	90
Percent of youth with successful outcomes in high impact residential	76	85	78	85	85

Subprogram Summary

FAMILY COUNSELING

Teasie Colla, Program Manager
Phone: (602) 452-3451
A.R.S. §§ 8-261 et seq.

Mission:

To oversee the development of programs for families in crisis which strengthen family relationships and reduce juvenile delinquency.

Description:

The program provides the basic crisis and supportive counseling services to children and their families. Funds are used to provide counseling not only to children who have already come to the attention of the court, but also to their families and siblings, in an effort to address family problems that may be contributing to unlawful behavior and to prevent escalation into more serious activity. For incorrigible children who would otherwise be unable to obtain counseling services, these funds provide the courts with the critical resources needed to improve the family's ability to deal with conflicts and exercise proper control.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	500.0	500.0	500.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**500.0**	**500.0**	**500.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To ensure services are available through the local juvenile courts for families in crisis.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Juvenile courts assisted in the development of approved family plans in prior fiscal year	15	15	15	15	15
Families served in prior fiscal year	1,247	950	1,072	1,100	1,500
Average cost per family (dollars) in prior fiscal year	686	900	893	900	900
Average age of youth participating in program in prior fiscal year	15	15	14	15	14
Average sessions per family in prior fiscal year	10	12	10	12	11

Subprogram Summary

PROGRESSIVELY INCREASING CONSEQUENCES (PIC-ACT)

Teasie Colla, Program Manager
Phone: (602) 452-3451
A.R.S. § 8-321

Mission:

To ensure accountability by administering a comprehensive array of consequence programs for youth diverted from the formal court process.

Description:

The Progressively Increasing Consequences monies provide the opportunity for youth to be held accountable for specific offenses without the formal court process. Youth are required to attend programs which emphasize accountability, restitution, skill development, crime reduction and community safety such as Teen Court, community work service, life skill education classes and problem solving.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	8,157.8	8,609.0	8,952.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	-132.0	0.0	0.0
Total Funding	**8,025.8**	**8,609.0**	**8,952.3**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To ensure diversion eligible referrals are processed in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of juveniles with an intake interview within 30 days of receipt of referral by the juvenile court	39	35	36	35	35

◆ **Goal** 2 To promote victim and community restoration by holding diversion youth accountable for their assessed financial obligations.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of diversion youth assessed restitution, who pay	63	95	79	95	90
Percent of parents of diversion youth assessed one-time parental assessment fee, who paid	85	90	96	90	90

◆ **Goal** 3 To ensure consequences are successfully completed.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Community Work Service case closures that were successfully completed	92	85	86	85	85
Percent of Counseling case closures that were successfully completed	44	85	82	85	85
Percent of Delinquency Prevention Education case closures that were successfully completed	44	90	85	90	85
Percent of Substance Abuse Education case closures that were successfully completed	33	90	73	90	90
Percent of Non-Residential Rehabilitation or Supervision case closures that were successfully completed	100	95	64	95	90
Percent of diversion programs showing a minimum of 15% positive change between pre and post test	68	90	68	90	90

Subprogram Summary

JUVENILE CRIME REDUCTION

Teasie Colla, Program Manager
Phone: (602) 452-3456
A.R.S. § 41-2401D.5

Mission:

To support the development and replication of specific initiatives and community-based prevention, early identification and intervention, and recidivism reduction strategies which promote crime free lifestyles for Arizona youth.

Description:

Funding is provided through the Criminal Justice Enhancement Fund. JCRF is used as seed monies for the development and initial implementation of community-based programs targeted at preventing a juvenile from becoming involved in illegal activity or providing an array of intervention services and sanctions to deter a juvenile from becoming further involved in the juvenile justice system. Grants may be administered by local courts, schools, local units of government, tribal agencies, state agencies, and the AOC. Program categories considered for funding are based on national research that supports promising strategies, such as academic achievement, after-school activities, mentoring, immediate consequences, and graduated sanctions. Programs are awarded funds through an annual application process; funding recommendations are submitted to the Chief Justice for final approval. Funds may also be used to implement legislative mandates and to support special projects and statewide strategic initiatives administered by the AOC, such as the Juvenile On-Line Tracking System (JOLTS), LEARN labs (Literacy, Education, and Resource Network computer-assisted learn centers), operational reviews of local probation departments, juvenile detention centers, and special projects.

JCRF is also used to provide technical assistance and to oversee the distribution of federal education dollars, which the division receives from the Department of Education and passes through to counties to provide educational services to detained youth. Twelve counties maintain juvenile detention centers; two counties share a regional facility and one county contracts with a neighboring county for detention services.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,959.9	5,010.1	5,010.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,959.9**	**5,010.1**	**5,010.1**
FTE Positions	**22.5**	**20.7**	**20.7**

◆ **Goal** 1 To manage and monitor the distribution of JCRF grant funds.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of on-site monitoring visits conducted (non-random sample)	100	100	100	100	100
Percent of programs in compliance with financial requirements	100	100	100	100	100
Percent of programs in compliance with program requirements	100	100	100	100	100

◆ **Goal** 2 To promote the development of promising community-based programs for youth.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Local programs funded	25	26	18	29	25
Explanation: Excludes LEARN Labs					
Youth served in local programs	35,546	10,000	68,648	70,000	70,000
LEARN labs	3	4	2	2	3

◆ **Goal** 3 To ensure that juvenile courts and probation departments are in compliance with statutes, administrative orders, funding agreements, rules, program plans, and policies and procedures.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Operational reviews conducted	5	5	5	5	5
Percent of departments reviewed that are in compliance	100	100	100	100	100

◆ **Goal** 4 To support the administration and programs of the Arizona juvenile court system.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Automation projects funded	3	3	3	3	3
Loss prevention issues addressed in detention centers	0	0	0	0	0

Program Summary

COURT OF APPEALS DIVISION I

Amy Wood, Clerk of the Court
Phone: (602) 452-6705
A.R.S. § 12-120 et. seq.

Mission:

To provide an independent and accessible intermediate appellate court in accordance with Constitutional mandate.

Description:

Division I of the Court of Appeals reviews all matters properly appealed from the Superior Court, except criminal death penalty cases. Division I convenes in Phoenix and encompasses the counties of Apache, Coconino, La Paz, Maricopa, Mohave, Navajo, Yavapai, and Yuma. Division I has the statewide responsibility for all Writs of Certiorari from these eight counties, and rate appeals from the Corporation Commission. Division I also has statewide responsibility for all writs of Certiorari concerning awards by the Industrial Commission, appeals from the Arizona Department of Economic Security Appeals Board and all appeals from the Arizona Tax Court. Division I consists of a Chief Judge and five departments, with three judges each.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	11,038.5	11,596.9	12,061.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**11,038.5**	**11,596.9**	**12,061.4**
FTE Positions	**98.3**	**98.3**	**98.3**

◆ **Goal** 1 To provide fair and expeditious determination of cases.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
All cases on file	5,582	5,033	4,829	5,000	5,200
All cases terminated	3,658	3,630	3,081	3,200	3,100
Cases pending	1,925	1,403	1,748	1,500	1,300
Explanation: Cases pending are as of 6/30					
New case filings	2,945	2,817	2,863	2,929	2,580
Customer Satisfaction rating for settlement program	100	95	100	95	95
Cases decided in which a Supreme Court review was not sought, excludes those cases dismissed in which no petition for review can be filed.	2,536	2,974	1,691	2,000	2,000
Cases decided where Supreme Court review was denied	502	581	547	550	550
Cases decided which Supreme Court review was granted and decision upheld	25	26	20	23	23

Program Summary

COURT OF APPEALS DIVISION II

Jeff Handler, Clerk of the Court
Phone: (520) 628-6954
A.R.S. § 12-120 et. seq.

Mission:

To provide an independent and accessible intermediate appellate court in accordance with Constitutional mandate.

Description:

Division II of the Court of Appeals reviews all matters properly appealed from the Superior Court, except criminal death penalty cases. Division II convenes in Tucson and encompasses the counties of Cochise, Gila, Graham, Greenlee, Pima, Pinal, and Santa Cruz. Division II consists of a Chief Judge and two departments, with three judges each.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,922.0	5,168.1	5,242.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**4,922.0**	**5,168.1**	**5,242.7**
FTE Positions	**38.5**	**38.5**	**38.5**

◆ **Goal** 1 To provide fair and expeditious determination of cases.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
All cases on file	1,704	1,850	1,576	1,650	1,750
All cases terminated	967	950	836	900	925
Cases pending	738	825	746	820	820
Explanation: Cases pending are as of 6/30					
New case filings	952	1,100	854	900	900
Customer Satisfaction rating for settlement program (Scale 1-8)	7.0	7.8	7.8	7.8	7.8
Cases upheld upon review	924	930	824	880	880

Program Summary

ADULT AND JUVENILE DRUG COURT

Susan Alameda, Treatment Manager
Phone: (602) 452-3558
A.R.S. § 13-3422

Mission:

To fund and manage a coordinated system of adult and juvenile drug courts that help reduce recidivism.

Description:

The Administrative Office of the Courts (AOC) provides funding and statewide oversight of Adult and Juvenile Drug Courts. Arizona's Drug Courts are special, problem-solving courts with the responsibility to intervene with medium to high-risk probationers at risk for failure on probation and in the community because of continued drug or alcohol use. Each drug court is comprised of a local Drug Court Team responsible for the effective implementation and operation of the drug court. All of Arizona's drug courts have judicial leadership combined with probation supervision and community-based treatment services.

The drug court program includes Memorandum of Understanding (MOU) between participating parties, judicial management, probation supervision, screening and assessment of participants, random and scheduled drug testing, individual, group and family counseling services, incentives and sanctions, community work service and parental/family involvement.

*Total FTE's do not include those FTE's funded in the Field.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,006.7	1,036.4	1,083.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	265.9	215.1	215.1
Total Funding	**1,272.6**	**1,251.5**	**1,298.8**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To measure the number of Adult participants screened, admitted and graduated from drug courts.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Participants sentenced to drug court.	844	850	811	900	811
Number of Participants retained at 180 day point	1,515	1,515	1,281	1,550	1,281
Number of Graduates from drug court	344	350	382	385	385

◆ **Goal** 2 To measure the number of Juvenile participants screened, admitted and graduated from drug courts.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Participants admitted to drug court	99	100	101	94	90
Number of Participants retained at 180 day period	61	100	81	68	70
Number of graduates from drug court	23	40	26	18	25

Agency Summary

DEPARTMENT OF JUVENILE CORRECTIONS

Jeff Hood, Director
Phone: (602) 364-4051
A.R.S. § 41-2802

Mission:

To rehabilitate the youth in our care by providing evidence-based treatment, pro-social, and educational and career training programs which will lead them to become productive law-abiding members of society.

Description:

The Department of Juvenile Corrections (DJC) is responsible for youth adjudicated as delinquent and committed to its jurisdiction by county juvenile courts. DJC is accountable to the citizens of Arizona for the promotion of public safety through the management of the State's secure juvenile correctional facility and a continuum of services for youth as they transition from the facility back to their communities. This mission is accomplished by providing supervision, rehabilitation, treatment, and education to the youth committed to its care.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ HOUSING	23,010.6	26,577.1	26,826.0
➢ REHABILITATION	9,712.4	11,284.6	11,284.6
➢ ADMINISTRATION	5,249.7	6,597.0	6,597.0
Agency Total:	**37,972.7**	**44,458.7**	**44,707.6**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	21,308.8	36,926.5	37,175.4
Other Appropriated Funds	15,467.6	6,405.6	6,405.6
Other Non Appropriated Funds	1,196.3	1,126.6	1,126.6
Total Funding	**37,972.7**	**44,458.7**	**44,707.6**
FTE Positions	**381.3**	**434.3**	**434.3**

5 Year Plan

Issue 1 New SI

Description

Solutions:

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Department of Juvenile Corrections

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Jeff Hood
Strategic Planner: Julie Hawkins
Last modified: 07/15/2019

Vision: To be a nationally recognized leader that advances public safety through the rehabilitation of seriously delinquent youth.

Mission: To rehabilitate the youth in our care by providing evidence-based treatment, pro-social, and educational and career training programs which will lead them to become productive law abiding members of society.

Agency Description: The Arizona Department of Juvenile Corrections (ADJC) is responsible for youth adjudicated as delinquent and committed to its jurisdiction by the county juvenile courts. ADJC is accountable to the citizens of Arizona for the promotion of public safety through the management of the state's secure juvenile correctional facility and a continuum of services for the youth as they transition from the facility back to their communities. This mission is accomplished by providing supervision, rehabilitation, treatment and education to the youth committed to its care.

Executive Summary: The Arizona Department of Juvenile Corrections (ADJC) has a vision to be a national recognized leader that advances public safety through the rehabilitation of seriously delinquent youth.

As a public safety agency, ADJC is charged with protecting the public, our employees and the youth committed to our care. We are committed to reducing violent incidents and workplace injuries by increasing training and focusing on prevention and intervention.

Juvenile justice is based upon public safety through effective programming. ADJC delivers evidence-based programs to the youth in our care. We will work to ensure youth successfully complete individualized education, treatment and behavior programming, allowing them to transition into the community and become productive members of society. To meet that requirement, ADJC must attract, retain and develop a professional and engaged workforce.

By fully integrating the Arizona Management System into agency practices and building meaningful relationships with internal and external stakeholders, ADJC will continue to improve agency processes and services.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Contribute to the safety of the citizens of Arizona, our employees, and the youth in our care	2018	• Increased communication and collaboration to assist with warrant apprehensions • Reduction of employee industrial injury claims through repairs, signs, modifications to utility vehicles and training • Increased % of youth reporting they did not fear for their safety while in secure care
2	Attract, retain, and develop a professional and engaged workforce to deliver quality services	2018	• 7-Step teams created to address Professional Development, Employee Recognition, YCO Hiring Process, and YCO Recruitment • Agency-wide implementation of One-on-One meetings • Quarterly survey developed to track agency efforts to improve employee engagement
3	Consistently deliver evidence-based and responsive programs	2018	• Implemented two evidence-based programs, including Master Training for Aggression Replacement Training • Improvements made to youth intake process • Review of Parole Violator program and completion of Program Improvement Plan • Deployment of Youth Assessment protocol tools • Implemented significant changes to daily operating schedule at Adobe Mountain School
4	Build stakeholder relationships	2018	• Engaged external stakeholders while preparing to receive extended jurisdiction youth • Conducted 22 tours for external stakeholders
5	Fully deploy the Arizona Management System agency-wide	2018	• Implemented Core Process/Problem Solving Workshops for agency staff • Training for Huddle Board Champions • Deploy half of agency huddle boards

Department of Juvenile Corrections

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Decrease # of youth on warrant status	• **Average number of days on warrant status**	• Increase training for the warrant team • Utilize assessment tools to pilot violence prevention • Develop improved approach to Individual Behavior Plans (IBP) • Loss Prevention Committee • Safety Program • Collaboration with security to focus on reducing injuries
	Reduce rate of violent incidents within secure care	• **Rate of violent incidents**	
	Decrease # of workplace injuries	• **Number of lost days due to workplace injuries** • **Number of claims due to workplace injuries**	
2	Improve employee engagement	• **% of positive responses on Employee Engagement survey**	• Implement bureau level and agency wide employee engagement plans • Development of Phase 3 Supervisor Training • Continuation and improvement of Phase 1 and Phase 2 Supervisor Training • Robust On-Boarding Process with 30/60/90 day check-in • Develop career path • YCO Referral Bonus Program
	Increase employee development opportunities	• **% of staff completing supervisor training**	
	Decrease YCO turnover	• **% of YCO turnover**	
3	Increase % of youth successfully completing supervision	• **% of youth successfully completing supervision**	• Implement AZYAS Re-Entry tool • Develop supervision classification matrix for AZYAS Re-Entry Assessment • Monthly review of phase progress and demotions • Implement credit recovery system
	Improve effectiveness of Aggression Replacement Training (ART)	• **% of youth making the desired change through the use of ART tools**	
	Increase education credits to close the cohort gap	• **% of youth's progress towards closing cohort gap**	
	Improve transitional/re-entry planning and services	• **% of youth released to parole with appropriately identified services in place prior to JCRB**	
4	Increase relationships with community based services	• **Number of community services available for youth**	• Job Fairs • Develop new program collaboration • Regular stakeholder meetings with DCS/ACC
	Increase interactions with stakeholders	• **% of planned stakeholder interactions met**	
5	Continue implementation of AMS deployment	• **AMS Deployment %** • **AMS Maturity Score**	• Huddle board training and establishment • AMS Element training • 1:1 Coaching – Check & Act

◆ **Goal** 1 To enhance our relationships with stakeholders and customers for the betterment of ADJC and the youth committed to the department.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of structured interactions with key stakeholders and customers	n/a	85	50.0	57.5	57.5
Number of community services available for juveniles	0	0	0	4	4

Program Summary

HOUSING

Jeff Hood, Director
Phone: (602) 364-4051
A.R.S. § 41-2802

Mission:

To rehabilitate seriously delinquent juveniles by providing safe, secure, and well maintained facilities and a healthy environment for committed juveniles.

Description:

The Housing Program provides housing, supervision, control, health services, and institutional services for committed juveniles requiring placement in a secure facility.

This Program Contains the following Subprograms:

- Facilities Management
- Security
- Health Care

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,344.7	22,316.6	22,565.5
Other Appropriated Funds	13,202.7	3,762.2	3,762.2
Other Non Appropriated Funds	463.2	498.3	498.3
Total Funding	**23,010.6**	**26,577.1**	**26,826.0**
FTE Positions	**226.5**	**270.5**	**270.5**

Subprogram Summary

FACILITIES MANAGEMENT

Jeff Hood, Director
Phone: (602) 364-4051
A.R.S. § 41-2802

Mission:

To provide a safe, clean, and functional physical plant and a sound operational structure for committed juveniles.

Description:

The Facilities Subprogram provides a safe, clean, and functional physical plant and a sound operational structure by ensuring that support services, inspections, and maintenance activities are conducted in an appropriate and timely manner.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,044.3	2,726.6	2,975.5
Other Appropriated Funds	2,969.0	3,604.6	3,604.6
Other Non Appropriated Funds	463.2	498.3	498.3
Total Funding	**6,476.5**	**6,829.5**	**7,078.4**
FTE Positions	**30.0**	**34.0**	**34.0**

◆ **Goal** 1 To contribute to the safety of the citizens of Arizona, our employees and the youth in our care

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Youth Corrections Officer (YCO) turnover rate	60	40	58.3	54.8	54.8
Number of lost days due to workplace injuries	0	0	141	119	119
Number of claims due to workplace injuries	0	0	5	4	4

Subprogram Summary

SECURITY

Jeff Hood, Director
Phone: (602) 364-4051
A.R.S. § 41-2802

Mission:

To enhance public protection by maintaining a secure environment for committed juveniles that supports positive behavioral programming.

Description:

The Security Subprogram includes behavior management programming; perimeter security; the safe and secure transportation of juveniles to and from facilities, medical appointments, and other appointments both scheduled and emergency related; radio communications to ensure instant communications with all areas inside the facilities; the transportation of vehicles for the safety and security of juveniles, staff, and the general public; and all other programs and processes designed to maintain a safe and secure environment within ADJC facilities.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,660.9	16,649.2	16,649.2
Other Appropriated Funds	10,233.7	157.6	157.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**13,894.6**	**16,806.8**	**16,806.8**
FTE Positions	**179.0**	**216.0**	**216.0**

◆ **Goal** 1 To contribute to the safety of the citizens of Arizona, our employees and the youth in our care.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Youth safety rate	12.7	11.5	20.8	17.7	17.7

Subprogram Summary

HEALTH CARE

Jeff Hood, Director
Phone: (602) 364-4051
A.R.S. § 41-2802

Mission:

To provide age and gender appropriate medically-necessary health services to juveniles in secure facilities.

Description:

The Health Services Subprogram provides a delivery system that utilizes on-site professional health care staff in the secure facilities and when deemed necessary, makes referrals to off-site hospitals and/or specialty health care providers.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,639.5	2,940.8	2,940.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,639.5**	**2,940.8**	**2,940.8**
FTE Positions	**17.5**	**20.5**	**20.5**

Program Summary

REHABILITATION

Jeff Hood, Director
Phone: (602) 364-4051
A.R.S. § 41-2802

Mission:

To rehabilitate seriously delinquent juveniles by confronting delinquent thinking and behaviors; developing pro-social attitudes and skills; and preparing juveniles academically and vocationally for success.

Description:

The Rehabilitation Program provides secure care treatment, education, and community care treatment programs that focus on changing delinquent behavior patterns and ensuring juveniles are successfully returned to the community.

This Program Contains the following Subprograms:

- Education
- Secure Care Treatment
- Community Care Treatment

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	6,757.5	8,211.3	8,211.3
Other Appropriated Funds	2,264.9	2,488.7	2,488.7
Other Non Appropriated Funds	690.0	584.6	584.6
Total Funding	**9,712.4**	**11,284.6**	**11,284.6**
FTE Positions	**105.0**	**113.0**	**113.0**

Subprogram Summary

EDUCATION

Jeff Hood, Director
Phone: (602) 364-4051
A.R.S. § 41-2831

Mission:

To support the mission of ADJC by providing all students educational opportunities to acquire academic/vocational skills as a pathway to responsible citizenship.

Description:

The Education Subprogram is a North Central Association accredited special function outcomes-based system that integrates reading, writing, listening, locating information, applied mathematics, applied technology, vocational training, observation, and teamwork into an individualized school-to-career curriculum. The Education subprogram is designed to meet the individual needs of each juvenile to assist in their successful transition to the community.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	611.0	472.7	472.7
Other Appropriated Funds	1,047.3	1,861.7	1,861.7
Other Non Appropriated Funds	543.4	437.4	437.4
Total Funding	**2,201.7**	**2,771.8**	**2,771.8**
FTE Positions	**22.0**	**25.0**	**25.0**

◆ **Goal** 1 To consistently deliver evidence-based and responsive programs to positively impact youth outcomes.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of juveniles progress towards closing cohort gap	0	28.2	47.4	54.5	54.5

Subprogram Summary

SECURE CARE TREATMENT

Jeff Hood, Director
Phone: (602) 364-4051
A.R.S. § 41-2802

Mission:

To provide specialized treatment, programming, and transition planning based upon the individual needs of the committed juveniles.

Description:

The Secure Care Treatment Subprogram provides individualized developmental programming and supervision services to committed juveniles requiring placement in a secure facility. Rehabilitative treatment is determined based upon a comprehensive behavioral health assessment, including a criminogenic and protective risk and needs assessment, which determines the presence, nature, and severity of behavioral health problems or strengths. ADJC provides all secure care juveniles with core behavior therapy treatment that addresses dysfunctional thinking as it contributes to problematic and delinquent behaviors and that uses Cognitive Behavior Therapy, Motivational Enhancement Therapy, social learning, risk factors management, and relapse prevention approaches. In addition to this core treatment, ADJC provides specialty treatment for severe conduct disorder, substance dependency, mental health issues, and sexual behavior disorder to youth as needed. The main treatment program modality is group, with individual sessions occurring on a regular basis to address identified needs. Psychology staff provides individual and group psychotherapy, while psycho-educational groups are conducted by youth program staff, whose work is aligned with and supports the psychotherapy groups. In addition, transition services are available to each youth based upon his/her Continuous Case Plan.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,894.4	4,794.6	4,794.6
Other Appropriated Funds	280.9	392.0	392.0
Other Non Appropriated Funds	146.6	147.2	147.2
Total Funding	**4,321.9**	**5,333.8**	**5,333.8**
FTE Positions	**53.0**	**59.0**	**59.0**

◆ **Goal** 1 To consistently deliver evidence-based and responsive programs to positively impact youth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of juveniles making the desired change through the use of ART tools	n/a	100	71.9	79.1	79.1

Subprogram Summary

COMMUNITY CARE TREATMENT

Jeff Hood, Director
Phone: (602) 364-4051
A.R.S. § 41-2817

Mission:

To rehabilitate seriously delinquent juveniles by providing effective and efficient structure, intervention/supervision, surveillance, and enforcement that changes delinquent thinking and behaviors of committed juveniles on conditional liberty (parole).

Description:

The Community Care Treatment Subprogram is responsible for the development and management of a system of community supervision, case management, and residential and non-residential interventions designed to reduce delinquent behavior. This includes the provision of parole supervision and case management for all juveniles on conditional liberty and the coordination, management, and monitoring of a diverse system of contract treatment providers in the community. These community-based services assist the juvenile and their family to develop skills necessary for the juvenile's success in the community.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,252.1	2,944.0	2,944.0
Other Appropriated Funds	936.7	235.0	235.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**3,188.8**	**3,179.0**	**3,179.0**
FTE Positions	**30.0**	**29.0**	**29.0**

◆ **Goal** 1 To contribute to the safety of the citizens of Arizona, our employees and the youth in our care.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of paroled youth productively involved in education or employment activities or programs	74.1	85.0	75.5	79.2	79.2
Percent of youth successfully completing supervision	27.2	31.0	37.3	42.9	42.9
Percent of warrants cleared within 24 days	24	22	70.3	77.3	77.3

Program Summary

ADMINISTRATION

Jeff Hood, Director
Phone: (602) 364-4051
A.R.S. § 41-2802

Mission:

To provide ADJC with support and logistic services that facilitate the change of delinquent thinking and behaviors of juvenile offenders committed to the Department's care.

Description:

The Administration Program provides the Housing and Rehabilitation Programs with the support and services required to change the lives of juveniles under ADJC care. These services include: Continuous Improvement, Legal Systems, Government Affairs and Public Relations, Office of Inspector General, Business and Finance, Human Resources and Management Information Systems.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	5,206.6	6,398.6	6,398.6
Other Appropriated Funds	0.0	154.7	154.7
Other Non Appropriated Funds	43.1	43.7	43.7
Total Funding	**5,249.7**	**6,597.0**	**6,597.0**
FTE Positions	**49.8**	**50.8**	**50.8**

◆ **Goal** 1 To improve employee engagement

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Ratio of positive responses on Employee Engagement Survey	51.0	60	2.0	2.5	2.5

◆ **Goal** 2 To attract, retain, and develop a professional and engaged workforce to deliver quality services

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of staff completing supervisor training	0	0	37.5	100	100
Percent of AMS Deployment	0	0	39	55	55
AMS Maturity Score	0	0	2.14	2.45	2.45

Agency Summary

STATE LAND DEPARTMENT

Lisa A. Atkins, Commissioner
Phone: (602) 542-4621
A.R.S. § 37-102

Mission:

To manage the assets of the State's multi-generational perpetual trust in alignment with the interests of the beneficiaries and Arizona's future.

Description:

The Arizona State Land Department (ASLD) manages more than 9 million acres of State Trust land and resources on behalf of 13 beneficiaries. To ensure the Trust is a viable and productive asset for beneficiaries today and for generations to come, ASLD exercises sound stewardship principles. As a fiduciary, ASLD generates revenue for the beneficiaries through the sale and leasing of State Trust land.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ TRUST MANAGEMENT AND REVENUE GENERATION	17,964.3	20,734.7	22,136.6
➢ OUTSIDE ASSISTANCE AND GRANTS	546.0	735.8	846.4
Agency Total:	**18,510.3**	**21,470.5**	**22,983.0**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	10,932.7	11,654.3	12,638.8
Other Appropriated Funds	5,966.6	8,042.3	8,570.3
Other Non Appropriated Funds	1,611.0	1,773.9	1,773.9
Total Funding	**18,510.3**	**21,470.5**	**22,983.0**
FTE Positions	**129.7**	**129.7**	**129.7**

5 Year Plan

Issue 1
Description
Solutions:

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	129.7	129.7	129.7
General Fund	12,566.8	12,566.8	12,566.8
Other Appropriated Funds	8,042.3	8,042.3	8,042.3
Non-Appropriated Funds	1,773.9	1,773.9	1,773.9
Federal Funds	100.0	150.0	200.0

State Land Department

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Lisa A. Atkins
Strategic Planner: Sean Burke
Last modified: 07/15/2019

Vision: A professionally managed department, proactively engaged in its mission in pursuit of a better Arizona.

Mission: To responsibly manage the assets of a multi-generational perpetual trust in alignment with the interests of the beneficiaries and Arizona's future.

Agency Description: ASLD manages more than 9 million acres of State Trust land and resources on behalf of 13 Beneficiaries. To ensure the Trust is a viable and productive asset for Beneficiaries today and for generations to come, ASLD exercises sound stewardship principles. As a fiduciary, ASLD generates revenue for the Beneficiaries through the sale and leasing of State Trust land.

Executive Summary: The strategy of the State Land Department is to transition from a reactive organization passively navigating its obligations, to a proactive organization that directs its efforts into key priorities designed to produce optimal outcomes for the beneficiaries and the State.

Strategic priorities are focused on the following :

- **Cultivating a Culture of Continuous Improvement:**
- **Enhancing Workforce**
- **Transitioning to Digital Age**
- **Expanding Business Opportunities**
- **Promoting Strategic External Relationships**

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Continuous Improvement	2017	• Implemented AMS and achieved score of 2.72 • Established new application review process to improve collaboration and decision making • Established recurring meeting cadence with stakeholders in Cultural Resources, Grazing, NRCDs and with various cities & municipalities
2	Enhance Workforce	2017	• Re-defined and Staffed all Tier 3 Leadership and critical Tier 2 positions • Implemented policies and protocols for staff Professional Development and training • 100% increase in Employee Engagement Score
3	Transition to Digital Age	2017	• Improved department-wide customer services through a Cloud-based portal allowing for on-line submission and payment of applications • Digitized all Right-of-Way legal documents • Increased sales of Recreation Permits by 40%
4	Expand Business Opportunities	2017	• Implemented initiatives to increase the value of STL: Zoning Banks in Scottdale & Surprise and the "Rawhide Wash Flood Control Improvement Fund" with the City of Phoenix • Proactively brought 10 land parcels to auction, where the Land Department was the applicant
5	Strategic External Relationships	2017	• Established Grant Administration process • Obtained grants to improve Trailheads and manage Off-Highway Vehicle activities on STL • Established ISA with ASP&T for collaboration on future improvement projects

Revised

Strategy #	FY 2020 Annual Objectives	Objective Metrics	Annual Initiatives
1	Eliminate process bottlenecks that negatively impact application processing lag-times	Reduced App Lag-times	Establish reporting of internal process metrics. Perform Root Cause / Corrective Action (RCCA) on identified process bottlenecks
1	Improve the accuracy of the Billing Processes to increase efficiency and customer satisfaction	Fewer Re-bills & Refunds	Transition three Billing processes to Salesforce work-flow. Perform RCCA on process with lowest "First Pass Yield" sections
2	Improve Employee Engagement Score	Engagement score	Continue to hold employee focus groups on results and implement professional development and training curriculum.
2	Reduce regrettable employee attrition and the lag-time to fill open positions	Fewer position vacancies	Define staffing requirements, fill open positions, and evaluate compensation strategy for each Division and Section
3	Create Standard Process Monitoring Dashboards for Critical Support Processes	No. of DBs created	Define standard design of process dashboard and determine which processes to include.
4	Implement recommendations from Agricultural Rent study completed in FY 2019	Execute for 2020 Cycle	Obtain T3 approval for project time-phasing; Initiate stakeholder and BOA communication plan; execute changes for CY 2020 billing
4	Complete zoning for 2 Zoning Bank projects in progress in Southern Arizona and Queen Creek	No. of Zoning Banks Enacted	Continue working the 5 projects currently underway and add a metric to the Management Scorecard Review.
5	Complete "Non-Urban Land Management Study" in accordance with the project plan	Project Phase Completion	Perform GIS land management study; analyze case law and federal restrictions, develop classification framework; create plan
5	Standardize the NRCD budget and distribution system to improve efficiency and accountability	% of Districts on Std Process	Define standard reporting requirements for NRCDs and Ed centers, create standard reports with IT, flow-down budget request criteria, formats & schedules

Program Summary

TRUST MANAGEMENT AND REVENUE GENERATION

Sean Burke, Administration Division Director
Phone: (602) 542-3238
A.R.S. §§ 37-201 to 37-611

Mission:

To manage State Trust lands and resources to enhance value and optimize economic return for the Trust beneficiaries.

Description:

The State Land Department and the system by which Trust lands are to be managed was established in 1915 by the State Land Code, in compliance with the Enabling Act and the State Constitution. Revenues earned from Trust lands are classified as either permanent or expendable. Revenues derived from the sale of Trust lands and the sale of natural products are deposited in the Permanent Fund. Revenues earned from leasing Trust lands are deposited in the expendable account for use by the appropriate beneficiary.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	10,543.3	11,264.9	12,138.8
Other Appropriated Funds	5,826.7	7,781.7	8,309.7
Other Non Appropriated Funds	1,594.2	1,688.1	1,688.1
Total Funding	**17,964.3**	**20,734.7**	**22,136.6**
FTE Positions	**129.7**	**129.7**	**129.7**

◆ **Goal** 1 To Cultivate a Culture of Continuous Improvement

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
AMS Self Assessment score and AMS Deployment %	2.7	3	2.7	3.0	N/A
Number of breakthrough and other improvements made	1	2	2	1	N/A

◆ **Goal** 2 To Enhance Workforce

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Improvement in Employee Engagement Score (percentage)	0	0	3.2	3.8	N/A
Fewer vacancies at each quarter end	0	0	12	5	N/A
Defined formal succession plans for the 7 Division Directors	0	3	1	3	N/A

◆ **Goal** 3 To Expand Business Opportunities

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Zoning Bank projects completed	1	3	1	2	N/A
PCI auction sales. ($ in millions)	27	100	107	120	N/A
Execute approved adjustments for FY 2020 billing cycle	0	0	N/A	1	N/A
Permanent (Sales & Royalty) Receipts (in millions)	126.6	N/A	144.0	N/A	N/A

Explanation: **This performance metric is reporting ONLY, therefore a FY 2020 estimate/target is not included**

Expendable (Rental/Lease) Receipts (in millions)	72.4	N/A	64.1	N/A	N/A

Explanation: **This performance metric is reporting ONLY, therefore a FY 2020 estimate/target is not included**

◆ **Goal** 4 To Transition to Digital Age

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complete: Database migration to Cloud, Google platform, digitize all customer interfaces and Create process	2	1	2	4	N/A

◆ **Goal** 5 To Promote Strategic External Relationships

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of acres mitigated using external support and resources	13,000	13,000	22,380	22,380	N/A
Number of Grants applied for and Dollars of Grant dollars received applications	2	2	1	2	N/A

Program Summary

OUTSIDE ASSISTANCE AND GRANTS

Sean Burke, Administration Division Director
Phone: (602) 542-3238
A.R.S. Title 37

Mission:

To provide administrative direction, coordination, assistance and services to program areas legislatively assigned to the State Land Department.

Description:

The Department and the Commissioner have been assigned the statutory responsibility for providing administrative direction, coordination, assistance and services to the Arizona Center for Geographic Information and Arizona Geographic Information Council, the Natural Resource Conservation Districts, and special environmental projects. These responsibilities include providing staff support, budget assistance, appropriation pass through and accounting, election oversight, appointments, and information dissemination.

This Program Contains the following Subprograms:

- Arizona Center for Geographic Information, Coordination and Services

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	389.4	389.4	500.0
Other Appropriated Funds	139.9	260.6	260.6
Other Non Appropriated Funds	16.7	85.8	85.8
Total Funding	**546.0**	**735.8**	**846.4**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

ARIZONA CENTER FOR GEOGRAPHIC INFORMATION, COORDINATION AND SERVICES

Will Palmisano, Budget & Procurement Manager
Phone: (602) 542-1619
A.R.S. §§ 37-171 to 37-176

Mission:

To provide assistance to public agencies in Arizona to effectively use the Geographic Information Systems (GIS) technology in the performance of their mandated duties and to foster the cooperative development, maintenance and use of geographic information resources among public agencies in Arizona in order to reduce the efforts and maximize investments in such resources.

Description:

ACGICS has the statutory responsibility to provide GIS development, analysis, and coordination in Arizona. ACGICS works in conjunction with the Arizona Geographic Information Council and the Government Information Technology Agency. The Arizona Land Resources Information System (ALRIS) works to develop, maintain and distribute commonly required spatial databases for use by public agencies and provides GIS training to assure such resources can be maximized.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	389.4	389.4	500.0
Other Appropriated Funds	139.9	260.6	260.6
Other Non Appropriated Funds	16.7	85.8	85.8
Total Funding	**546.0**	**735.8**	**846.4**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To design, develop, maintain and distribute digital geospatial datasets to public agencies in Arizona to reduce the costs of data creation and maintenance to the State's taxpayers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Datasets accessible through AGIC, ALRIS or SCO websites	348	360	481	500	N/A

Agency Summary

LEGISLATIVE - AUDITOR GENERAL

Lindsey Perry, Auditor General
Phone: (602) 553-0333
A.R.S. § 41-1279

Mission:

To - We are independent and provide impartial information, impactful recommendations, and stakeholder education to improve Arizona government for its citizens.

Description:

The Auditor General is appointed by the Joint Legislative Audit Committee and approved by a concurrent resolution of the Legislature. By law, the Auditor General is required to express an opinion on the financial statements of audited entities, determine compliance with applicable federal and Arizona laws, and conduct comprehensive performance audits (or reviews) of State agencies and the programs they administer. In addition, the Auditor General is required to conduct performance audits of school districts and monitor the percentage of dollars spent in the classroom.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	19,709.6	20,629.3	20,629.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,081.0	900.8	900.8
Total Funding	**20,790.6**	**21,530.1**	**21,530.1**
FTE Positions	**215.8**	**220.8**	**220.8**

◆ **Goal** 1 To use efficient and value-added processes to ensure our reports are issued in a timely manner

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of single audit reports accepted by cognizant agency	100	100	100	100	100
External quality control review resulted in a clean opinion (triennial review).	NA	Yes	Yes	NA	NA

◆ **Goal** 2 To identify and communicate on high-impact issues

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of administrative recommendations implemented or adopted within two years for performance audits	90	90	91	90	90
Percentage of single audit recommendations implemented or adopted within one year for financial audits	75	75	65	75	75
Percentage of legislative recommendations implemented or adopted within two years	83	60	N/A	60	60

◆ **Goal** 3 To hire, develop, and retain a high-quality workforce

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of staff turnover	17	15	14	15	15

Agency Summary

HOUSE OF REPRESENTATIVES

Andy Tobin, Speaker
Phone: (602) 926-5172
Constitution Art. 4, Part 1, Section 1

Mission:

To serve the public by enacting laws that protect the public safety and welfare, to provide information to the public and to assist members of the public who contact their legislative representatives with questions, problems, or concerns.

Description:

The House of Representatives consists of 60 members elected by the public. Two members are elected from each of the 30 legislative districts in biennial elections. Members of the Legislature participate in activities related to the review and adoption of a wide range of topics that affect the citizens of Arizona. Members serve on standing committees, participate in interim projects and handle constituent concerns.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	14,774.4	16,407.5	16,407.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**14,774.4**	**16,407.5**	**16,407.5**
FTE Positions	**0.0**	**0.0**	**0.0**

Agency Summary

JOINT LEGISLATIVE BUDGET COMMITTEE

Richard Stavneak, Director
Phone: (602) 926-5491
§ 41-1272

Mission:

To provide the Arizona Legislature with sound research, analysis, forecasts, and recommendations on state government finances and public policies; to provide the members with high quality work that is factually-based and delivered in a timely and professional manner, so they can make informed public policy decisions that are in the best interest of the citizens of Arizona.

Description:

The Joint Legislative Budget Committee (JLBC) Staff is a statutory agency of the legislature. The governing board is the Joint Legislative Budget Committee, which appoints a Budget Analyst [Director], who is responsible for hiring other staff. The Director is responsible for evaluating the Governor's Budget and making recommendations, as well as supporting the Joint Legislative Budget Committee and the Joint Committee on Capital Review.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,307.3	2,834.2	2,834.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,307.3**	**2,834.2**	**2,834.2**
FTE Positions	**29.0**	**29.0**	**29.0**

Agency Summary

LEGISLATIVE - LEGISLATIVE COUNCIL

Michael Braun, Executive Director
Phone: (602) 926-4236
A.R.S. §§ 41-1301 to 41-1307

Mission:

To provide quality legal, research, computer, and administrative services to the Arizona Legislature.

Description:

The Legislative Council staff performs the following core functions: draft Legislative bills, memorials, resolutions, and amendments; review and, as needed, revise each Legislative enactment for technical corrections prior to publication of the Arizona Revised Statutes; enroll and engross bills and process Legislative journals; conduct legal research; and operate the Legislative computer system.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	6,525.5	8,814.9	8,814.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**6,525.5**	**8,814.9**	**8,814.9**
FTE Positions	**55.0**	**55.0**	**55.0**

Program Summary

LEGISLATIVE COUNCIL

Michael Braun, Executive Director
Phone: (602) 926-4236
A.R.S. §§ 41-1301 to 41-1307

Mission:

To provide quality legal, research, computer and administrative services to the Arizona Legislature.

Description:

The Legislative Council staff performs the following core functions: drafting of legislative bills, memorials, resolutions, and amendments; review and possible revision of each legislative enactment for technical corrections prior to publication of the Arizona Revised Statutes; enrolling and engrossing of bills and processing of legislative journals; conducting legal and public policy research; and operation of the legislative computer system.

◆ **Goal** 1 To provide timely and accurate processing of all work products.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of positive survey ratings regarding accuracy of bill drafting	98	99	98	99	100
Percent of positive survey ratings regarding timeliness of bill drafting	99	100	100	100	100
Percent of positive survey ratings regarding accuracy of legal research	98	99	100	100	100
Percent of positive survey ratings regarding timeliness of legal research	99	100	100	100	100

◆ **Goal** 2 To increase awareness of Legislative Council's functions among legislators, legislative staff, state agencies and lobbyists.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of survey respondents indicating awareness of Legislative Council's bill drafting function	100	100	99	100	100
Percent of survey respondents indicating awareness of Legislative Council's legal research function	98	99	92	93	94

◆ **Goal** 3 To increase the comfort level of all legislative computer users through training and support.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of positive survey ratings regarding accuracy of computer help desk	97	98	99	100	100
Percent of positive survey ratings regarding timeliness of computer help desk	98	99	100	100	100

Program Summary

OMBUDSMAN CITIZENS AIDE OFFICE

Dennis Wells, Ombudsman-Citizens' Aide
Phone: (602) 277-7292
A.R.S. § 41-1371 et. seq.

Mission:

To improve the effectiveness, efficiency and responsiveness of government by receiving public complaints, investigating the administrative acts of state agencies, recommending fair and appropriate remedies and investigating matters relating to public access to government records and meetings throughout Arizona.

Description:

The Office of the Ombudsman-Citizens' Aide is a nine person independent agency in the legislative branch of Arizona State Government. The Office receives citizen complaints about the administrative acts of state agencies. The Office investigates citizen complaints and, when they are justified, works with the complainant and agency to help them resolve the problem in a mutually agreeable manner. Although the Office cannot change an agency's decision nor direct it to take action, it can make findings and offer recommendations to the agency. The Office also helps citizens by coaching them on how they can best resolve their problem on their own and providing other forms of assistance when the problem can be resolved without going through the time and expense of an investigation. In addition, the office investigates complaints about public access to records and meetings at all levels of government throughout Arizona. The Office provides reports of its activities to the legislature, governor and public.

◆ **Goal** 1 To help more citizens redress their legitimate grievances with state agencies.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of individuals assisted	5,849	6,000	6,026	6,200	6,300

◆ **Goal** 2 To respond to citizen complainants in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of initial responses to citizen inquiries made within two business days	95	94	98	98	98
Percent of notices of investigation sent within 30 days	96	95	99	98	98
Percent of investigations completed within 3 months	96	96	98	98	98
Percent of citizens responding "strongly agree" or "agree" to timeliness question on customer satisfaction survey	79	85	87	90	90

◆ **Goal** 3 To prevent recurrence of similar complaints by identifying and correcting patterns of undesirable administrative practices.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of recommendations accepted by agencies	99	99	94	98	98

Explanation: 94

◆ **Goal** 4 To provide courteous and impartial service to citizens.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of citizens responding "agree" or "strongly agree" to courtesy question on survey	90	94	87	90	90
Percent of citizens responding "strongly agree" or "agree" to impartially question on the customer satisfaction survey	86	91	79	90	90

Agency Summary

SENATE

Andy Biggs, President
Phone: (602) 926-4371
Constitution Art. 4, Part 1, Section 1

Mission:

To serve the Arizona constituency through policy development and enactment of legislation in support of the public health, safety, and welfare.

Description:

The Arizona Senate consists of 30 elected members, one from each legislative district. Members are appointed to serve on Senate standing committees, as well as statutory and interim committees. They consider a variety of issues for the purpose of enacting legislation deemed necessary for the public interest.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,708.4	12,948.9	12,948.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**9,708.4**	**12,948.9**	**12,948.9**
FTE Positions	**0.0**	**0.0**	**0.0**

Agency Summary

DEPARTMENT OF LIQUOR LICENSES AND CONTROL

John Cocca, Director
Phone: (602) 542-9020
A.R.S. §§ 4-111 et seq.

Mission:

To protect public safety and support economic growth through the responsible sale and consumption of liquor, and to license qualified applicants.

Description:

The Department of Liquor Licenses and Control licenses and regulates the production, distribution, and sale of alcoholic beverages throughout the State of Arizona. In instances involving allegations against licensees, the Department investigates complaints, develops police reports, and enforces civil and criminal violations. The Department maintains key partnerships within and outside of the public sector in promoting youth education and outreach addressing underage drinking.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	1,113.2	970.4	1,052.6
➢ INVESTIGATIONS	2,475.7	2,479.6	2,479.6
➢ LICENSING	832.0	1,032.3	1,032.3
Agency Total:	**4,420.9**	**4,482.3**	**4,564.5**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	3,070.6	3,373.8	3,456.0
Other Non Appropriated Funds	1,350.3	1,108.5	1,108.5
Total Funding	**4,420.9**	**4,482.3**	**4,564.5**
FTE Positions	**35.0**	**36.0**	**36.0**

◆ **Goal** 1 To realize the Governor's vision of "Government at the speed of business" by offering agency services online

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of on line services	0	73	74	83	NA

Department of Liquor Licenses and Control

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: John Cocca
Strategic Planner: Jeffery Trillo
Last modified: 07/10/2019

Vision: We envision being a leader in state liquor licensing and enforcement, focused entirely on delivering exceptional services that meet customers needs and enrich the communities we serve.

Mission: To protect public safety and support economic growth through the responsible sale and consumption of liquor, and to efficiently license qualified applicants.

Agency Description: The department licenses and regulates the production, distribution, and sale of alcoholic beverages throughout the State of Arizona.

In instances involving allegations against licensees, the department investigates complaints, develops police reports, and enforces civil and criminal laws. State liquor laws are in Arizona Revised Statutes, Title 4 with supporting rules in Arizona Administrative Code, Title 19.

The department maintains key partnerships in and outside government with emphasis on youth education and outreach addressing underage drinking.

Executive Summary: We endeavor to realize the Governor's vision to deliver "government at the speed of business," applying effort in key areas tied to our mission.

Technology improvements present the greatest accelerator to success. A new licensing system, implemented in *February 2018,* connects stakeholders to a central system and provides for essential services online like never before. This impacts the speed of business, department performance, and economic opportunities. Continuous improvement assessment of system deliverables to date identified numbers of areas for further enhancement to optimize outcomes.

A commitment to continuous improvement through the Arizona Management System (AMS) has proven instrumental for leveraging and developing talent necessary to lean out processes plus optimize resources. Continued application of AMS to analyze processes is certain to result in further process improvement wins.

The number of licensed businesses compared to department staff makes securing public safety challenging. At FY19 close, there were 14,812 active licenses and 35 employees. To set safety policy, enforce laws, and protect children and families, innovative solutions and mobilizing partnerships are needed.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	21st Century Business - enrich technology tools and opportunities	2016	Replaced 26-year old data management system in February 2018 with new e-license tool. Spent remaining fiscal years 2018 and 2019 with staff and industry on user integration training and identifying system enhancements. Created and implemented e-license user orientation and FAQ page on agency website.
2	Accelerate agency performance	2016	Reduced the number of days to issue a new license. Updated agency forms to retain only value added content. Standardized license application processing methods to improve agency effectiveness. Reduced the number of days to complete a site inspection. Increased professional training opportunities for civilian employees.
3	Promote and act to create safe communities	2015	Reduced the number of days to resolve a citizen complaint. Reduced the sale of alcohol to persons under 21. Increased prevention activities to promote abstinence of alcohol among those under 21. Collaborated with other state agencies on addressing wrong way driver fatality cases on freeways.

Department of Liquor Licenses and Control

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Enhance e-license system capabilities to meet consumer interests and promote employee effective use of time	**Enhance key e-license system tools**	Obtain state information technology office approval for enhancement work. Engage state procurement personnel on contract creation and vendor negotiations, as required. Collaborate with vendor on successful completion of project milestones. Implement enhancements.
2	Review and update special event liquor license application tools and processes to meet consumer interests and promote employee effective use of time	**Reduce the percentage of special event applications received by the agency at 9 days or less prior to the event date**	Gain affected industry groups consensus on goal to improve license process methods and tools. Identify representative exploratory stakeholder group to participate. Review and address numbers of pain points as identified and within scope of the stakeholders to impact based on resource limits. Implement changes. Assess impacts. Adjust plan if needed.
2 and 3	Re-engineer restaurant and motel license audit process to promote licensee compliance as prescribed by A.R.S. § 4-213	**Increase the percentage of annual audits**	Identify representative exploratory stakeholder group to participate. Review and address numbers of pain points as identified and within scope of stakeholders to impact based on resource limits. Communicate changes to impacted industry. Implement changes. Assess impacts. Adjust plan if needed.

Program Summary

ADMINISTRATION

Jeffery Trillo, Assistant Director
Phone: (602) 364-1952
A.R.S. § 4-111 et seq.

Mission:

To ensure all divisions in the Department of Liquor Licenses and Control operate in a cost-effective and efficient manner, all operational activities conform to statutory requirements and other guidelines, and staffing is provided to the state liquor board.

Description:

Daily departmental operations include communications, budget preparation, human resources, payroll, insurance, accounting for and distribution of revenues, accounts payable, accounts receivable, accounting for all authorized funds, purchasing, the operation of the Department's automated and electronic data banks, records retention, and information flow. The program also provides personnel to staff the state liquor board, a separate quasi-judicial body appointed by the Governor. The division maintains relationships with governmental agencies as well as businesses dealing with spirituous liquor.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,113.2	970.4	1,052.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**1,113.2**	**970.4**	**1,052.6**
FTE Positions	**6.0**	**6.0**	**6.0**

◆ **Goal** 1 To enrich technology tools and opportunities

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Capable Customers Using E-License System	NA	15	29	40	NA
Percent of licensing services on-line	3	60	74	83	NA
Number of licensing system enhancements implemented	NA	5	1	8	NA

◆ **Goal** 2 To accelerate agency performance

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of continuous improvement wins implemented	NA	5	6	5	5
Percent of civilian employees who received professional development training	NA	30	64	30	30

Program Summary

INVESTIGATIONS

Michael Rosenberger, Deputy Director
Phone: (602) 542-9076
A.R.S. § 4-111 et seq.

Mission:

To investigate liquor law violations and maintain open lines of communication with licensees and the law enforcement community in order to obtain the maximum level of compliance with state statutes and rules.

Description:

The Investigations Division conducts criminal and administrative liquor law related investigations in order to promote public safety and ensure that licensees are complying with A.R.S. Title 4 and departmental rules; provides training and support to local law enforcement agencies enhancing their ability to enforce liquor laws; conducts criminal background checks through fingerprint records of individuals associated with liquor licenses as required by law; liaisons with state and federal law enforcement agencies, as well as city, town, and tribal police departments, and sheriff's offices; conducts covert operations and collaborates with other law enforcement agencies to investigate Title 4 violations; conducts routine liquor inspections of licensed establishments; and maintains an investigative database accessible to police agencies. The Audit Unit conducts compliance audits of restaurant and hotel license-types as required by law. The Compliance Unit receives actionable reports of liquor law violations and resolves those cases through communication with licensees and issues formal compliance actions when appropriate.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,160.0	1,519.1	1,519.1
Other Non Appropriated Funds	1,315.7	960.5	960.5
Total Funding	**2,475.7**	**2,479.6**	**2,479.6**
FTE Positions	**18.0**	**18.0**	**18.0**

◆ **Goal** 1 To accelerate agency performance

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of continuous improvement wins implemented	NA	5	6	5	5
Percent of civilian employees who received professional development training	NA	30	64	30	30
Average number of days to complete a site inspection	72	56	48	49	49

◆ **Goal** 2 To promote and act to create safe communities

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of licensed establishments that repeat sold alcohol to persons under 21-years of age	25	20	22	20	20
Number of youth outreach and education trainings delivered	NA	235	510	510	NA
Days to resolve a public complaint	0	0	26	35	35

Program Summary

LICENSING

Jeffery Trillo, Assistant Director
Phone: (602) 364-1952
A.R.S. § 4-111 et seq.

Mission:

To efficiently license capable, qualified, and reliable applicants and deliver exceptional customer service.

Description:

The Licensing Section, made up of customer service representatives and Records Unit staff, is responsible for issuing liquor licenses to qualified applicants. Customer service representatives assist licensees with the documents required by A.R.S. Title 4 to operate an Arizona liquor-licensed business or temporary event. Records Unit staff create forms and instructions, process payments, provide for the secure transfer of documents between local governments and the department, and ensure liquor license records are safe, legible, and readily accessible.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	797.4	884.3	884.3
Other Non Appropriated Funds	34.6	148.0	148.0
Total Funding	**832.0**	**1,032.3**	**1,032.3**
FTE Positions	**11.0**	**12.0**	**12.0**

◆ **Goal** 1 To enrich technology tools and opportunities

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of capable customers using e-license system	NA	15	29	40	NA
Percent of licensing services on-line	3	60	74	83	NA

◆ **Goal** 2 To accelerate agency performance

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of continuous improvement wins implemented	NA	5	6	5	5
Percent of civilian employees who received professional development training	NA	30	64	30	30
Average time in minutes Licensing staff spent with walk-in customers	39	28	22	20	20

Agency Summary

LOTTERY

Gregory R. Edgar, Executive Director
Phone: (480) 921-4505
A.R.S. §§ 5-551 et seq.

Mission:

To support State programs and services for the public benefit by maximizing net revenue in a responsible manner.

Description:

The Arizona Lottery was established to maximize net revenue dedicated to a variety of beneficiaries assigned through a statutory distribution formula. An advisory commission and an executive director, both appointed by the Governor, oversee operations. The Lottery sells products through a licensed retailer network to provide players with innovative, entertaining, and rewarding games of chance.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	127,499.4	146,806.1	146,806.1
Other Non Appropriated Funds	1,395,318.7	1,572,055.7	1,572,055.7
Total Funding	**1,522,818.1**	**1,718,861.8**	**1,718,861.8**
FTE Positions	**98.8**	**98.8**	**98.8**

◆ **Goal** 1 To invest in workforce success.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of professional development opportunities completed	708	360	851	600	NA
Number of Kudos recognitions awarded	0	0	NA	1056	NA

◆ **Goal** 2 To expand the retail network and improve retailer experience.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of new retailer applications submitted	100	300	208	319	NA
Average number of days to issue a retailer license.	5.9	5.0	9.9	5.0	NA
Number of retailer compliance inspections	3595	3500	2284	3504	NA
Number of theft incidents	0	0	NA	780	NA
Number of investigations-related complaints.	0	0	530	456	NA

◆ **Goal** 3 To strengthen the player base through innovative and entertaining products.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of monthly active Player's Club members	0	0	NA	17,500	NA
Number of customer complaints	79	67	1308	504	NA

Arizona Lottery

Fiscal Year 2020 Strategic Plan

Agency Director: Gregg Edgar
Strategic Planner: Raynie Hosto
Last modified: 05/30/2019

Vision: To be Arizona's first choice for gaming entertainment.

Mission: To support Arizona programs for the public benefit by maximizing net revenue in a responsible manner.

Agency Description: The Arizona Lottery was established to maximize net revenue dedicated to a variety of beneficiaries assigned through a statutory distribution formula. An advisory commission and an executive director, both appointed by the Governor, oversee operations. The lottery sells products through a licensed retailer network to provide players with innovative, entertaining and rewarding games of chance.

Executive Summary: Working towards our vision to be Arizona's first choice for gaming entertainment, we identified four strategic priorities to maximize transfers to our beneficiaries:

1. Workforce success: Investing in our most valuable resource, we will offer tuition assistance for degree-seeking associates while also offering Skillsets, workday seminars, and external conference opportunities.
2. Retail network: Focusing on the reduction of lottery ticket thefts and providing retailers with an improved overall experience, we will focus on attracting new retailers and expanding vending offerings.
3. Player base: Strengthening our player base by providing innovative and entertaining products, we will expand draw game offerings and our Player's Club.
4. Lottery impact on the state of Arizona: Increasing awareness of the good causes supported by lottery sales, we will expand our reach through a more robust speaker bureau and increased exposure through earned media.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Invest in workforce success	2017	Pilot Kaizen Teian across the agency; utilized Skillsets with over 428 classes logged; conducted internal communication-focused training; Employee Engagement score of 2.4. Supported employee educational goals by providing tuition assistance. Several employees attended Lottery Leadership Institute; developed agency-wide career path plan. Implemented a new state-of-the-art back office system. Ergonomic improvements; expanded alternative work schedule options; refocus on HIP.
2	Expand retail network and improve retailer experience	2018	First-in-nation successful Costco pilot of 17 stores; third-in-the-nation installations in Walmart Supercenters; implemented new retailer portal; upgraded extended CRM software; expanded number of retail locations with jackpot signs, visual queue to reduce out-of-stocks in vending machines. Attended Lean Foundations Institute to increase TM recruitment of new retailers and formalizing marketing plan for bar and restaurant recruitment. Successful introduction of Lottery ticket van and vending machine expansion with debit capability.
3	Strengthen player base through innovative and entertaining products	2017	Awarded $1.9M winner of newly launched Triple Twist; expanded FastPlay portfolio. Expansion of $20 price point; introduced $30 ticket; wider game availability on Scratchers™ games; introduction of Players Club and mobile ticket checker. Expansion of 2nd Chance promotions; building foundation for implementation of QuickCard; implemented player based promotions.
4	Increase awareness of Lottery impact on the state of Arizona	2017	Proactive earned media outreach; Arizona Storytellers events and beneficiaries videos. Local Artist in Residence, social media beneficiary strategy, developed and implemented Core Initiative program.

Arizona Lottery
Fiscal Year 2020 Strategic Plan

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Create professional opportunities	Number of professional opportunities completed	• College opportunities • Workday seminars • Skillsets utilization • External conferences
2	Improve retailer experience	Number of theft incidents Number of defects (new and continuous)	• Theft prevention strategies • System reliability
2	Retailer expansion	Number of machines deployed Number of net new retailers	• Vending expansion • Retailer Penetration
3	Strengthen player base	Number of active Players Club members (per month)	• Expand Players Club
4	Increase awareness of Lottery impact across the state of Arizona	Number of speaking engagements Earned media value	• Expand speaker bureau • Earned media exposure
4	Maximize transfers to Beneficiaries	Dollar amount of lottery ticket sales distributed to Beneficiaries	• Innovative promotions

◆ **Goal** 4 To increase awareness of Lottery impact on the state of Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Dollar amount of Lottery ticket sales distributed to state beneficiaries	210.0	232.7	211.9	246.6	NA
Dollar amount of instant ticket sales (in millions)	710.9	782.8	750.3	814.0	883.2
Dollar amount of draw game sales (in millions)	261.8	244.3	316.6	303.8	313.5
Dollar amount of instant tab sales (in millions)	8.7	9.4	9.9	10.7	NA
Earned media value (in millions)	0	0	NA	2.7	NA
Number of speaking engagements	0	0	NA	20	NA

Agency Summary

BOARD OF MASSAGE THERAPY

Tom Augherton, Executive Director
Phone: (602) 542-8217
A.R.S. § 32-4201

Mission:

To protect the health, safety, and welfare of the citizens of Arizona by regulating and maintaining standards of practice in the practice of massage therapy.

Description:

The Board of Massage Therapy licenses and regulates massage therapists who are entrusted to increase wellness, relaxation, stress reduction, pain relief, postural improvement, or provide general or specific therapeutic benefits. The Board evaluates the professional competency of massage therapists seeking to be licensed in Arizona. Further, the Board promotes continued competence and fitness by investigating complaints against massage therapists, holding hearings, monitoring the activities of its licensees, and enforcing the standards of practice for the massage therapy profession as set forth by law.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	437.0	471.6	471.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**437.0**	**471.6**	**471.6**
FTE Positions	**5.0**	**5.0**	**5.0**

5 Year Plan

Issue 1 Seek opportunities to update/amend the Board's statutes and rules through either legislation or rule-making.

Description The current statutes and rules are dated and there are several areas where improvement is needed.

Solutions:
Exectuive Director to form an informal committee and facilitate meetings with current stake holders seeking input.

Issue 2 Seek a new licensing database that is functional, secure and efficient.

Description The Board currently uses a database that is outdated and offers very little efficiency to the Board and very little to the public. The Board's existing database has consistent data fields that collect current information, but does not easily allow board staff the ability to create reports or query data collected, nor does it allow for manipulation of the fieds based on changes. An example of a change would be through legislation passed.

A new database will allow for more user efficiencies, plus it will offer better public integration, such as online renewals and online
payment.

Solutions:
To work alongside ProcureAZ and to identify a vendor who will meet the goals of the Board. Collaborate with ADOA ASET with their knowledge and expertise in the information and technology environment, and eventually award the contract to the most deserving vendor. The vendor would then migrate all data into the new database and the database would interface with the Board's website to offer user friendly online tools, applications, submittals and requests.

Issue 3 The Board currently has no capacity for field investigations.

Description Currently all investigations are done in the office via telephone. The Board continues to receive an increasing number of consumer and licensee complaints regarding bad practices and consumer victimization statewide. Prostitution and human trafficking continue to be a problem in Arizona.

Solutions:
Resoration of two FTEs and appropriation authority for two Field Investigators. With additional FTE resources, the Board would be able to work collaberatively with State, County, and Local law enforcement on removing convicted offenders from the industry.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	5.0	5.0	5.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	437.0	437.0	437.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To efficiently process license applications.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Massage therapy applications received for initial licensure and biennial renewal.	4,847	5,000	5094	5500	6000
Average number of days to process an initial license application.	42	45	40	40	40
Average number of days to process a renewal application.	3	15	17	15	15

◆ **Goal** 2 To investigate and adjudicate complaints in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints received against massage therapists	40	35	160	180	200
Complaints resolved in the fiscal year.	39	35	160	180	200
Average number of days to resolve a massage therapy complaint	77	80	78	80	80

Agency Summary

ARIZONA MEDICAL BOARD

Patricia E. McSorley, Executive Director
Phone: (480) 551-2791
A.R.S. §§ 32-1401 et seq. and A.R.S. §§ 32-2501 et seq.

Mission:

To protect public safety through the judicious licensing, regulation, and education of physicians and physician assistants.

Description:

Agency staff supports two boards, the Arizona Medical Board and the Arizona Regulatory Board of Physician Assistants. The agency processes license applications, handles public complaints against licensees, and disseminates information pertaining to licensees and the regulatory process. The two boards determine and administer disciplinary action in the event of proven violations of their respective practice acts.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	6,325.9	7,036.9	7,186.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**6,325.9**	**7,036.9**	**7,186.9**
FTE Positions	**61.5**	**61.5**	**61.5**

5 Year Plan

Issue 1 Consolidation of essential agency functions focused on public protection through the examination of regulatory issues, ongoing education of staff and Board members, active dissemination of public information, and public outreach.

Description The Arizona Medical Board and the Arizona Regulatory Board of Physician Assistants continually strive to proactively explore areas influencing healthcare delivery and public safety. The Boards focus on essential agency functions and concentrate on those matters that directly affect the health and well-being of the people of Arizona. The Boards continue their advances toward providing clear direction through policy and statutory initiative, participating in ongoing educational opportunities and streamlining regulation, and staying on the forefront of providing public information that affects healthcare decision making.

The Agency is a reliable source for communicating statutory changes and other information related to the practice of medicine by utilizing its multiple mechanisms available for communication: email, newsletter, Twitter and the Agency's website.

The Agency actively engages with other health regulatory agencies to address concerns related to public health and safety. The Agency participated in the FY2019 Opioid Planning Summit sponsored by the Department of Health Services (DHS) and attended by other health regulatory boards and stakeholders to discuss the development of additional tools to address the opioid crisis. In addition, the Agency worked with the DHS to enact legislation (SB1029) in FY2019 to expand the number of qualified physicians to provide opioid use disorder treatment. In FY 2020, the Board will begin to review and approve requests for DATA–waiver eligibility for physicians qualified to treat opioid addiction pursuant to SB1029.

In Fiscal Year 2020, the Agency will participate as member of the Repository Advisory Committee established to create rules to implement the Health Care Professionals Workforce Data Repository (Repository).The purpose of the Repository is to collect high quality data with the goal of using the information to improve health care delivery in the State of Arizona.

Solutions:

Devote activities to public safety, healthcare and regulatory issues.

Increasing time spent addressing public safety, healthcare or regulatory issues through subcommittee discussion and adoption of relevant substantive policy statements and rules.

Increasing the availability of educational and regulatory information to licensees, stakeholders, and the general public.

Issue 2 Stabilization of database infrastructure to support e-licensing, regulatory, and information dissemination processes, as well as, increased capacity for performance measurement, through enhanced information technology applications

Description A planned transition to a modern platform will permit the Agency to follow state requirements and will allow the Agency to advance its processes and functions in tandem with developing technology. By aligning its database operations with the recommendations and products identified by the State, the Agency will have the capability to tap into new technologies and security features with potential cost sharing as the State leverages its enterprise abilities in procuring services.

While the Agency instituted a successful electronic licensing (e-licensing) and renewal process over ten years ago, the Agency by moving to its operations to the cloud, will be able to improve and offer more modern features that consumers now expect including: the ability for applicants to upload their own documents to the licensing files thereby reducing the number of pieces of mail that Staff needs to sort and assign; the ability to pay licensing fees on-line by using a credit card with the assurance that state of the art data security is in place, with the ultimate goal to develop the Agency's technology to allow all persons transacting business with the Agency to do so through hand held devices. By implementing and utilizing a SaaS system, the Agency will have more business information analytics at its disposal to mine data and track trends for the purpose of gathering statistical information to improve processes related to its core functions: licensing and regulation.

In addition to improving service and becoming more efficient, the Agency expects to see a decrease in the costs of hardware and maintenance of hardware devices. Once fully in the cloud, the Agency will no longer incur the costs of maintaining and storing its servers offsite. It is expected that the Agency will need less personnel to operate with a cloud based product, and should realize additional savings due to the need for less personnel to maintain its database.

In FY 2020, the Agency will add a new pathway to licensing pursuant to the newly enacted HB 2569 which will allow the Agency to recognize and offer reciprocity to physicians who establish residency in Arizona and who have previously licensed in another state for more than a year. To ensure public safety, Staff will look at the applicant's criminal history and disciplinary actions if they exist to determine if further review is necessary prior to licensure. The licensing process under HB 2569 will result in a more expeditious process as many primary source documents related to training and employment will not be required.

In FY 2019, the Agency began the implementation of its plan to move its operations to the cloud and expects in FY 2021 to continue with further cloud migration and modernization, if appropriate funding is received. In FY 2020, the Agency received funding to move designated data, not currently residing in the database, to the cloud and will work with our partners at the Arizona Department of Administration (ADOA) to accomplish this and complete this goal in FY 2020.

In FY 2017, the Agency implemented a quarterly newsletter which is sent out to all physicians and is a useful vehicle to keep physicians informed about board activities, legislation, and any license-related updates. For added dissemination for all physicians and the public, the agency created a Twitter account which provides real-time updates for physicians and the public relative to the agency.

The agency continues to seek out opportunities to improve the speed of the delivery of services, with an emphasis on decreasing licensing timeframes, and disseminating information in the interest of the public.

Solutions:

Maintaining or improving upon prior year performance levels in license processing,
Maintaining or improving upon prior year performance levels in complaint investigation and case resolution.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	61.5	61.5	61.5
General Fund	0.0	0.0	0.0
Other Appropriated Funds	7,222,100.0	7,222,100.0	7,222,100.0
Non-Appropriated Funds	170,000.0	170,000.0	170,000.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To increase activities devoted to addressing public safety, healthcare and regulatory issues of importance to licensees, stakeholders, and the general public through collaboration with others, policy making and information dissemination.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of substantive policy statements, guidelines, rules, or rule revisions adopted	0	2	1	2	2
Number of instances where a Board or staff member attends a professional training event relevant to the Board's functions and or the appropriate delivery of healthcare.	57	20	27	20	20
Number of public awareness activities, training opportunities, and other public notifications published on the Board website or transmitted to licensees via e-mail blasts.	48	18	28	18	16

Explanation: Publications are based on actual need and material for communication. The key is managing consistent and important information relay.

◆ **Goal** 2 To improve efficiency of licensing, other regulatory measures, and information dissemination processes.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average time to approve an MD license from receipt of application.	91	90	86	70	70

Explanation: Structural Change to reflect total days to approve a license, which includes time to receive documents from primary source and physician.

Average time to approve a PA license from receipt of application.	55	40	40	40	40

Explanation: Structural Change to reflect total days to approve a license, which includes time to receive documents from primary source and physician.

Average number of days to process an initial medical doctor license upon receipt of completed application	4	7	7	7	7
Average score of agency-wide customer service satisfaction surveys (scale of 1-8)	7.7	7.5	7.7	7.5	7.5
Average number of days to complete an medical doctor investigation	159	155	178	155	155
Average number of days to complete an physician assistant investigation	142	130	153	130	130
Average number of days to resolve a medical doctor case	217	195	217	195	190
Average number of days to resolve a physician assistant case	161	190	210	190	180
Medical doctor cases referred to formal hearing	14	18	17	18	18

Agency Summary

STATE MINE INSPECTOR

Joseph E. Hart, State Mine Inspector
Phone: (602) 542-5971
A.R.S. §§ 27-121 et seq.

Mission:

To administer and enforce the Mining Code of the State of Arizona for the protection of the life, health, and safety of mine employees and the public in Arizona's active, inactive and abandoned mines.

Description:

The State Mine Inspector is a statewide elected constitutional officer and director of the Office of the State Mine Inspector. The Office enforces laws and regulations applicable to mine safety, health, explosives, and land reclamation. The Office inspects the health and safety conditions and practices at active mining operations; investigates mine accidents and employee and public complaints; and conducts federally certified miner and instructor safety training.

The Office administers reclamation financial assurance and enforces the mined land reclamation laws and regulations for the restoration of disturbed lands to a safe and stable environmental condition. The Office promotes public safety regarding abandoned mines. The Office conducts complaint investigations; issues mine-owner compliance notifications; and identifies, assesses, and secures mine safety hazards. The Office also issues permits, licenses, and certificates for elevators and electrical connections and monitors the manufacturing, storing, selling, transferring, and disposal of all explosives or blasting agents.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ MINING SAFETY ENFORCEMENT	896.7	1,074.6	1,323.8
➢ ABANDONED MINES	209.3	318.1	655.3
➢ EDUCATION AND TRAINING - FEDERAL GRANT	295.9	415.7	415.7
➢ MINED LAND RECLAMATION	49.3	112.9	112.9
Agency Total:	**1,451.2**	**1,921.3**	**2,507.7**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,084.4	1,269.3	1,855.7
Other Appropriated Funds	49.3	112.9	112.9
Other Non Appropriated Funds	317.5	539.1	539.1
Total Funding	**1,451.2**	**1,921.3**	**2,507.7**
FTE Positions	**17.0**	**18.0**	**23.0**

5 Year Plan

Issue 1 Inspection Division

Description The Arizona State Mine Inspectors Office is a constitutional office that has been charged with the Health and Safety of the Miner, it is a Life Safety Agency with legally mandated requirements.

The Arizona State Mine Inspector / ASMI, is required to inspect at least once a year every mine in the state for compliance to the Arizona Revised Statutes and the Rules and Regulations. In ARS 27-124 the inspector is further required to inspect the mining operation for conditions, safety appliances, machinery, equipment, sanitation and ventilation, the means of ingress and egress, the means taken to protect the lives, health and safety of the miners. Arizona Revised Statute 27-309, ASMI must investigate the cause of fatal accidents resulting in a death occurring at the mine and file written report. Arizona Revised Statute 27-308, ASMI is required to investigate written safety complaints and will accept verbal complaints that are reasonably likely to be fatal.

Inspections has been reduced by one Inspectosr, from five to four Inspectors, this is a 10% drop in our abilities. During the late 1990's and the early 2000's ASMI had to defend itself against liability lawsuits in which a lack of required inspections and the quality of the Health & Safety Inspections were a factor. ASMI paid large settlements in several cases. With a reduction of inspectors, the remaining inspectors are pressed to do more with less resulting in less time and quality spent performing the actual required Health and Safety inspection at each mine in an attempt to keep up. Currently two of the four Inspectors are eligible for retirement. Mine Inspectors are very specialized, requiring knowledge in mine safety, mine processes and regulatory requirements.

It is imperative that ASMI prepare for succession by recruiting an additional inspector and to have a minimum of 3 years to develop the knowledge, skills and abilities to inspect mine sites for health and safety inspections on the regulartory side. If the Agency is not funded for this mandatory obligation it will leave the Agency and the state of Arizona open to multiple liabilites for subsequent administrations.

Arizona Revised Statute 27-303 requires the operator to notify ASMI when a mine will be temporarily or permanently closed. In the case of temporary suspension of operations excluding labor disputes, exceeding six months or in the case of permanent termination of mining operations, the operator shall notify the inspector, in writing, before the suspension or termination date. All shafts, portals, adits or other openings shall be secured to prevent unauthorized entry and to protect public health and safety pursuant to ARS 27-318. With a reduction of inspectors, mines that have closed do not get inspected for compliance resulting in potential exposure to legal action.

The Arizona State Mine Inspector's office in order to comply with ARS 27-318 after receiving notification of ARS 27-303 inspects the closed, abandoned or inactive mining shafts, portals, pits or other excavations which are dangerous to persons legally on the premises. ASMI inspects and issues notices of violations to mine operators who fail to cover, fence, fill or otherwise secure the mine hazards and post warning signs. A reduction in inspections would result in non-compliance to 27-318 and promote abandoned mine hazards at a later time when the mine operator cannot be found or is no longer in business, leaving the problem for the land owner and the State of Arizona with potential exposure to legal action. Mine closures in the aggregate industry has increased in the last four years with decline of the economy.

Inspections Training, Continuing Education and Certifications:

To reduce legal liability and stay current in inspections, codes and equipment, continuing education for 2021 budget would include:

- MSHA Conferences & Inspections Training in Beckley WV.
- Tailings and Impoundment Dam Safety
- Industrial Hygiene
- Elevators
- Hoist & Lifting Gear
- Boilers & Pressure Vessels
- NFPA, UFC, UBC Codes

Solutions:

Request additional funding for one additional Inspector, equipment and continued education for inspectors.

Issue 2 Abandoned Mine Division

Description Challenges faced in reducing or preventing further fatalities and serious accidents at mines sites include limited funding, lack of administrative and field staff. As documented in past budget submittals, at least three (3) more positions are needed to operate an effective abandoned mines inventory and closure program. Two abandoned mines supervisors would coordinate and partner with the mine industry, private sector, and other government groups to determine how a needed closure can be most effectively and efficiently completed. Additional duties are: visit abandoned mine sites to locate and survey, inventory, classify and eliminate public safety hazards and participate in the actual implementation of mine closures. An administrative assistant to assist with data entry, issuing and tracking of Notice of Violations and corrective actions as a result of issuing Notice of Violations.

Solutions:

Request additional appropriations for abandoend mine staff and closures.

Issue 3 Education and Training Division

Description

The FY2020 Congressional Budget Justification calls for the $10.5 million to be fully funded for the State Grant Program.

Arizona's mining incident and injury rate has been below the national average rate for many years, due to the training materials and mandatory MSHA training courses conducted by the Arizona State Mine Inspector's Education and Training Program. At a time when the mining industry continues to expand to meet an increased demand for natural resources the state grants program will be an important program to assist mine operators in maintaining safe and healthful workplaces, and ensure that miners are provided adequate health and safety training. ASMI believes that the recognition and understanding of workplace hazards are the most critical building block for a safe and healthful workplace. This building block is constructed and supported through effective training.

The majority of metal and nonmetal mines are small business operations, and many have no formal safety program. However, smaller mines do not mean fewer risks; mine hazards are inherent in the work of moving and processing extremely large volumes of materials. Just as mining is vital to the American economy, a safe and healthy workforce is critical to the continued successful operation of the mining industry.

Solutions:

Continue with class registration fees.

Issue 4 Mined Land Reclamation

Description It is important to note, that all approved sites must continue to submit annual status reports in accordance with A.R.S. §27-1277, along with financial assurance mechanisms for annual review (reclamation bonding etc.), which is generally a yearly process submittal. Some aggregate mine site owners and operators have been cancelling leases, closing down operations, and/or transferring mine sites from 2010 through 2019 which is creating an ownership and reclamation responsibility tracking problem. Therefore, continual tracking of mining site facility transfers and financial assurance is extremely vital, especially in the state of Arizona's current economic environment. If the reclamation bonds and tracking of the aggregate mine sites does not continue to occur, it will be difficult to track the mining companies who are currently responsible for the reclamation of the mining disturbances. This is a timely process of reviews and site compliance inspections. This includes issues of any safety or surface disturbance damages caused by the mining, especially when the properties are abandoned or left in disrepair temporarily or permanently. The state and local municipalities (or flood control districts) could then be left with the responsibility for a remedial or rehabilitation of the property for safety and surface reclamation damages, which would impact the State Mine Inspector's office.

Solutions:

Issue 5 Vehicle Replacement

Description The Arizona State Mine Inspector's office (ASMI) will have 2 vehicles that will exceed the criteria set through legislative action for replacement policy. The policy states "that the department not replace vehicles until an average or 150,000 miles or later". ASMI currently has two (2) vehicles that will meet these criteria in fiscal year 2021.

Solutions:

Notify the Arizona Department of Transportation that a minimum of two vehicles will need to be replaced by FY2021

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	18.0	18.0	18.0
General Fund	1,269,300.0	12,693,000.0	1,269,300.0
Other Appropriated Funds	112,900.0	112,900.0	112,900.0
Non-Appropriated Funds	55,000.0	51,000.0	51,000.0
Federal Funds	378,353.0	378,353.0	378,353.0

Program Summary

MINING SAFETY ENFORCEMENT

Tim Evans, Assistant State Mine Inspector
Phone: (602) 542-5971
A.R.S. § 27-124

Mission:

To enforce the Mining Code of the State of Arizona for the protection of the life, health and safety of the employees in Arizona's active mining operations.

Description:

The Mine Safety Enforcement Program performs quarterly and annual health and safety inspections at active underground and surface mines and related facilities; conducts investigations of mine accidents, employee and citizen complaints; and provides certification classes in mine rescue and first aid. The program issues violations, cessation orders, mine elevator operating, electrical connection permits and underground diesel equipment operating permits as tools to promote safe and healthful work conditions. Operations under this program's jurisdiction include asphalt hot plants, concrete batch plants, aggregate pits, quarries and processing plants; underground and open pit mines, quarries, mills, SX-EW Plants, smelters, refineries, and rod plants. Jurisdiction also covers contractor employees working at mine sites and the administration of Sand and Gravel Districts. Deputy Mine Inspectors also perform complaint investigations and land owner compliance inspections at abandoned mines to support the Abandoned Mines Program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	896.7	1,074.6	1,323.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**896.7**	**1,074.6**	**1,323.8**
FTE Positions	**12.0**	**12.0**	**14.0**

◆ **Goal** 1 To eliminate fatal accidents and to reduce the number and severity of lost time accidents at Arizona mines, through health and safety inspections and enforcement of the mining code.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent mandated inspections completed	93	90	98	98	98
Number of reportable (lost time) mine accidents	143	143	156	156	156

Explanation: The number of reportable (lost time) mine accident reflects " only" what is reported to the Arizona State Mine Inspector.

Employee and Public Complaints Investigated	30	30	15	15	15
Number of safety inspections completed	665	665	659	659	659
Customer satisfaction rating for Mines (scale 1-8)	7.2	7.2	7.4	7.4	7.4

Program Summary

ABANDONED MINES

Laurie Swartzbaugh, Deputy Director
Phone: (602) 542-5971
A.R.S. § 27-318

Mission:

To promote public safety by field identification, hazard assessment, mine owner compliance notification and administration of the securing of dangerous abandoned mines in compliance with the endangered species and plant acts, historical acts and environmental acts.

Description:

The Abandoned Mines program's efforts fall into two categories: the inventory of abandoned mine sites and the administration of the securing, remediation and closure of abandoned mines. Field surveys are prioritized to primarily locate mines on State lands, secondly on other public lands, and then thirdly on private lands within the 73 million acres that comprise the State of Arizona. The survey records the exact location of abandoned mines using a global positioning satellite system. The inventory's objective is to produce an accurate count of abandoned mines and describe the significant safety hazards and potential environmental hazards occurring with them. The database of surveyed abandoned mines is used to prioritize the significant public and environmental hazards for remediation and reclamation planning. The inventory also allows the Office to accurately investigate public complaints about abandoned mines in a timely manner. An abandoned mine may be used for criminal activities, such as a cache for stolen explosives or a body disposal site. The program assists law enforcement criminal and missing persons investigations and body recoveries. The administration of securing abandoned mines first prioritizes sites on State owned lands listed in the inventory based on the severity of the threat posed to public and environmental safety. Through this prioritization, structures are designated as necessary for abandoned mine closures on State lands. The cost of field construction work to secure these mines is provided by the Abandoned Mine Safety Fund through mining industry donations, private citizen donations and a matching appropriation from the Legislature. The program performs regular monitoring to assure mine closures remain in good condition. The program coordinates the identification and securing of abandoned mines with local, state, and federal agencies as well as other states and volunteer groups. Groups include the Yuma County Sheriff's Search and Rescue Group, the Maricopa County Sheriff's Office Mountain Search and Rescue Group, Arizona Department of Mines and Mineral Resources, Maricopa County Parks, Arizona State Land Department, Arizona Game and Fish, Arizona State Historic Preservation Office, Arizona Department of Environmental Quality, Department of Labor Mine Safety and Health Administration, Bureau of Land Management, Forest Service, Environmental Protection Agency, and the National Association of Abandoned Mined Land Programs, which is comprised of 27 states and three Indian Tribes.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	187.7	194.7	531.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	21.6	123.4	123.4
Total Funding	**209.3**	**318.1**	**655.3**
FTE Positions	**2.0**	**2.0**	**5.0**

◆ **Goal** 1 To promote public health and safety by identifying and assessing abandoned mines, and securing those found to be a threat to the public and the environment.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of abandoned mine openings secured	38	50	83	50	50
Number of abandoned mine complaints handled. See AML Complaints File "s drive".	9	10	12	10	10
Number of prior abandoned mine closures reviewed	61	10	50	20	20

Program Summary

EDUCATION AND TRAINING - FEDERAL GRANT

Frank Rabago, Education & Training Program Manager
Phone: (602) 542-5971
A.R.S. § 27-124, Title 30 CFR

Mission:

To educate and train inexperienced and experienced mine employees in safe work practices and compliance with state and federal mine safety regulations.

Description:

The Mandatory Safety and Health Standards for all mines in the United States are subject to the Federal Mine Safety and Health Act of 1977. The purpose of these standards is the protection of life, the promotion of health and safety, and the prevention of accidents.

The Office of the Arizona State Mine Inspector holds true to the same concerns, values and goals of protecting current and future miners and the public. The Arizona State Mine Inspector and staff regulate and follow the Mining Code of the State of Arizona which contains the guidelines of the Arizona Revised Statutes and Rules and Regulations. Our goal is the protection of miners and the public through regulation, enforcement rules, education and training.

Mine safety and health education and training is very important to Arizona's mine operators, their employees, contractors and the public. The Education and Training department provides the mandatory federal mine safety training classes to the Arizona mining community. Requests for safety training from Arizona's mine operators, contractors and workers is in great demand.

The Education and Training Program certifies instructors, develops lesson plans, conducts classes and organizes safety conferences for mine safety education and training. The emphasis is placed on miners' rights and current health and safety regulations in compliance with the Mining Code of the State of Arizona, A.R.S. § Title 27, and the Federal Mine Safety and Health Act of 1977, Title 30 CFR, Parts 46, 48, 49, 56, 57,58, and 62. In addition to mining company employees, all contractors, vendors, rescue teams, and others regularly exposed to mine hazards at a mine property are required to have various levels of training furnished by the Education and Training Program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	295.9	415.7	415.7
Total Funding	**295.9**	**415.7**	**415.7**
FTE Positions	**3.0**	**4.0**	**4.0**

◆ **Goal** 1 To eliminate fatal accidents and reduce the number and severity of lost time due to accidents.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Arizona miners and contractors trained	3333	3000	3402	3000	3000
Average course content rating	4.8	4.8	4.8	4.8	4.8
Average instructor rating	4.8	4.8	4.8	4.8	4.8

Program Summary

MINED LAND RECLAMATION

Amanda Lother, Reclamation Specialist
Phone: (602) 542-5971
A.R.S. §27-921 & A.R.S. §27-1221

Mission:

To promote the restoration of lands disturbed by mining to a safe and stable environmental condition through enforcement of the Mined Land Reclamation laws, rules and regulations as applicable to new mineral exploration, new mines and the expansion or closure of existing active mines.

Description:

The Mined Land Reclamation Program, working in cooperation with mining companies, consultants and other state and federal governmental agencies, approves or rejects mine reclamation plans and financial assurance mechanisms submitted by all metalliferous mining units, aggregate mining pits, quarries and exploration operations with surface disturbances greater than five acres. Annual reviews of financial assurances and on-site inspections for on-going reclamation projects and of the regulated mines are parts of the continual monitoring process to establish compliance to the Mined Land Reclamation laws.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	49.3	112.9	112.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**49.3**	**112.9**	**112.9**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To promote the restoration of lands disturbed by mining to a safe and stable environmental condition. The Arizona Revised Statues Title 27, Chapter 1, Article 2 identifies the need for a State Mine Inspector Agency. Chapter 5 & 6 were established for Mined Land Reclamation and Aggregate Mined Land Reclamation, and provides for a Division within the State Mine Inspector Agency, to administer the reclamation plans within the state.

Tracking of the percentage of mined acreage disturbed and reclaimed;

Tracking of mandated required financial assurance from an aggregate mining operation to ensure funds are available to reclaim the land;

Tracking of industry reclamation plan goals, which are tracked by release of financial assurance mechanisms;

Complete administrative and technical reviews of reclamation plans; and

Adequate management to enhance public benefit, responsible development and economic value.

Note: The Reclamation Plans Review program is still needing resources (or manpower) necessary to manage a Division for this Plan review process, and for field verification compliance inspections (Especially in Aggregate transfers of properties, and renewal of Financial Assurances). Hardrock plans and site expansions, as well as tracking, has not been considered in this report, but still remains a considerable duty of the Reclamation Division. A compliance tracking database is strongly needed to assist with due dates for annual update reporting dates.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of annual mined land reclamation compliance reviews	214	214	201	201	201

Agency Summary

NATUROPATHIC PHYSICIANS BOARD OF MEDICAL EXAMINERS

Gail Anthony, Executive Director
Phone: (602) 542-8242
A.R.S. § 32-1501

Mission:

To protect the public through the regulation of the practice of naturopathic medicine.

Description:

The Naturopathic Physicians Board of Medical Examiners issues licenses and certificates, including specialty certificates and certificates to dispense, to applicants who meet the requirements of Arizona law for naturopathic medicine. Further, the Board certifies naturopathic assistants, graduates who participate in postdoctoral training programs, and naturopathic students to engage in clinical training programs. The Board also conducts investigations and hearings into allegations of medical incompetence and unprofessional conduct.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ NATUROPATHIC PHYSICIANS BOARD OF MEDICAL EXAMINERS	122.6	193.4	193.4
Agency Total:	**122.6**	**193.4**	**193.4**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	122.6	193.4	193.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**122.6**	**193.4**	**193.4**
FTE Positions	**1.0**	**1.5**	**1.5**

5 Year Plan

Issue 1 Update Office Computer System and Database

Description Currently the Board is running on an outdated ACCESS database, which will no longer be supported in the next year.

Solutions:

The Board must update the current computer system and database in order to function with the recent move by ADOA to a cloud based server.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	1.5	1.5	1.5
General Fund	0.0	0.0	0.0
Other Appropriated Funds	193.4	193.4	193.4
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

NATUROPATHIC PHYSICIANS BOARD OF MEDICAL EXAMINERS

Gail Anthony, Executive Director
Phone: (602) 542-8242
A.R.S. § 32-1501

Mission:

To protect the health, safety, and welfare of the public by regulating the practice of naturopathic medicine.

Description:

The Board regulates physicians who engage in the practice of naturopathic medicine, including certification of those in specialty practice; certifies graduates to engage in internship, preceptorship, and postdoctoral training programs; certifies medical assistants; certifies naturopathic medical students to engage in clinical training programs; approves clinical training programs, internships, preceptorships, and postdoctoral training programs in naturopathic medicine; certifies naturopathic physicians to dispense natural substances, drugs, and devices from their offices; and conducts investigations and hearings on complaints relating to medical incompetence and unprofessional conduct.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	122.6	193.4	193.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**122.6**	**193.4**	**193.4**
FTE Positions	**1.0**	**1.5**	**1.5**

◆ **Goal** 1 To process all completed license and certificate applications within the required time frame.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total Applications Received for Licensure and Certificates during the fiscal period.	2,097	2,150	1755	2,1500	2,1500
Explanation: Number includes initial and renewal applications.					
Total Licenses and Certificates issued during the fiscal period.	2,076	2,080	1,751	2,080	2,080
Explanation: Number includes initial issuance and renewals.					
Average number of days to process applications.	6	10	13	10	10
Explanation: Number reflects initial applications processed during fiscal period.					
Active physician licenses	959	978	1017	985	1025
Explanation: Active at the end of the Fiscal Period.					
Active certificates.	1,052	1,060	1156	1,065	1165
Explanation: Active at the end of the fiscal period. Number includes all certificate types.					

◆ **Goal** 2 To fully investigate and adjudicate complaints in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints received against licensed or certified persons	26	30	30	30	30
Explanation: Complaints of illegal use of title are also investigated by the Board.					
Complaints resolved in same fiscal year	17	17	15	17	17
Average number of days to resolve complaints - same fiscal year	148	140	134	140	134
Complaints received against unlicensed individuals in the fiscal year	0	1	2	1	2

Agency Summary

NAVIGABLE STREAM ADJUDICATION COMMISSION

George Mehnert, Director
Phone: (602) 542-9214
A.R.S. §§ 37-1101 to 37-1156

Mission:

To determine navigability of watercourses, determine which of Arizona's rivers and streams were navigable at the time of statehood, determine the public trust values of those rivers and streams that are determined to have been navigable.

Description:

The Arizona Navigable Stream Adjudication Commission (ANSAC) is a single-program agency. The Commission is charged with gathering evidence, holding hearings, and making determinations regarding navigability of the 39,039 streams and rivers in Arizona as of February 14, 1912. Part of this responsibility is to respond to issues raised by the Arizona Court of Appeals and returned to the Commission for additional hearings regarding specific topics. The Commission must litigate cases in court, including defending appeals and other legal actions that are filed in State Court against the Commission, and must complete Commission reports to be recorded in each appropriate county following the appeals processes.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	129.0	129.0	129.0
Other Appropriated Funds	200.0	200.0	200.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**329.0**	**329.0**	**329.0**
FTE Positions	**1.0**	**1.0**	**1.0**

5 Year Plan

Issue 1 Three ANSAC determinations (Gila, Salt, Verde) have been filed in Maricopa County Superior Court.

Description The five cases presently at issue may be appealed to Superior Court.

Solutions:
To defend any appeals and to file any necessary legal actions.

Issue 2 The Commission ratified all five remaining reports for the Gila, Salt, San Pedro, Santa Cruz, and Verde Rivers on June 28, 2018, including determinations that each river was non-navigable at time of Statehood, February 14, 1912.

Description Ratifying Commission reports begins the clock for time during which parties and others may file appeals in Superior court

Solutions:
To defend appeals and file court actions on behalf of ANSAC.

Issue 3 ANSAC Sunset Date has been continued to June 30, 2024.

Description The ANSAC Sunset date has been continued to June 30, 2024, to accommodate cases in couirt.

Solutions:
ANSAC is presentluy litigating three cases in Maricopa County Superior Court.

Issue 4 Relating to appeals, ANSAC may file its own legal actions if necessary.

Description It may become necessary for ANSAC to file its own court actions relating to appeals or during the appeals process.

Solutions:
ANSAC will instrucdt its attorney to file legal actions ANSAC determines to be appropriate.

Issue 5 Public Trust Value Hearings

Description In the event courts rule specific watercourses or portions of watercourses were navigable at time of statehood; there is a statutory requirement that ANSAC hold proceedings to determine the Public Trust Value of such watercourses or portions of watercourses.

Solutions:
ANSAC will schedule and hold public trust value hearings.

Issue 6 Recording of Final Reports

Description Recording in appropriate counties all of commission final reports following completion of hearings and appeals regarding the now five pending cases. (six pending cases were reduced to five when two rivers were consolidated).

Solutions:
ANSAC, through its attorney, will record the five remaining reports in each county through which each river travels.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	2.0	2.0	2.0
General Fund	129.0	129.0	129.0
Other Appropriated Funds	200.0	200.0	200.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To determine watercourse navigability. The navigability of all of approximately 39,039 Arizona watercourses with streambed/property titles impacting more than an estimated 100,000 Arizona citizens and businesses has been completed (in some instances for the second time and in other cases for the thiord time) with all watercourses determined to have been non-navigable. The navigability determination of the final five of these (San Pedro, Santa Cruz, Gila, Salt, and Verde) were determined by vote of the commission to have been non-navigable at statehood. These determinations were completed on June 28, 2018. The commission determinations of non-navigable of three of these five cases, (the Gila, Salt, and Verde) were appealed to Maricopa County Superior Court. These three cases are presently in Maricopa County Superior Court. If past history is an indicator it is anticipated one or more of these cases will be further appealed to the Arizona Court of Appeals and perhaps to the Arizona Supreme Court; and given similar cases in another state, possibly even to the U.S. Supreme Court.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of hearings remaining following implementation of 2001/current statutes	0	5	0	0	0
It appears likely the five remaining cases (there were six but two cases were consolidated into a single case) will be filed on appeal during either 2017 or 2018 and the Commission will need to defend these appeals and potentially file legal actions of its own.	0	5	0	3	3
Three cases are pending in Maricopa County Superior Court, Gila, Salt, and Verde Rivers.	0	5	5	3	3
Legal work and administrative work relating to the litigation of three cases filed in Maricopa County Superior Court.	5	5	3	3	3

◆ **Goal** 2 To defend in State and Federal Court all Appeals of Commission determinations. The Arizona Court of Appeals returned six cases to the Commission in 2012 for additional work/hearings. Two of those cases have been consolidated into a single case, therefore five case remain and are in various stages of the hearing process which including writintg Commission final reports.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
To defend any actions filed against the Commission regarding the six remand cases retuned to the Commission on October 21, 2011 for the Commissions consideration. NOTE: While six cases were returned to the Commission for additional work two of those cases were consolidated into a single case so five, not six, cases remain and are presently in various hearing stages; and of these five cases three remain and during early calendar 2019 were filed as appeals of ANSAC's non-navigability determination in Maricopa County Superior Court. These three remaining cases are the Gila, Salt, and Verde Rivers.	0	0	0	3	3

◆ **Goal** 3 To defend all other legal actions filed against the Commission, and to file legal actions by the Commission deemed appropriate. Presently five cases are in various stages of hearings following return to the Commission by the Arizona Court of Appeals.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Hearings on all cases before the Commission have been completed by the Commission and all Rivers have been determined to have been non-navigable by the Commission. Three of these decisions have been appealed to Maricopa County Superior court; the Gila, Salt, and Verde Rivers.	0	0	5	3	3

Explanation: There are no numbers included as there are no actions pending other than actual appeals and legal actions related to those.

◆ **Goal** 4 To record each Commission report in the appropriate county seat either following expiration of appeal times or completion of Court mandated work and completion of appeals and court actions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Recording Commission reports in the appropriate county seat as they are completed and appeal times have expired with no appeals filed, or as they are completed through court actions or other actions by the Commission.	0	5	5	3	3
To insure all reports that have been finalized and that have gone through the court legal process are recorded in all of the appropriate counties. For example the Gila River travels into or through six Arizona counties.	0	5	5	3	3
To record each report in the appropriate counties, in some instances as many as six counties.	0	5	5	3	3

◆ **Goal** 5 To insure all legal proceedings are held correctly and thoroughly to comply with court directivews.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Default performance measure	0	5	5	3	3

◆ **Goal** 6 To respond to court directives. Superior Courts as well as the Arizona Court of Appeals have given directions to the Commission regarding three cases presently filed in Maricopa County Superior Court. This number was reduced to five following consolidation of two cases. And three of the five have been appealed to state court.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
To take actions that will comport with court instructions and determinations, beginning with the Arizona Court of Appeals instructions on October 21, 2011 and including future instructions and determinations from any of the Superior Courts appeals are filed in.	0	5	5	3	3
To insure court directives are complerted by the commission. No dierectives are pending.	5	0	5	3	3
To insure the commission prevails all cases fled in state court challenging the commission's determinations of non-navigability.	5	0	0	3	3

Agency Summary

BOARD OF NURSING

Jo Elizabeth Ridenour, Executive Director
Phone: (602) 771-7801
A.R.S. §§ 32-1601 to 32-1669

Mission:

To protect and promote the welfare of public by ensuring that each person holding a nursing license or certificate is competent to practice safely. The Board fulfills its mission through the regulation of the practice of nursing and the approval of nursing education programs. The mission, derived from the Nursing Practice Act, supersedes the interest of any individual, the nursing profession, or any special interest group.

Description:

The State Board of Nursing protects the public by assuring that standards of practice are defined and that persons engaged in the practice of nursing are competent. It approves individuals for licensure, registration, and certification; approves educational programs for nurses and nursing assistants; investigates complaints concerning licensee and certificate holder compliance with the law; and determines and administers disciplinary actions in the event of proven violations of the Nurse Practice Act.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ LICENSING AND REGULATION - RN/LPN	4,192.8	4,232.4	4,232.4
➢ NURSING ASSISTANT	951.4	953.3	953.3
Agency Total:	**5,144.2**	**5,185.7**	**5,185.7**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	4,729.5	4,771.0	4,771.0
Other Non Appropriated Funds	414.7	414.7	414.7
Total Funding	**5,144.2**	**5,185.7**	**5,185.7**
FTE Positions	**55.0**	**57.7**	**57.7**

5 Year Plan

Issue 1 Assure governance framework supports the Board's mission and vision

Description Processes for defining and delivering good decisions and leadership for the good of the public as a whole through the regulation of the practice of nursing and the approval of nursing education programs.

Solutions:

a). Ensure board members are educated on principles of governance;

b). Improve evidenced based decision making by integrating data driven processes;

c). Enhance communication between the Board and consumers, key stakeholders and Advisory Committees to support change and innovation for improved public protection;

d).Develop educational outreach activities related to nursing regulation

Issue 2 License/certify only qualified nurses and nursing assistants that assures public safety

Description Assuring only qualified individuals are licensed or certified and have the basic educational preparation to practice safely.

Solutions:

a). Improve processes for licensure/certification;

b). Implement "promising practices" from the National Council State Boards of Nursing (NCSBN) Commitment to Ongoing Excellence research;

c). Maximize use of technology for licensing applications/verifications;

d). Implement electronic finger printing process;

e). Implement legislation in 2019 for the Advanced Practice Registered Nurse (APRN) Compact

Issue 3 Investigate unsafe or incompetent nurses and licensed/certified nursing assistants; remediate or remove from practice

Description Regulation-Enforcement, Discipline & CANDO Program.
Enforcing scope and standards of practice of licensed nurses and licensed/certified nursing assistants.

Solutions:

a). Provide for an effective alternative to discipline under the program for nurses who have substance abuse disorders (CANDO) and other psychiatric/medical issues;

b). Update disciplinary guidelines for consistent sanctions utilizing evidence based regulation and precedents;

c). Improve processes for investigations and compliance;

d). Provide for an effective probationary period for those that need monitoring due to licensing conditions;

e). Promote evidenced based regulation and practice breakdown research that provides for public protection.

Issue 4 Review and approve or sanction nursing education programs consistent with Board rules

Description Nursing Education Program Initial & Continuing Program Approval.
Enforcing standards to promote the preparation of qualified candidates for licensure & certification.

Solutions:

a). Review and improve educational rules that guides quality education regardless of educational delivery method;

b). Review and approve or sanction nursing educational programs consistent with Board rules;

c). Support statewide conferences to enhance competencies of nursing program faculty;

d). Review and investigate nursing program complaints and, evaluate for trends; report to nursing programs as is appropriate;

e). Obtain program admission and completion data and partner with programs/facilities to address issues;

f). Identify research topics related to nursing regulation and develop strategies to conduct research.

Issue 5 Ensure nursing regulations are up-to-date and reflect state of the art & science of practice.

Description The current trends in public policy, the nursing practice, and education.

Solutions:

Monitor trends in public policy, nursing practice, and education and make amendments to the Nurse Practice Act, ensuring that the State's nursing statutes and rules reflect contemporary practice.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	55.0	55.0	55.0
General Fund	4,295.3	4,295.3	4,295.3
Other Appropriated Funds	536.7	536.7	536.7
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	414.7	414.7	414.7

Program Summary

LICENSING AND REGULATION - RN/LPN

Jo Elizabeth Ridenour, Executive Director
Phone: (602) 771-7801
A.R.S. §§ 32-1601 to 32-1669

Mission:

To establish standards and requirements for initial licensure of new nursing graduates and nurses moving into the State; to protect the public by investigating complaints against licensees ensuring that due process is upheld; to assist nurses with problems of chemical dependency to obtain treatment; to monitor such activity, all with the intent to protect the public from nurses who are unsafe to practice.

Description:

The Board of Nursing (ASBN) licenses all nurses practicing in the State except those practicing in federal facilities. In order to license nurses, the Board administers the National Council Licensure Examination (NCLEX) to new graduates and verifies licensure status in other states for nurses moving into Arizona. The Board investigates licensees who have been reported for possible violations of the Nurse Practice Act. Through a comprehensive investigation process, the agency ensures the public safety from incompetent, unsafe, or unprofessional nurses. The Chemically Addicted Nurses Diversion Option (CANDO) Program of the Board consists of three year contracts with licensees which include and are monitored for: initial intensive treatment, aftercare, participation in Alcoholics Anonymous or Narcotics Anonymous, random biological-fluid screens, nurses support groups and quarterly employer evaluations. Licensees are also monitored when the Board determines probational discipline is needed to ensure that public risk is reduced. The Hearing Department schedules hearings for licensees/certificate holders who have been denied licensure/certificates and for those who request their disciplinary procedure be heard by an Administrative Law Judge whose recommendation is forwarded to the Board for approval of the final order.

Funding:	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
General Funds	0.0	0.0	0.0
Other Appropriated Funds	4,192.8	4,232.4	4,232.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**4,192.8**	**4,232.4**	**4,232.4**
FTE Positions	**41.8**	**44.5**	**44.5**

◆ **Goal** 1 To reduce the cycle time needed to issue certificates and licenses for examinee, endorsement and renewal applicants.

Performance Measures	**FY 2018 Actual**	**FY 2019 Estimate**	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
Average days from application received to RN/LPN renewal license issued	1.5	1.5	3.2	1.5	1.5
RN/LPN renewals issued (4-year cycle)	18379	18244	19213	18537	20443
Total licensees Registered Nurses and Licensed Practical Nurses	99,335	99,000	102031	105000	108000

◆ **Goal** 2 To reduce the cycle time needed to investigate complaints, complete hearings and increase compliance with consent agreements and Board orders.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total complaints received	1,969	1,900	2058	2000	2100
Percent of licensees with disciplinary action	1.5	1.5	0.3	0.3	0.3
Average hours per investigation needed to complete a case	30	30	30	30	30
Average months needed to complete investigations and present cases to the Board	17	17	11	10	9
Average calendar days from receipt of RN/LPN complaint to resolution	530	475	292	270	250
Average calendar days per investigation from start to final adjudication	730	700	340	320	300
Percent of investigations resulting in disciplinary enforcement action	18.8	20	32.6	30	30

◆ **Goal** 3 To effectively provide a non-disciplinary Chemically Addicted Nurse Diversion Option (CANDO) program.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Licenses in Cando Program	253	250	202	260	260
Licensees completing CANDO program (%)	55	55	85	85	85

◆ **Goal** 4 To provide an effective educational program monitoring process for schools of Nursing that promotes a high percentage of RN/LPN examinees passing NCLEX.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Nursing programs monitored for non-compliance	4	6	2	6	5
Examinees from program successfully passing NCLEX	2731	2760	3662	3000	3000

Program Summary

NURSING ASSISTANT

Jo Elizabeth Ridenour, Executive Director
Phone: (602) 771-7801
A.R.S. § 32-1645

Mission:

To protect the public health, safety, and welfare through the provision of competent Certified and Licensed Nursing Assistant care.

Description:

This program administers the certification and licensing examinations for Nursing Assistant candidates, surveys and approves Nursing Assistant training programs, and maintains a register of Certified Nursing Assistants (CNAs) and Licensed Nursing Assistants (LNA's). The Arizona Department of Health Services shares some responsibility for this program by receiving and substantiating complaints against CNAs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	536.7	538.6	538.6
Other Non Appropriated Funds	414.7	414.7	414.7
Total Funding	**951.4**	**953.3**	**953.3**
FTE Positions	**13.2**	**13.2**	**13.2**

◆ **Goal** 1 To operate the program efficiently and effectively.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average calendar days from receipt of completed application to denial of certification	715	700	710	650	650
Total individuals certified as nursing assistants	28,832	29,000	27469	27500	27625
Total complaints received	423	400	889	800	800
Average calendar days from receipt of CNA complaint to resolution	367	350	346	290	290
Percent of CNA's with disciplinary action	0.32	0.30	0.50	0.50	0.50
Total investigations conducted - status closed	417	500	433	500	500
Percent of investigations resulting in disciplinary enforcement action	0.28	0.28	37.4	30	30
Average calendar days per investigation from start to final adjudication	676	650	346	350	350
Investigations resulting in dismissals LNA & CNA	0	0	14	15	15

Agency Summary

BOARD OF EXAMINERS OF NURSING CARE INSTITUTION ADMINISTRATORS AND ADULT CARE HOME MANAGERS

Allen Imig, Executive Director
Phone: (602) 542-8156
A.R.S. § 36-446.02

Mission:

To protect the health, welfare, and safety of Arizona citizens who seek and use the services of nursing care institution administrators and assisted living facility managers.

Description:

The Board of Nursing Care Institution Administrators and Assisted Living Facilities Managers evaluates and processes initial applications and renewals from individuals seeking nursing home administrator licenses and assisted living facility manager certificates. As administrators and managers are required by law to meet continuing education requirements, the Board also approves continuing education programs. In addition, the Board approves, renews, and regulates assisted living facility manager and caregiver training programs, and investigates complaints received from the public or the Department of Health Services and imposes disciplinary action on licensees or certificate holders when necessary. All Board functions are accomplished through a fee-financed program of examination, licensure, and regulation.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	420.6	455.0	483.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**420.6**	**455.0**	**483.4**
FTE Positions	**4.0**	**6.0**	**6.0**

5 Year Plan

Issue 1 Electronic licensing and payment systems.

Description The Board would like to implement electronic licensing and payment systems to ensure efficient and quality customer service.

Solutions:

1. Secure ongoing appropriation funding in FY 2019 to implement an electronic licensing renewal system which incorporates electronic payments. (Complete)
2. By January 2018, have the basic service operating which includes electronic renewals and payments. (Complete)
3. In FY 2019 through FY 2021, enhance the electronic licensing service to include initial applications and payments for all services, track investigations through the process (In process)

Issue 2 Qualifying administrators from other states.

Description The Board would like to make it easier for qualified administrators from other states to become licensed in Arizona to eliminate redundant regulations and ensure great customer service.

Solutions:

1. By January 2018, amend the rule on reciprocity for nursing care institution administrators. (Completed)
2. In FY 2018 through FY 2020, amend statutes and rules as needed which includes a health care executive credential and portability. (Completed)

Issue 3 Desktop and Laptop Computer Refresh in FY19

Description The Board purchased the computer equipment in FY12 and FY13 of which the HP warranty has ended. The refresh would bring with it up to date thechnology, new hardware, warranty, software ond conversion install.

Solutions:

In FY19 secure one time funding of and estimated cost of $9,000.00 for updating desktop and laptop computers. Refresh pushed to FY20.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	6.0	6.0	6.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	521.3	521.3	521.3
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To ensure consistent and timely investigations of complaints and enforcement action in accordance with statutes and rules.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints opened	198	240	170	190	195
Disciplinary actions	82	85	66	75	80
Complaints resolved	131	150	168	170	175
Average number of days from open to close of complaint	86	120	156	140	120
Number of complaint and application investigations conducted	195	200	164	170	175

◆ **Goal** 2 To ensure that licenses and certificates are granted or renewed to qualified administrators and managers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of existing licenses and certificates	2680	2800	2739	2700	2800
Number of new applications filed	347	352	317	340	350
Number of new licenses issued	289	295	264	280	290
Number of new and existing licenses	2969	3150	3003	2980	3090
Number of renewal applications processed	755	1900	2467	760	2500
Average calendar days to renew a license	1	4	13	2	10

◆ **Goal** 3 To ensure that agency operations are effective and efficient.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Customer satisfaction (scale of 1-8) with 8 being very satisfied.	7..87	7.5	7.9	7.5	7.5
Administration as percent of total cost	6.5	6.8	6.6	6.8	6.8

◆ **Goal** 4 To ensure quality continuing education is approved

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of new and renewal CE sponsor hours approved	1003	1000	1168	1000	1200
Average number of days to process CE sponsor applications	2	5	1	5	5

◆ **Goal** 5 To ensure public information requests and license verifications are completed timely.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of days to process a public records request	2	4	4	4	4

Explanation: Implemented starting FY07

Average number of days to process a license verification	2	5	4	5	5

Explanation: Implemented starting FY07

Agency Summary

BOARD OF OCCUPATIONAL THERAPY EXAMINERS

Karen Whiteford, Executive Director
Phone: (602) 589-8353
A.R.S. §§ 32-3401 to 32-3446

Mission:

To protect the health, safety, and welfare of the public by licensing and regulating individuals who provide occupational therapy services.

Description:

The Board of Occupational Therapy Examiners issues licenses for occupational therapists and occupational therapy assistants. The Board requires that each applicant meet minimum standards of education, experience, and competence. The Board also investigates complaints and takes appropriate disciplinary action.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ BOARD OF OCCUPATIONAL THERAPY EXAMINERS	173.2	199.0	199.0
Agency Total:	**173.2**	**199.0**	**199.0**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	173.2	199.0	199.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**173.2**	**199.0**	**199.0**
FTE Positions	**1.5**	**1.5**	**1.5**

5 Year Plan

Issue 1 Evaluate the qualifications of applicants for licensure.

Description The Board has seen a steady increase of the number of applications for new licenses and the number of renewals each year. The new eLicensing system has improved the process by eliminating the need for Board staff to enter data from a written applications.

Solutions:

A.The Board of Occupational Therapy is pursuing changes to statues and rules to increase the efficiency of application processing, while still ensuring qualified applicants receive a license.

Issue 2 Establish the mechanisms for assessing continuing professional competence of occupational therapists and occupational therapy assistants.

Description The Board of Occupational Therapy currently reviews 100% of continuing education certificates submitted by renewal applicants. This is a time-consuming task for Board staff.

Solutions:

A. Board staff is pursuing changes to statutes and rules to allow random audits of continuing education. Reducing the percentage of audited application from 100% to 50% would greatly improve application processing times.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	1.5	1.5	1.5
General Fund	0.0	0.0	0.0
Other Appropriated Funds	199.0	199.0	199.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

BOARD OF OCCUPATIONAL THERAPY EXAMINERS

Karen Whiteford, Executive Director
Phone: (602) 589-8353
A.R.S. §§ 32-3401 to 32-3446

Mission:

To protect the health, safety, and welfare of the public by licensing and regulating individuals who provide occupational therapy services.

Description:

The Board of Occupational Therapy Examiners is a regulatory board which issues and renews bi-annually approximately 1,800 active licenses for the occupational therapy profession and monitors 1,469 closed licenses. By law, the Board requires that each applicant meet minimum standards of education, experience, and competency. The Board also receives and investigates complaints, takes appropriate disciplinary action, and responds to inquires from consumers as to the license status of individual occupational therapy professionals.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	173.2	199.0	199.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**173.2**	**199.0**	**199.0**
FTE Positions	**1.5**	**1.5**	**1.5**

◆ **Goal** 1 To investigate and adjudicate complaints within 120 days

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of occupational therapy complaints received	7	10	17	15	15
Number of complaints resulting in disciplinary action	0	5	3	5	5
Complaints resolved within 120 days	2	10	8	15	15
Percent of complaints resolved within 120 days	30	100	47	100	100

◆ **Goal** 2 To ensure that licenses and renewals are issued in a timely manner to Occupational Therapists and Occupational Therapy Assistants with high standards of professional and ethical standards.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of license renewal applications received and renewed (OTs and OTAs)	1,632	1328	1421	1859	1412
Number of Licensees (OTs and OTAs)	3,800	3,950	4,250	4,439	4,678
Number of initial license applications received (OTs and OTAs)	454	466	509	564	615
Number of Initial Licenses Issued (OTs and OTAs)	454	466	490	526	562
Average calendar days to process and issue a renewal application	25	30	22	20	20

Explanation: Number of days from application submission to license issuance

Average calendar days to process and issue an initial license	30	30	10	10	10

Explanation: Number of days from application submission to license issuance

◆ **Goal** 3 To continually improve customer satisfaction by providing consistency in carrying out the Board's policies and procedures.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of licenses issued within 10 days of approval	100	100	100	100	100
Number of individuals licensed as occupational therapists	2,505	2,600	2862	3000	3200
Number of individuals licensed as Occupational Therapy Assistants	0	0	1388	1483	1577

Agency Summary

BOARD OF DISPENSING OPTICIANS

Megan Darian, Executive Director
Phone: (602) 542-8158
A.R.S. § 32-1671

Mission:

To protect the visual health of Arizona citizens by regulating and maintaining standards of practice in the field of opticianry.

Description:

The Board of Dispensing Opticians licenses optical establishments and professionals to practice in the field of opticianry. Dispensing opticians fill orders for and fit persons with corrective eyewear. The Board investigates complaints against licensees and unlicensed entities. The Board is distinguished from the Board of Optometry, which regulates optometrists.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	134.8	155.9	155.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**134.8**	**155.9**	**155.9**
FTE Positions	**1.0**	**1.0**	**1.0**

5 Year Plan

Issue 1 5 yr Strategic Plan

Description ARIZONA STATE BOARD OF DISPENSING OPTICIANS

FIVE-YEAR STRATEGIC PLAN

8/27/2019

Mission:

To protect the visual health of the citizens of Arizona by regulating and maintaining the standard of practice in the field of opticianry.

To this end, the Board regulates the opticianry profession through administering examinations, issuing licenses to qualified opticians and optical establishments, proposing legislation, enacting rules and regulations and investigating complaints brought to the Board against licensed opticians and optical establishments

Description:

The Board of Dispensing Opticians examines and licenses professionals to practice in the field of opticianry and licenses optical establishments. This Board is distinguished from the Board of Optometry, which regulates optometrists, whereas dispensing opticians fill orders for and fit persons with corrective eyewear. The Board of Dispensing Opticians accepts complaints against licensees, investigates allegations, and administratively adjudicates complaints.
Goals and Objectives

Goal #1:To ensure high standards of professional and ethical conduct in the field of opticianry through efficient processing of examination, establishment and optician license applications and administration of the State Board Practical Examination.

Objective #1:By December 2019, the Board will review National Organizations' Practical Examinations. The Board will bring any recommendations for a full Board vote.

Objective #2:By December 2020, the Board will meet with other states who are utilizing the National Practical Examinations and verify results.

Objective #3:Update database to allow for on-line application and renewal.

The Board has available resources to accomplish objective #1: however, an increase in out-of state travel funds will be necessary to accomplish objective #2. Objective #3 has been funded for initialization, however, an increase will be required to cover maintenance and ongoing costs. The Board has the available resources in the Dispensing Opticians Fund to accommodate an increase in appropriations.

Goal #2:To investigate and adjudicate consumer and Board initiated complaints in accordance with statutes and rules in order to protect the public from incompetent services and unprofessional and unethical conduct.

Objective #1:By the end of fiscal year 2019, the Executive Director will increase the number of optical establishments visited and inspected.

Objective #2:By the end of fiscal year 2020, the Board will actively recruit more retired licensed opticians to serve as investigators.

The Board will request another increase in travel funds to accommodate the establishment inspections. The Board has the available resources in the Dispensing Opticians Fund to accommodate an increase in appropriations.

Goal #3:To better protect the public through the administration of the continuing education requirement in order to maintain the integrity of the profession of opticianry in accordance with the Board's mandate.

Objective #1:The Board is in process of implementing a Rule package. And, when allowed by Governor's office and GRRC, to Amand/Repeal number of Rules to allow the Board more flexibility in accepting national practical examination results versus the Board proctoring a practical every six months.

Existing funds will be used to initiate action to attain goals and accomplish objective.

Goal #4:To maintain consistency in opticianry licensure and regulation with other states through membership in governmental and industry associations (FARB, CLEAR, AADO, OAA, NCSORB and ABO-NCLE) and to interact with the optical industry on a statewide basis.

Objective #1:At least one Board member or the Executive Director will attend no less than one governmental or industry related seminar each fiscal year.

Objective #2:Development of an annual newsletter and mailing list or email list, containing an update on changes in regulation, etc., to be mass mailed to licensees and other members of the ophthalmic industry within Arizona and in other states.

An increase in appropriations will be necessary to implement these goals and accomplish objectives. The Board has the available resources to accommodate an increase in appropriations.

Solutions:

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	2.0	2.0	2.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	137.3	137.3	173.3
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To ensure high standards of professional and ethical conduct in the field of opticianry through efficient processing of examination, establishment, and optician license applications and administration of the State Board Practical Examination.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Optician licenses issued	59	55	54	60	60
Optician renewal applications processed	879	870	883	880	880
Establishment applications received	13	20	37	20	20
Explanation: 64 locations were sold and obtained new licenses in Fiscal year 2014. 15 were new locations.					
Establishment licenses issued	13	20	37	20	20
Explanation: 64 locations were sold and obtained new licenses in fiscal year 2014. 14 were new locations.					
Establishment renewal applications processed	386	390	392	390	390
Average number of days from receipt of application for establishment license to granting of license	15	15	15	15	0
Explanation: 64 applications were received two days before issuance.					
Percentage of renewals within 3 days	99	99	99	99	99
Administration as a percentage of total cost	10	10	10	10	10
Customer satisfaction rating (Scale 1-8)	8	8	8	8	8
Number of licensees (new and existing)	1270	1265	1275	1280	1280

◆ **Goal** 2 To investigate and resolve consumer and Board initiated complaints in accordance with statutes and rules in order to protect the public from incompetent services and unprofessional and unethical conduct.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints about licensees received and investigated	5	5	5	5	5
Complaints resolved	3	5	5	5	5
Disciplinary action	2	3	4	4	4
Number of days from receipt of complaint until completion	60	60	60	60	60
Explanation: Number of days is an average of all complaints					
Establishment Inspections	70	100	100	200	200

◆ **Goal** 3 To better protect the public through the administration of a continuing education requirement in order to maintain the integrity of the profession of opticianry in accordance with the Board's mandate.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of licensees fulfilling continuing education requirement	98	98	98	98	98
Number of licensees fulfilling requirement	211	423	423	197	243

Agency Summary

BOARD OF OPTOMETRY

Margaret Whelan, Executive Director
Phone: (602) 542-8155
A.R.S. § 32-1701

Mission:

To protect the health, safety, and welfare of Arizona citizens by regulating and achieving the highest standards in the optometry profession.

Description:

The Arizona State Board of Optometry examines, licenses, and regulates optometric doctors. In addition, the Board registers out-of-state replacement contact lens dispensers. The Board investigates complaints alleging violations of the Optometric Practice Act and takes administrative regulatory action when required.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	217.8	240.7	240.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**217.8**	**240.7**	**240.7**
FTE Positions	**2.0**	**2.0**	**2.0**

5 Year Plan

Issue 1 To ensure that licenses are granted or renewed to qualified optometrists

Description Process an initial licensure by exam application within 75 days of the overall timeframe
Process an initial licensure by endorsement application within 75 days of the overall timeframe
Process a license renewal within 45 calendar days

Solutions:
Goal time (in calendar days): 75

Issue 2 To effectively investigate and adjudicate complaints pursuant to statutes and rules

Description % of complaints resolutions from receipt to completion within 120 calendar days

Solutions:
Goal time (in calendar days): 120

Issue 3 To ensure agency policies and procedures are effective and efficient. (Including testing, renewal, initial licensing, and Customer Satisfaction

Description Administration as % of total cost

Solutions:
Goal percentage: 7%

Issue 4 "To ensure customer satisfaction regarding public information requests, license verifications, e-mail and phone communication"

Description % of license verifications completed within 7 business days
% of public information requests completed within 7 business days
% of e-mails, phone calls and internet requests completed within 7 business days

Solutions:
100% response within timeframe

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	2.0	2.0	2.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	261.1	261.1	261.1
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To ensure that licenses are granted or renewed to qualified optometrists.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New licenses issued	79	68	82	68	72
License applications received	79	70	80	70	72
Active licensees	1,172	1,180	1230	1,180	1200
Average time to process an initial license application (in days)	19	20	20	20	20
Average calendar days to renew a license	2	2	1	2	2

◆ **Goal** 2 To effectively investigate and adjudicate complaints pursuant to statutes and rules.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of complaints received	158	18	8	18	18
Total number of complaints resolved	153	18	5	18	18
Average number of days from receipt of complaint to resolution	124	70	46	70	70
Total number of disciplinary actions	0	2	0	2	2

◆ **Goal** 3 To provide accurate information and programs to stakeholders, including but not limited to: citizens, licensees, health care organizations, and other governmental bodies.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of written public information requests	156	200	162	200	200

◆ **Goal** 4 To ensure agency policies and procedures are effective and efficient (including testing, renewal, initial licensing, and certificates of special qualification).

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Prompt response to renewal applications with deficiencies (percent)	100	100	100	100	100
Administration as % of total cost	6.4	7	6	7	7

Agency Summary

BOARD OF OSTEOPATHIC EXAMINERS

Justin Bohall, Executive Director
Phone: (602) 771-2522
A.R.S. §§ 32-1800 et seq.

Mission:

To protect the public health and safety of people in Arizona through the regulation of physicians licensed to practice osteopathic medicine and surgery in the state.

Description:

The Board of Osteopathic Examiners regulates osteopathic physicians in Arizona. The Board is responsible for the licensure of osteopathic physicians and residents, the enforcement of standards of practice, and the review and adjudication of complaints. The Board protects the public by setting educational and training standards for licensure and by reviewing complaints made against osteopathic physicians, interns, and residents to ensure that their conduct meets the standards of the profession, as defined by A.R.S. § 32-1854.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	894.1	1,012.3	1,012.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**894.1**	**1,012.3**	**1,012.3**
FTE Positions	**7.2**	**8.0**	**8.0**

5 Year Plan

Issue 1 Identifying and resolving pending complaints on a more timely basis. Complete the investigation so they can be resolved more timely by the Board.

Description The Board is continuing to receive a large number of complaints and will need to work to investigate those new complaints as well as existing complaints in a timely manner.

Solutions:
The Board has approved a policy and procedure to streamline the complaints process. The process focuses on internal operations that can be elevated to reduce investigations time. Additionally, staff is restructuring the administrative duties to allow for the Investigator and Medical Consultant to focus on case investigation rather than the administrative items.

Issue 2 Complaints are taking more than 180 days to resolve and the Auditor General has set a guideline of 180 days or less to resolve complaints. We need to complete our complaint process within 180 days.

Description Our goal is to reduce the average number of days to investigate and resolve a complaint to an average of 180 days or less. We recognize that some complaints, due to the difficulty of the case, require further investigation, evaluation or chart review after the Board reviews the matter initially. We are trying to identify these cases before they go to the Board in anticipation of their request. Other factors such as continuances at the request of the licensee can also extend the timeframes for resolving these cases. With the consolidation of many medical offices, plans and hospitals, we are finding it is more difficult to get timely responses to requests for records and subpoenas. This outside delay is affecting our internal process and slowing down our resolution timeframes.

On average, we should meet the timeframes. Cases that go for an Investigative Hearing or that are sent to the Office of Administrative Hearings can take a longer period of time to resolve as these cases may result in a revocation or a suspension of greater than 12 months of a license. However, we will continue to strive to timely resolve such cases as quickly as possible. We are offering more Consent Agreements for surrender versus taking the matters to hearing.

Again, this is a critical item to our Board as it affects the public and our licensees. When we identify a serious case involving possible immediate danger to the public, the Board addresses these matters on an immediate basis and with possible summary suspensions.

Solutions:
We continue to reduce the outstanding number of complaints and we are receiving a large number of new complaints.

We continue to evaluate our processes to determine if there are methods or processes available to us to increase our complaint resolution rate. The Board has established an new policy and procedure for staff to implement. The goal of this policy will be to reduce case load and investigation time drastically.

Issue 3 Our agency efficiently processes applications while continuing to meet with statute, rule and timeframe requirements. We will evaluate and determine if online applications would be effective and cost efficient for our agency in response to a customer service driven model.

Description The Board strives to make improvements in an processes and policies. Staff has restructured the licensing division and now has two dedicated staff members to process licensing applications.

Solutions:
The Board plans to implament a new updated database which will allow for the Board's Intial Application to be completed online. This will reduce delays in that Application time-frame and allow for additional services to be completed online.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	8.0	8.0	8.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,088.3	1,088.3	1,088.3
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To issue and renew licenses promptly and in an effective manner

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of new and existing licenses	3,282	3,285	3521	3700	3900
Number of applications for new license received (does not include Post Graduate permits or dispensing registrations)	429	360	400	426	464
Number of new licenses issued	301	298	491	400	425
Average days to issue new license	2	3	3	3	3

Explanation: Timeframe to process applications

Percentage of renewals done online vs. paper/manually	94	94	95	96	99

◆ **Goal** 2 To investigate and resolve complaints in a timely manner

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Complaints received	301	320	244	320	320
Complaints investigated	250	300	260	300	300
Licensees who had disciplinary action taken	20	20	19	20	20
Average calendar days to resolve a complaint	280	260	211	180	180
Average calendar days to investigate a complaint	150	140	160	120	110
Number of complaints closed/resolved	260	300	278	320	320

◆ **Goal** 3 To administer the agency efficiently and provide customer service to the public

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Administration as percent of total cost	8	8	5	8	8
Customer satisfaction rating (1-8)	5	6	5	5	5

Explanation: changing above from 1-5. A plan was made to move to a 1-8 scale, however that plan was recinded and we returned to a standard 1-5 scale.

Agency Summary

STATE PARKS BOARD

Bob Broschied, Executive Director
Phone: (602) 542-7107
A.R.S. §§ 41-511 et seq.

Mission:

To conserve Arizona's natural and cultural resources and provide enjoyable, safe, and sustainable outdoor recreation opportunities that educate and inspire current and future generations.

Description:

Arizona State Parks and Trails (ASPT) develops, and in collaboration with partners, manages 35 State parks and natural areas and provides safe and enjoyable facilities and programs throughout the state. The agency manages and protects over 64,000 acres of historic and natural resources, much of which is open for the public to enjoy.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ PARK DEVELOPMENT AND OPERATION	17,910.0	19,404.2	19,404.2
➢ PARTNERSHIPS AND GRANTS	4,710.0	8,914.5	8,914.5
➢ ADMINISTRATION	4,340.0	8,322.3	8,322.3
Agency Total:	**26,960.0**	**36,641.0**	**36,641.0**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	13,955.0	16,982.8	16,982.8
Other Non Appropriated Funds	13,005.0	19,658.2	19,658.2
Total Funding	**26,960.0**	**36,641.0**	**36,641.0**
FTE Positions	**243.0**	**287.0**	**287.0**

Arizona State Parks and Trails

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Bob Broscheid
Strategic Planner: Bonnie Sposato
Last modified: 07/18/2019

Vision: Arizona State Parks and Trails is the national leader in sustainable outdoor recreation for current and future generations.

Mission: To conserve Arizona's natural and cultural resources and provide enjoyable, safe, and sustainable outdoor recreation opportunities that educate and inspire current and future generations.

Agency Description:
Arizona State Parks and Trails (ASPT) protects and preserves 35 State Parks and Natural Areas. The agency also includes the State Trails Program, outdoor-related Grants Program, statewide outdoor recreation planning, the State Historic Preservation Office, and and Off-Highway Vehicle Program. ASPT not only promotes physical, spiritual and mental health and wellness within our Arizona communities, we help drive the economy, enhance and protect local communities and cultures.

Executive Summary:
With Arizona State Parks and Trails new leadership appointment early 2019, the agency has a new and refreshed focus on customer service, engagement, strategic partnerships, and financial sustainability. The Governor's vision for the State specifically calls out ASPT as a key driver – "*…the number one state to play, recreate…*". **Our new 5 year strategies reflect the drive toward our new vision.**

The urbanization and growth present a challenge to serve the new population but also a new opportunity to revitalize and reimagine outdoor opportunities that resonate with multi- generational customers.

Rebuilding an agency culture where the workforce is engaged and motivated, responsible and accountable, and celebrated for success is critical to achieve our promise of value to our customers and partners.

A focus on diversification of recreational users at Parks and Trails broadens the agency's role in the Arizona outdoor economy.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Background – Why new strategies for 2020 were selected
1	**Parks -** Optimize Park and Trail system vitality	2020	Parks and trails are the core business focus for the agency – the product we are charged with preserving, protecting, and promoting. Our focus on this area will enable us to assess and improve park amenities for multi-generational and differently abled audiences, improve and build trails where needed, and provide programming, activities, and events for people to enjoy and experience the parks and trails in Arizona.
2	**Partnerships -** Grow new, and leverage existing key partnerships to maximize ROI	2020	Through partners, we are able to expand our reach and grow our target market. By cultivating the partnerships we have now and seeking new partnerships with agencies with similar missions, we will be able to find innovative ways to work together to share information more broadly and strengthen the ASPT brand. By exploring new partners in many different sectors throughout the state, we can capitalize on their existing audiences as a new market to promote park recreation and preservation.
3	**People -** Create an environment to cultivate a highly engaged workforce	2020	Workforce at ASPT have experienced volatility, inconsistency, and change in their environment for more than a year. Understanding how to break down barriers, share information, and create a healthy atmosphere of collaboration and cooperation will drive productivity. Because retention is a priority, working to create a stable and honest environment that will engage employees, develop career paths, and help turn ASPT into a place people enjoy working and would recommend to others.
4	**Pocketbook** - Maximize financial sustainability and revenue growth	2020	As one of the only agencies that is self-sustaining and does not rely on general fund dollars, it is vital that ASPT continue to grow revenue to fuel major maintenance and new development projects, staffing, preservation, and new programming. Because we are public stewards, fiscal responsibility and accountability is key to regaining the trust of the public and the legislature. Through solid business practices, intelligent decisions, streamlining process, and key partnerships, we will be able to both grow revenue and make the right decisions for its use.

Arizona State Parks and Trails

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Update current/prioritized parks Master Plans (number per year)	• % Master Plan milestones completed per schedule (new metric)	• Develop prioritized schedule for updating State Park Master Plans • Assess current Parks/Trails ADA plans and prioritize existing parks • Develop process to ensure new development adheres to ADA plan
1	Update/maintain timely and cost efficient project management process	• % Projects completed per schedule	• Develop standardized project management process based on best practices for CIP
2	Develop partnership plan to prioritize opportunities for new partnerships and further develop exiting partnerships	• # NPS Partnership Plans • $ Donated from partners/foundations	• Assess NPS lands in AZ for feasibility to expand NPS agreements where appropriate • Strengthen and standardize agreements with "Partner Parks" to refresh parks and increase visitation
3	Create agency-wide Culture Plan and plan for deployment (People – internal)	• Total Volunteer value ($ - savings to FTE) • % Increase on Employee Engagement question *"My agency values my ideas on work related problems"* • % Culture Plan Deployment Milestones completed per plan	• Complete SWOT analysis of workforce and identify opportunities for training to increase workforce (paid staff and volunteer) engagement • Create phased plan for deployment of succession planning, rewards & recognition, recruitment & retention, and training & development.
3	Develop and deploy customer-based model for parks and trails (customer profile by park) (People – external)	• Customer/visitor satisfaction • # park hosted special events	• Develop plan to diversify recreational use based on customer profiles to increase visitation
4	Develop and deploy data governance model for revenue and expenditures	• Revenue • Cost per unit of visitor by park	• Complete financial analysis defining "cost per widget" by park

5 Year Plan

Issue 1 Optimizing System Vitality

Description The implementation of the Arizona Management System, a statewide initiative, requires the application of best business practices and lean management principles to make government processes more efficient, reduce waste and enhance customer satisfaction. In order to include these efforts in agency priorities, and to be consistent with priorities identified in the 2018 SCORP, Arizona State Parks and Trails has identified a pillar around which the agency Strategic Plan is organized - Optimizing System Vitality. Optimizing the vitality of a system encompasses the responsible use of existing resources to maximize opportunities for constituents and visitors, in addition to seeking additional funding sources and innovative means of optimizing long term sustainability and vitality to adapt to changing economic times.

Securing sustainable funding for the stewardship of our state's recreation areas is an ongoing issue. In an age of user-generated funding cycles, organizations and agencies are routinely required to seek creative ways to do more with less, and use existing resources efficiently. Seeking innovative collaborations, private/public partnerships, and grants opportunities is required to keep up with ongoing maintenance of facilities and existing infrastructure and to add new amenities to public lands. It is important to take into account demand and supply when allocating alternative funding.

Solutions:

In order to optimize system vitality, the agency will 1) strive for the strategic and responsible investment in resources to promote growth, and 2) foster a culture of continuous improvement.

Issue 2 Conservation of Natural and Cultural Resources.

Description The National Recreation and Parks Association (NRPA) has identified conservation, social equity and health and wellness as the three key impacts of Parks and Recreation agencies across the nation, regardless of size or jurisdiction. These impacts are the pillars of the profession around which all of the organization's efforts revolve. Parks and recreation agencies contribute to conservation by "protecting open space, connecting children to nature, and engaging communities in conservation practices" (NRPA, 2017).

Protection, conservation, and stewardship of Arizona's natural and cultural resources, public lands, recreation areas, and scenic landscapes to ensure that current and future generations have access to outdoor recreation areas is a top priority in the 2018 SCORP. Population growth and urbanization increase the demand for recreation areas and place more pressure on resources. Additionally, naturally occurring events exacerbated by human activities, such as wildfire, flooding, erosion, and the spread of invasive species, increase the need for stewardship of resources. Conservation efforts should include consulting with tribes on public land projects early and often to identify potential issues and mitigation measures that may be needed.

In addition, today's youth are spending less time outdoors in part due to dependence on technology. Although this lack of early exposure to nature can lead to reduced environmental ethics and outdoor recreation experience, technology is here to stay. Opportunities to engage youth in outdoor activities need to integrate these two areas in order to grow the next generation of outdoor recreation enthusiasts. Outdoor recreation providers need to assess their marketing, education, and communication efforts to ensure that their messaging is reaching the intended audiences.

Solutions:

Arizona State Parks and Trails will conserve cultural and natural resources by 1) improving the user experience and economic development without compromising resources, and 2) fostering stewardship through education, awareness and engagement.

Issue 3 Social Equity

Description The National Recreation and Parks Association (NRPA) has identified conservation, social equity and health and wellness as the three key impacts of Parks and Recreation agencies across the nation, regardless of size or jurisdiction.

By providing parks and recreation opportunities that are accessible to all community members regardless of race, ethnicity, age, income level or ability, agencies contribute to social equity in communities, which leads to community cohesion, and reductions in crime.

Arizona's growing population is changing, becoming older and ethnically and culturally diversifying. These demographic trends may require changes in how outdoor recreation opportunities are provided and what facilities are necessary to meet the needs of changing populations. Further research needs to be completed to better understand the needs, barriers, and preferences pertaining to outdoor recreation. In addition, available funds need to be funneled to underserved communities to ensure fair & equitable access to recreation resources.

Solutions:

Arizona State Parks and Trails will address issues of social equity by: 1) seeking to understand the needs of diverse user groups and 2) attempting to increase diversity in the workforce.

Issue 4 Thriving Individuals and Communities

Description The National Recreation and Parks Association (NRPA) has identified conservation, social equity and health and wellness as the three key impacts of Parks and Recreation agencies across the nation, regardless of size or jurisdiction.

Through affordable and accessible programs, and the operation and maintenance of spaces to engage in outdoor recreation, these agencies contribute to the health and wellness of citizens and visitors.

Because these health benefits extend beyond the individual and also contribute to healthy, integrated, engaged, economically vital communities, this pillar was changed to "Thriving Individuals and Communities".

Solutions:

Arizona State Parks and Trails will promote thriving individuals and communities by developing and nurturing connections between individuals, parks, and communities.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To report number of breakthrough projects achieved (FY17 & FY18 Arizona Management System goal).

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of breakthrough projects achieved.	1	1	1	1	0

Program Summary

PARK DEVELOPMENT AND OPERATION

Bonnie Sposato, Strategic Planner
Phone: (602) 542-6931
A.R.S. §§ 41-511 et. seq.

Mission:

To conserve Arizona's natural and cultural resources and provide enjoyable, safe, and sustainable outdoor recreation opportunities that educate and inspire current and future generations.

Description:

Arizona State Parks and Trails (ASPT) protects and preserves 35 State Parks and Natural Areas. The agency also includes the State Trails Program, outdoor-related Grants Program, statewide outdoor recreation planning, the State Historic Preservation Office, and and Off-Highway Vehicle Program. ASPT not only promotes physical, spiritual and mental health and wellness within our Arizona communities, we help drive the economy, enhance and protect local communities and cultures.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	13,919.0	16,982.8	16,982.8
Other Non Appropriated Funds	3,991.0	2,421.4	2,421.4
Total Funding	**17,910.0**	**19,404.2**	**19,404.2**
FTE Positions	**163.0**	**210.0**	**210.0**

- **Goal** 1 To increase visitation by in FY20 to 3,235,171.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Increase visitation to 3,235,171 in FY20.	3,189,830	3,231,164	3219492	3235171	0

- **Goal** 2 To increase diversity in the workforce.

- **Goal** 3 To ensure strategic and responsible investment in resources and to promote growth.

- **Goal** 4 To improve the user experience and economic development without compromising resources.

- **Goal** 5 To develop and nurture the connections between parks and communities.

- **Goal** 6 To optimize park and trail system vitality.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent (%) project progress against scheulde (master plan update)	0	0	0	90	0
Percent (%) project progress against schedule - (standardized project management process)	0	0	0	90	0

- **Goal** 7 To maximize financial sustainability and revenue growth

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
To increase agency revenues to $21,651,402 in FY20.	20,362,172	21,239,543	21035863	21351402	0
Percent (%) Project progress against schedule to complete financial analysis defining "cost per widget" by park	0	0	0	90	0

Program Summary

PARTNERSHIPS AND GRANTS

Bonnie Sposato, Strategic Planner
Phone: (602) 542-6931
A.R.S. §§ 41-511 et. seq.

Mission:

To conserve Arizona's natural and cultural resources and provide enjoyable, safe, and sustainable outdoor recreation opportunities that educate and inspire current and future generations.

Description:

Arizona State Parks and Trails (ASPT) protects and preserves 35 State Parks and Natural Areas. The agency also includes the State Trails Program, outdoor related Grants Programs, statewide outdoor recreation planning, the State Historic Preservation Office, and Off-Highway Vehicle Program. ASPT not only promotes physical, spiritual and mental health and wellness within our Arizona communities, we help drive the economy, enhance and protect local communities and cultures.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	4,710.0	8,914.5	8,914.5
Total Funding	**4,710.0**	**8,914.5**	**8,914.5**
FTE Positions	**19.0**	**14.0**	**14.0**

- **Goal** 1 To track SHPO correspondence and meet state and federal requirements.

- **Goal** 2 To report the percent of agency services available online

- **Goal** 3 To increase diversity in the workforce and visitors.

- **Goal** 4 To develop and nurture the connections between parks and communities.

- **Goal** 5 To improve the user experience and economic development without compromising resources.

- **Goal** 6 To grow new, and leverage existing key partnerships to maximize ROI

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number (#) of National Park Service Partnership Plans	0	0	0	3	0
Dollars ($) donated from partners	0	0	0	1000000	0

Program Summary

ADMINISTRATION

Bonnie Sposato, Strategic Planner
Phone: (602) 542-6931
A.R.S. §§ 41-511 et. seq.

Mission:

To conserve Arizona's natural and cultural resources and provide enjoyable, safe, and sustainable outdoor recreation opportunities that educate and inspire current and future generations.

Description:

Arizona State Parks and Trails (ASPT) protects and preserves 35 State Parks and Natural Areas. The agency also includes the State Trails Program, outdoor related Grants Programs, statewide outdoor recreation planning, the State Historic Preservation Office, and Off-Highway Vehicle Program. ASPT not only promotes physical, spiritual and mental health and wellness within our Arizona communities, we help drive the economy, enhance and protect local communities and cultures.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	36.0	0.0	0.0
Other Non Appropriated Funds	4,304.0	8,322.3	8,322.3
Total Funding	**4,340.0**	**8,322.3**	**8,322.3**
FTE Positions	**61.0**	**63.0**	**63.0**

◆ **Goal** 1 To report the number of regrettable attrition

◆ **Goal** 2 To track number of Agency FTEs.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of FTEs at the end of the fiscal year.	233	250	243	250	0

◆ **Goal** 3 To track number of Agency breakthrough projects.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of breakthrough projects.	1	1	1	1	0

◆ **Goal** 4 To track the AMS implementation score.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
AMS implementation score.	4.5	4.5	4.5	5	0

◆ **Goal** 5 To create an environment to cultivate a highly engaged workforce

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total volunteer value ($-savings to FTE)	0	0	0	0	0
Number of vetted employee generated ideas fully implemented	0	0	0	25	0
Percent (%) Culture Plan Project progress against schedule	0	0	0	90	0
Percent (%) Visitor Survey project progress against schedule	0	0	0	90	0
Number (#) Park hosted new porgram, community outreach or events	0	0	0	6	0

Agency Summary

STATE PERSONNEL BOARD

Robin Van Staeyen, Executive Director
Phone: (602) 542-3888
A.R.S. §§ 41-781, 41-782, 41-783 and 38-531 et seq.

Mission:

To provide an efficient and impartial hearing process while carrying out the Board's statutory mandate to hear and review disciplinary appeals and whistleblower complaints filed by covered State employees, former State employees, and other individuals referenced in statute.

Description:

The State Personnel Board is responsible for hearing and reviewing, via an administrative hearing process, appeals filed by covered State employees who have been dismissed from State service, suspended for more than 80 working hours, or involuntarily demoted resulting from disciplinary action. The Board also hears and reviews complaints filed under the whistleblower statute. Under the direction of the presiding hearing officer, the proceedings are conducted on an informal basis through the taking of direct testimony, the cross examination of witnesses, and the admission of evidence. A record of the proceedings is taken and made available, upon request, to hearing officers, board members, and parties to the appeal. The hearing officer determines the facts based on the evidence presented and makes a recommendation regarding discipline to the Board. Board members are subsequently provided with case information so they may determine whether proper discipline has been imposed.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	141.6	368.1	368.1
Other Non Appropriated Funds	273.6	132.0	132.0
Total Funding	**415.2**	**500.1**	**500.1**
FTE Positions	**3.0**	**3.0**	**3.0**

5 Year Plan

Issue 1 Fair, impartial, and expeditious hearing process

Description The State Personnel Board is responsible for hearing and reviewing, via an administrative hearing process, appeals filed by covered state employees who have been dismissed from covered state service, suspended for more than 80 working hours, or involuntarily demoted resulting from disciplinary action. The Board also hears and reviews complaints filed under the whistleblower statute. Under the direction of the presiding hearing officer, the proceedings are conducted on an informal basis through the taking of direct testimony, the cross examination of witnesses, and the admission of evidence.

Solutions:

The Board finds that the statutorial timeframe of thirty (30) days for holding a hearing for an appeal or complaint from the date it is filed is unrealistic. Therefore, in an attempt to limit continuances so appeals and complaints are completed as expeditiously as possible, the Board is considering changing the statute to add additional time to allow for the parties to prepare for the hearing and to also consider the parties' input for scheduling the date of the hearing. Once statute is changed it is more likely that the Board will meet the objective of expediting the process with less continuances.

Currently, the stakeholders are only provided a survey after a case has gone to hearing in order to ascertain deficiencies in the hearing process and make improvements. However, many cases are dismissed and never reach the hearing process; therefore, there is valuable input lost as to the services that were or perhaps were not provided to the stakeholders even without a hearing. The Board is in the process of posting a survey on their website that can be prepared and submitted to the Board at any phase of the process so all aspects of service provided to stakeholders can be collected and evaluated for potential improvements.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	2.0	2.0	2.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	325.9	325.9	325.9
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To provide state agencies and employees/citizens with a fair and efficient administrative hearing process.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of appeals/complaints filed	10	10	7	10	10
Hearing days	0	10	2.5	5	5
Average days from receipt of an appeal/complaint until the Board issues a final order	83	115	69	115	115
Average cost of an appeal/complaint (dollars)	1,882	1,500	3,667	2,000	2,000

◆ **Goal** 2 To ensure customer/client satisfaction with process.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of cases appealed to Superior Court	1	1	1	1	1
Number of cases remanded from court	1	1	0	1	1
Percent of customers rating overall hearing process as good to excellent	0	98	0	98	98

◆ **Goal** 3 To continuously implement changes that will increase effectiveness and internal capacity to deliver services.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of training classes attended by staff	4	5	12	5	5

Agency Summary

BOARD OF PHARMACY

Kam Gandhi, Executive Director
Phone: (602) 771-2740
A.R.S. §§ 32-1902 and 32-1904 et seq.

Mission:

To protect the health, safety, and welfare of the citizens of Arizona by regulating the practice of pharmacy and the distribution, sale, and storage of prescription medications and devices and non-prescription medications.

Description:

The Board of Pharmacy has four primary functions. The first is to issue licenses to pharmacists, pharmacy interns, and pharmacy technicians. Additionally, it is responsible for issuing permits to pharmacies, manufacturers, wholesalers, and distributors. The Board also conducts compliance inspections of permitted facilities and investigates complaints and adjudicates violations of applicable State and federal laws and rules. The Board promulgates and reviews State rules and regulations in regard to the industry. The Board oversees the Controlled Substance Prescription Monitoring Program (CSPMP), which is a tool that enables practitioners to prescribe appropriately.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,113.7	2,665.3	2,775.2
Other Non Appropriated Funds	2,336.7	2,473.1	2,473.1
Total Funding	**4,450.4**	**5,138.4**	**5,248.3**
FTE Positions	**25.0**	**30.4**	**31.4**

5 Year Plan

Issue 1 Drug Supply Chain Securities Act (DSCSA)

Description All product via prescription grade or OTC should be trackable and traceable. This process will require ASBP to revisit exisiting language to mirror federal quidelines. The ulitimate goal is to eliminate counterfeit drugs from entering the supply chain.

Solutions:

More detailed inspections monitoring accurate records.
Authority to visit and inspect location that are not currently permitted through ASBP
Ensure permitted locations are only doing business with permitted locations.

Issue 2 Growth and modernization of sterile drug compounding pharmacies without oversight from the U.S. Food and Drug Administration. Epidemic situation with Controlled Substance Abuse. Making the CSPMP database the best in the inductry to help with the opioid over use situation.

Description Operated by licensed pharmacists, compounding pharmacies are regulated by State Boards of Pharmacy and are not regulated by the U.S. Food and Drug administration (FDA) as they are not viewed as drug manufacturers under federal law. Compounding pharmacies have modernized since most compliance officers graduated. Specialized training is required to fulfill the mission of the Board and protect the health, safety and welfare of Arizona consumers. Compounding pharmacies produce and distribute sterile drugs including injectable steroids, eye drops, etc. If compounding is performed incorrectly, contamination can occur which can lead to serious health risks for consumers. Disease outbreaks due to contamination have made headlines in recent years across the country, including a fungal meningitis outbreak in 2012 that sickened 680 people and was linked to injectable steroid medication produced by a compounding pharmacy in Massachusetts.

Prescription controlled substance abuse has become a national epidemic. Ninety % plus of the controlled substances prescibed and use takes place in the United States.

Solutions:

1.Provide compliance officers with specialized training in modern compounding practices in order to effectively monitor and regulate sterile drug compounding.

2.Engage with the National Association of Boards of Pharmacy to support federal legislation requiring compounding permits for compounders who wish to practice outside the scope of traditional pharmacy practice.

3. Educate prescribers on utilization of the controlled substance prescription monitoring program (CSPMP)

4. Encourage utlization of the CSPMP for better patient care.

5. Market/Educate/Train practitioners on the Mandate of using the CSPMP and the benefits to the patients.

6. Expand the ease of use of CSPMP by putting together a task force to have constant feedback on improvements to the CSPMP.

Issue 3 Continue the efforts on the Opioid Crisis

Description Opioid prescribing and dispensing has been identified to be the cause of many overdoses. The CSPMP database is designed to help make smarter decisions when prescribing and dispensing.

Solutions:

1. Add to the inspection process, utlization of the CSPMP by pharmacists.
2. Cooperate with law enforcement on investigations.
3. Cooperate with professional agencies on investigations.
4. Continue to educate and create awareness on the benefits of using the CSPMP

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To ensure that licenses and permits are only granted to US citizens/lawful residents who are competent applicants with high standards of professional and ethical conduct.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Disciplinary actions/100 Registered Pharmacists & Technicians	0.14	0.250	0.5	0.25	0.5
Complaints per 100 practitioners (Pharmacists & Technicians)	0.5	0.5	0.5	0.5	0.4
Continuing education seminars conducted for pharmacists	6	5	13	6	12
Quarterly writing and distributing newsletters to all interested parties by listserve. Subscription can be added or deleted online. Disciplinary actions required to be published by statute are also contained in each newsletter.	4	4	4	4	4
Conference calls	15	10	5	20	10
Pharmacy audits	10	10	5	5	5
Board Meetings	7	6	7	8	6
Miles Driven-Inspections	125,000	125,000	125,000	125,000	125000
Pharmacies-Inspections	1,475	1,350	1500	1,500	1500
Explanation: reduced staff for 1/2 of the fiscal year					
Compressed medical gas suppliers & distributors-Inspections	25	10	100	150	150
Manufacturer-Inspections	46	40	50	50	60
Non-Prescription Drug Permit-Inspections	5,156	3,400	3400	0	0
Wholesaler-Inspections	118	140	130	130	130
Re-inspections	225	100	250	250	250
Total number of inspections conducted	7,045	5,000	5430	2080	2090

◆ **Goal** 2 To maintain a comprehensive electronic Controlled Substance Prescription Monitoring Program.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Use prescription monitoring program fund to maintain and improve prescription monitoring program approved by legislature in 2007. In 2017 CSPMP underwent a State Wide Integration process. This will allow all practitioners and dispensers to readily retrieve patient CSPMP profiles.	1,104,500	1,200,000	1,580,500	1,580,500	1,580,500
Explanation: Maintain and Improve the prescription monitoring program					
Length of time in hours required to provide reports pertaining to suspect activity to requestor (practitioner, law enforcement agency).	2,500	2,500	2,500	2,500	2,500
About how many licensed PRESCRIBERS were there?	34,586	31,500	27417	27500	27500
About how may licensed/permitted DISPENSERS were there?	7,438	6,000	5717	5700	5700
for PRESCRIBERS: How many solicited reports were produced?	3,000,000	3,000,000	3,473,892	3,400,000	3,400,000
For PRESCRIBERS: How many unsolicited reports were produced?	2,500	2,500	81,227	82,000	82,000
for DISPENSERS: How many solicited reports were produced?	1,500,000	1,500,000	4,653,062	4,700,000	4.700.000
for DISPENSERS: How many unsolicited reports were produced?	0	0	0	0	0
For Law Enforcement INVESTIGATIONS OR COMPLAINTS: How many solicited reports were produced?	3,500	3,500	1685	1700	1700
For Law Enforcement INVESTIGATIONS OR COMPLAINTS: How many unsolicited reports were produced?	75	30	0	0	0
For Professional Licensing Board INVESTIGATION OR COMPLAINTS: How many solicited reports were produced?	500	700	1138	1200	1200
For Professional Licensing Board INVESTIGATIONS OR COMPLAINTS: How many unsolicited reports were produced?	0	50	0	0	0

Agency Summary

BOARD OF PHYSICAL THERAPY EXAMINERS

Karen Donahue PT, DPT, Executive Director
Phone: (602) 274-1361
A.R.S. § 32-2001

Mission:

To process applications for licensure as a physical therapist and certification as a physical therapist assistant, and to enforce the statutory provisions of the Arizona Physical Therapy Practice Act for purposes of protecting the health, safety, and welfare of the public from the incompetent, unethical, and/or illegal practice of physical therapy.

Description:

The Board of Physical Therapy Examiners licenses physical therapists, certifies physical therapist assistants, registers physical therapy business entities, investigates and adjudicates complaints, assesses continuing competence, and enforces the standards of practice for the physical therapy profession. The Board also regulates business entities that provide physical therapy services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	419.1	503.7	520.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**419.1**	**503.7**	**520.2**
FTE Positions	**4.0**	**4.0**	**4.0**

5 Year Plan

Issue 1 1.Establish the mechanisms for assessing continuing professional competence of physical therapists to engage in the practice of physical therapy and the competence of physical therapist assistants to work in the field of physical therapy.

Description a.The Board of physical therapy currently requires licensed physical therapist to complete 20 contact hours of continuing competence activities during each compliance period. The compliance period is two years in length, beginning September 1 of an even numbered year and ending August 31 of the next even numbered year.
b.Certified physical therapist assistants currently have 10 contact hour continuing competence activity requirement.

Solutions:

A.The earliest implementation of changes to continuing competence activities requirements would be in the 2020 renewal cycle. The rules were approved in April 2019.

Issue 2 2.Regulate the practice of physical therapy by interpreting and enforcing this chapter.

Description a.The Board received between 50 and 70 complaints per year.
b.The Board currently maintains a 1 FTE to investigate all complaints received against physical therapists, physical therapist assistants, and business entities.
C.The Board has seen an increase in the number of complaints filed beginning in 2009 as well as an increase in the complexity of the cases. However, in 2016 we saw a decrease in the number of complaints filed. We will be tracking these figures and monitoring the numbers. The Board believes its efforts at education of students, licensees and certificate holders is contributing to a reduction of cases being forwarded to the Board.

Solutions:
2.The Board has evaluated its current investigative resources and identified a lack of time and manpower as the greatest contributor to recent back logs in adjudicating complaints.

The Board has seen marked improvement in investigations completeness time frames. However, a backlog of formal hearings remains. The Board has requested an increased its ISA for a AAG designated to the Board of Physical Therapy. However, the Board's transition to an eLicensing solution has consumed much more staff time than anticipated. In addition, the Board experienced an unexpected vacancy in the Executive Director position, which has impacted the Formal Hearing backlog.

Issue 3 3.Evaluate the qualifications of applicants for licensure and certification; and provide for national examinations for physical therapists and physical therapist assistants and adopt passing scores for these examinations.

Description a.The Board has seen an increase in the number of application filed in any calendar year from 500 in 2009 to 800+ in 2018. In addition, the number of physical therapists renewing active licenses increased by over 800 from 2012 to 2018. Physical therapist assistant renewals increased by over 500.
b.The national examinations for physical therapist and physical therapist assistants have been changed from tests given on a continuous basis on almost every day of the year to tests provided only four times each per year.

Solutions:
3.The Board physical therapy is currently addressing the need for improved processes for the increased number of applicants and the change in their availability of national tests.
A. On March 15, 2012, changes in the timing of allowing applicants to attempt passage of their national examinations were signed into law. A.R.S. §32-2024 was modified to allow applicants to test for their national examinations before completing their full educational programs, which allows increased options in taking one or more of the four tests allowed per year. The average time awaiting licensure from the time it is administratively complete dropped to 1 days in FY 2017.
C. The Board acquired e-Licensing software solution to better increase consumer access to Board services online, receive payments online, and process services such as applications online.
D. In May of 2018, the Board launched its new eLicensing with promising results, initially. In July 2018, the system experienced multiple performance problems and coding issues. The vendor has reengaged in an effort to stabilize the system and fix the coding problems. However, the impact on the 2018 renewal cycle from July 1, 2018 to August 31, 2018 has been extremely damaging to Board operations and is forcing the Board to extend the renewal process past the deadline. The Board believes once the system is stable and has the coding corrected it will be a viable solution for the foreseeable future. However, future funding requests to enhance the system will be delayed until at least FY 2021 to ensure additional funds are not spent on an unstable system.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	4.0	4.0	4.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	538.6	538.6	538.6
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To efficiently process licensure and certification applications.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of physical therapist licenses or physical therapist assistant certificates issued within the required time frames to eligible applicants.	100	100	100	100	100

Explanation: Agency complies with A.A.C. R4-24-209, Time Frames for applications.

Number of new licenses or certificates issued	654	700	654	700	750
Average time, in calendar days, between receipt of completed application to issuance or denial of licensure or certification.	5	6	10	6	5

Explanation: Agency tracks number of days in substantive review time frame for application (number of days from completion until Board action).

Number of licenses/certificates denied.	0	2	2	2	2

Explanation: Agency tracks and reports number of applications denied.

Number of licenses/certificates renewed	0	6,334	6,524	0	6,990

Explanation: The renewal cycle occurs every other year, in odd-numbered fiscal years. FY 2018 and 2020 are not renewal years.

Number of applications received	878	900	857	890	910
Percent of Board meetings conducted within appropriate time frames	100	100	100	100	100

Explanation: Agency schedules and conducts Board meetings in order to comply with administrative rules for substantive review for applications, as well as for internal policies addressing complaint initial reviews and hearings.

◆ **Goal** 2 To investigate and adjudicate complaints in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of complaints investigated	100	100	100	100	100
Explanation: Percent of complaints over which the Board has jurisdiction investigated.					
Percent of unlawful practice investigations over which the Board has jurisdiction investigated.	100	100	100	100	100
Explanation: Percent of unlawful practice investigations over which the Board has jurisdiction investigated.					
Total number of complaints received	40	70	59	65	70
Explanation: Total number of complaints received.					
Total number of disciplinary actions issued	18	25	24	28	32
Explanation: Total number of disciplinary actions issued.					
Number of licenses suspended/revoked/voluntarily surrendered	5	5	5	5	5
Explanation: Number of licenses suspended/revoked/voluntarily revoked					
Total number of unlawful practice investigations received by the Board for investigation	0	10	12	0	15
Explanation: Total number of unlawful practice investigations received by the Board for investigation					

◆ **Goal** 3 To provide accurate information, with the highest quality customer service, to all requests from citizens, licensees, health care organizations, and public agencies for public records information and license verifications.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of requests for license verifications processed and issued within 15 days of receipt	100	100	100	100	100
Explanation: Board staff prepares licensure verifications a designated day every week to minimize the wait time for the requestor.					
Number of formal verifications of licensure prepared and issued.	608	600	708	800	900
Explanation: Board staff tracks and reports the number of requests received.					
Number of written requests for public records received.	0	70	24	30	40
Explanation: Agency tracks and reports the number of public records requests filed.					
Average number of business days to process written requests for public records	0	7	7	7	7
Explanation: Agency tracks and reports the number of days required to process requests for copies of the public record.					
To achieve an average score of 6.0 on a scale of 0 to 8.0 on the agency's customer satisfaction survey.	7	7	7	7	7
Explanation: Customer satisfaction survey.					

◆ **Goal** 4 To assess the continuing competence (continuing education) of physical therapist licensees and physical therapist assistant certificate holders selected through random audit.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of physical therapist licensees whose continuing competence records were successfully audited by the Board for compliance.	0	5	1	0	5

Explanation: Percent of physical therapist licensees whose continuing competence records were successfully audited by the Board for compliance.

Percent of continuing competence audit notices sent within 60 calendar days following the license renewal deadline. The audit is done every two years following renewal. Some years will have no results.	0	100	100	0	100

Explanation: Percent of continuing competence audit notices sent within 60 calendar days following the license renewal deadline

Agency Summary

ARIZONA PIONEERS' HOME

Ted Ihrman RN, Superintendent
Phone: (928) 445-2181
A.R.S. § 41-921

Mission:

To provide a home for Arizona pioneers and disabled miners that delivers the optimal physical, emotional, and spiritual care in a homelike and compassionate environment. Quality of care is provided in a professional manner, protecting dignity and honoring the personal directives of each resident in life as well as death while considering the uniqueness of each individual.

Description:

The Arizona Pioneers' Home was established in 1909 by the territorial government of Arizona as a home for the aged and infirm to repay the faithful and longtime Arizona residents who helped pioneer and build the state. It opened its doors in 1911. In 1929, the scope of the home was broadened to serve also as Arizona's hospital for disabled miners. The Arizona Pioneers' Home is a continuing care retirement home that serves 105 Arizona pioneers and disabled miners. Pioneers' Home employees provide direct nursing care, food service, activities, social services, housekeeping, laundry, maintenance, and business and administrative services and support to the residents, and strive to meet Department of Health Services residential facilities licensing standards through modeling best practices. The Home is surveyed periodically by the Department of Health Services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	7,317.0	6,574.2	7,214.2
Other Non Appropriated Funds	58.0	0.0	0.0
Total Funding	**7,375.0**	**6,574.2**	**7,214.2**
FTE Positions	**106.3**	**106.3**	**106.3**

5 Year Plan

Issue 1 To enhance the internal and external restoration and décor of the Home to maintain its historic presence and functional lifetime.

Description Much of the Home's historic building is over 101 years old requiring continuous maintenance.

Solutions:
Beginning in FY2019 and continuing through FY2021 the Pioneers' Home will improve the physical structure and plant operations by upgrading exterior windows and doors, remodeling resident restrooms, upgrading emergency monitoring systems and improving drainage systems at the cemetery.

Issue 2 Challenges in increasing the proportion of resident admissions from counties other than Maricopa and Yavapai counties.

Description The Arizona Pioneers' Home has, over the years, had a disproportionate number of residents from Yavapai County applying for and being admitted to the Home. This is partially due to many Arizona residents retiring to Yavapai County prior to admission as well as the many active mines in the county. The Home actively seeks opportunities to increase awareness of and admissions to the Home to residents of the state residing in counties other than Maricopa and Yavapai.

Solutions:
The Pioneers Home will increase our community outreach to include additional residents from outside Yavapai and Maricopa Counties. Specifically, we will partner with the Area Agency on Aging and Councils of Government to provide information on the benefits and admission process for the Arizona Pioneers' Home.

Issue 3 Meet requirments of the Arizona Department of Health Services and obtain licensure as an Assisted Living Center.

Description SB 1038 struck exemption for licnesure for the Pioneers' Home. The Pioneers' Home is actively incorporating new policies, increasing staff training and incorporating many changes to meet the requirements for licensure under DHS.

Solutions:
1. Review all policies and change as needed to meet DHS rules.
2. Nearly all nursing assistants will require addition training and certification to meet the requirments as a Certified Caregiver which is required under DHS rules.
3. Staff training across all department to make employees aware of new rules and need to comply with such.
4. Significant changes are required to the physical plant requiring additional nurse call systems, wandering management system, fire system upgrades and more.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	103.0	103.0	103.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	700.0	7,000.0	7,000.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To achieve licensure. Senate Bill 1038 struck exemption for licensure for the Arizona Pioneers' Home. Goal 1 is to implement all requiremnts for licensure as an assisted living center under the Arizona Department of Health Services.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Receive license as an Assisted Living Center under DHS.	0	0	0	1	0
Residents rating of good or excellent (percent)	0	99	98	98	98

◆ **Goal** 2 To maintain the efficacy of services provided in the most cost conscious manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average census	104	106	90	95	95

Agency Summary

BOARD OF PODIATRY EXAMINERS

Heather Broaddus, Executive Director
Phone: (602) 542-8151
A.R.S. § 32-801 et seq.

Mission:

To protect the health, safety, and welfare of the citizens of Arizona by regulating and maintaining standards of practice in the field of podiatric medicine.

Description:

The State Board of Podiatry Examiners licenses and regulates doctors of podiatric medicine who practice in the diagnosis and treatment of the foot, ankle, and lower leg. The Board evaluates the professional competence of podiatrists seeking to be licensed in the State of Arizona. Further, the Board investigates complaints made against practitioners, holds hearings, monitors the activities of its licensees, and enforces the standards of practice for the podiatric profession as set forth by law.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	127.0	168.1	168.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**127.0**	**168.1**	**168.1**
FTE Positions	**1.0**	**1.0**	**1.0**

5 Year Plan

Issue 1 Seek rule moratorium exemption to amend fees to better support board operations.

Description Fees are set by statute and promulgated in rule. The Board has room under its statutory authority to increase the fees for licensing.

Solutions:
The Executive Director has submitted an exemption request to the rule-making moratorium to the Governor's Office to increase the annual renewal fee.

Issue 2 Seek opportunities to update/amend the Board's statutes and rules through either legislation or rule making.

Description The current statutes and rules are dated and there are several areas where improvement is needed.

Solutions:
The Executive Director has submitted an exemption request to the rule-making moratorium to the Governor's Office

Issue 3 Seek to improve the new eLicensing database without expending excessive funds.

Description The Board of Podiatry Examiners currently has a new eLicensing database (established May 2018). The database has deficiencies such as it is not capable of printing documents that look professional. Cost continues to be an issue with the system which impacts the Board's fund and in turn, the Board's constituents.

ADOA/ASET is not sufficiently staffed to support all the agencies that utilize the eLicense system.

Solutions:
The Board will continue to work alongside ADOA ASET, the vendor, and the other impacted Boards to identify how to implement a working eLicensing system that is a benefit to the state.

Issue 4 Digitization

Description Although Licensees and Applicants are able to apply for a new application or a renewal application through the eLicense system, the Board is not completely paperless. Digitization would improve the efficiency of the Board as well as decrease paper usage.

Solutions:
Research cost of digitization. Research state contracted vendors.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	1.0	1.0	1.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	168.1	168.1	168.1
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To ensure that licenses are granted or renewed to qualified podiatrists.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New licenses issued	40	45	26	40	40
Renewal licenses issued	439	444	415	449	449
Average overall timeframe to process initial application	0	0	25	25	25

◆ **Goal** 2 To effieciently investigate complaints pursuant to the Board's statutes and rules

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of complaints opened	33	30	25	27	30
Number of complaints resolved	31	30	20	25	25
Average number of calendar days to resolve a complaint	258	180	170	170	170

◆ **Goal** 3 To effectively and accurately respond to public record requests

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of written public information requests received	8	8	7	7	7

Agency Summary

COMMISSION FOR POSTSECONDARY EDUCATION

Dr. April Osborn, Executive Director
Phone: (602) 258-2435
A.R.S. § 15-1851

Mission:

To expand access to and increase success in postsecondary education for Arizonans.

Description:

The Arizona Commission for Postsecondary Education (ACPE) is composed of 16 commissioners, 14 of whom are appointed by the Governor. Commissioners represent public and private postsecondary education and its constituencies. Core responsibilities of the ACPE are related to student financial assistance programs, including administration of State grants, scholarships, forgivable loans, and the Arizona Family College Savings (529) Program. The Commission provides timely and effective communication and programs to help students and their families plan, transition, and succeed in postsecondary education. The Commission offers the single forum where all sectors of postsecondary education dialogue, collaborate, and problem-solve issues of common interest.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,646.8	1,680.9	1,680.9
Other Appropriated Funds	1,261.8	1,536.7	1,536.7
Other Non Appropriated Funds	1,626.0	1,692.0	1,692.0
Total Funding	**4,534.6**	**4,909.6**	**4,909.6**
FTE Positions	**7.3**	**7.3**	**7.3**

5 Year Plan

Issue 1 Student financial assistance dollars have been reduced and the scarcity of funding is impeding access and completion of postsecondary education for Arizonans.

Description Arizona's postsecondary students have been highly impacted since the great recession by a reduction in state student aid and the loss of all federal student aid passing through the state. Unfortunately, the Private Postsecondary Education Student Assistance Program has been on suspension since FY 2011. The Early Graduation Scholarship Grant was repealed in the 51st Special Legislative Session in 2014. The U.S. DOE's denial of Arizona's College Access Challenge Grant Maintenance of Effort Waiver request, the termination of federal LEAP and Special LEAP funding, along with a lack of funding for the recently amended 2017 Private Postsecondary Education Grant, all demonstrate the great need for increased financial aid program funding.

As the state's representative to the National Association of State Student Grant and Aid Programs, Commission staff recognize many states have experienced reductions, but few lost over 60% as experienced in Arizona. In FY 2018, $2.6M represented flow-through funds dedicated to student grants and scholarships. As compared to FY 2008 when the student financial assistance dollars were $7.5M. All Arizona students miss these financial aid dollars. The Commission staff members are dedicated to making sure each remaining dollar of student aid is available in a timely manner and that existing financial aid programs are well administered.

An important response of the Commission to the meager levels of state and federal student aid has been to heighten efforts to raise the awareness and participation in the Arizona Family College Savings (529) Program (AFCSP). This state-sponsored program provides investments where earnings grow tax-deferred and distributions are tax-free when used for qualified college expenses. Moreover, Arizona provides a state income tax deduction for 529 plan contributions of up to $2,000 for individual tax filers and up to $4,000 for married couples filing jointly. The AFCSP provides a great opportunity for families to prepare for college expenses and today holds $1.4B in assets under management. The following strategies under Goal 1 are designed to address the loss of financial aid for Arizona students.

Solutions:

Goal 1: Maximize student financial assistance available and support efforts to restore and increase student aid.

Strategy 1.1: Provide effective and efficient administration of the Arizona Leveraging Educational Assistance Partnership (AzLEAP).

1.Maintain administration similar to state and federal guidelines to provide consistency for both institutions and students.
2.Survey postsecondary institutions regarding effectiveness of administration.
3.Annually assess opportunities for continuous improvement of administrative processes.
4.Develop, test, and implement streamlined processes, as needed.
5.Develop and implement new AzLEAP procedures for auditing participating postsecondary institutions to ensure program compliance.
6.Prepare and distribute reports on students served by program to policy makers.

Performance Measures:

-Achieve 90% satisfaction with administration of program as evaluated by institutional constituencies annually.
-Document annually any opportunities for continuous improvement.
-Document the process improvements implemented, including the new audit, and describe administrative benefits.
-Complete and distribute an annual report to policy leaders informing them about participants and the benefits to the State.

Strategy 1.2: Ensure that the Arizona Teacher Student Loan Program, (formerly known as the Arizona Math, Science, Special Education Teacher Loan Forgiveness program or MSSE) is bringing about equity by attracting individuals into teaching preparation programs and alternative teaching certificate programs who will take on a mission of service in order to repay their loans in one of four ways: by teaching at a low-income school (60% Free and Reduced Lunch schools); by teaching math, science, or special education; by teaching in a rural school; or by teaching in a school located on an Indian Reservation.

1.Increase and improve the promotion of the Arizona Teacher Student Loan Program to better meet the State's needs for equity and elimination of the achievement gap for Arizona's low-income and minority children.
2.Seek to increase the appropriated funds for this program by $250,000 in order to begin to increase the teacher pipeline for math, science, special education subjects, for low-income, rural, and schools on tribal lands. This will secure an additional 30-40 individuals per year committed to teacher service in Arizona.

3.Identify ways to recruit and financially support individuals who are seeking teacher certification and are motivated, and will take steps in the school and the classroom to close the achievement gap for low-income and minority K-12 students.
4.Integrate the Arizona Teacher Student Loan Program (ATSLP) into the AzGrants website providing a simple application for student aid.
5.Market and promote to all Arizona students already enrolled in public and private teacher education programs for maximum exposure of these opportunities to eligible students.
6.Prepare an annual report describing student and institutional participants as well as teacher retention, loan forgiveness, and loan repayments.

Performance Measures:

-ATSL Program represents a cohesive forgivable loan program with achievable and measurable goals.
-Application process is simple for students and integrated into the AzGrants web portal to enable students to apply quickly and easily.
-Students apply, colleges certify eligibility, and funds are received in a timely manner contributing to the success of the program and its goals.
-Adequate numbers of eligible students apply and receive funds.
-An annual report to policy leaders is compiled and distributed including data regarding pre-service student participation, institutions participating, data on teacher service in shortage areas, and teacher retention data.

Strategy 1.3: Ensure the sustainability of the AzGrants.az.gov website and a secure web portal which supports access to state student grants, scholarships, forgivable loans, and additionally serves as the web portal for the exchange of sensitive data and reports with high schools for FAF$A Finish Line, College Application Campaign, and College Goal FAF$A Student Progress Reports.

1.Maintain AZGrants.az.gov, a public facing website providing links to financial aid options and resources.
2.Maintain a single secure web portal which accepts state student aid applications and is programmed to complete the back end administrative processes necessary to award student financial aid.
3.Portal provides high school staff and designated entities secure access to Student Progress Reports and individual FAFSA completion status data.
4.Portal provides financial aid professionals from postsecondary institutions across the state secure and user-friendly access for verification and certification of student eligibility for state financial aid.
5.Portal allows students to track the progress of their application.
6.Data is collected through the website regarding students and institutions to be used for reports and making data-rich policy decisions.

Performance Measures:

-Number of grants, scholarships, and loans issued annually.
-Number of reports with sensitive data transferred in a secure manner e.g. individual FAF$A Finish Line reports and Student Progress Reports.
-Website allows the Commission to support high schools with up to the minute data on FAFSA status reports enabling high school staff to target needs and aid the students in the completion of their application.
-Assessment of enhanced security provided through the portal.
-Allows compilation of annual reports for policy leaders describing characteristics of students, the institutions participating, as well as data from students regarding barriers and incentives to persistence to degree.

Strategy 1.4: Provide effective and efficient administration and oversight for the Arizona Family College Savings (529) Program (AFCSP).

1.Strategic use of a national-level investment consultant delivers program-specific data and analysis grounded in a national perspective to staff, Oversight Committee members, and Trustees (Commissioners) which enables them to guide the AFCSP and its products to a high level of quality with broad appeal.
2.Through on-going research and participation in professional development venues, Commission staff apprise Commissioners and Oversight Committee members of SEC, MSRB, federal regulations, and national 529 plan issues and trends.
3.Commission staff, Trustees, and Oversight Committee members use knowledge of best practices and other successful state models to improve Arizona 529 plan administration and offerings.
4.Maintain policies and procedures to ensure the interest of the state and the needs of Arizona residents are being met are in place.

5.Strive to continuously improve processes and procedures with appropriate documentation, development, and testing throughout the year.
6.Staff, in tandem with a public relations firm, develop and implement an on-going public awareness/marketing plan to inform and encourage Arizona families to prepare for the expenses of postsecondary education through a tax-advantaged 529 plan.
7.Commission staff provides measures of the success of the 529 plan, using various sources of data and program mission and goals.

Performance Measures:

-Program administration, operating procedures, and offering materials comply with regulatory and College Savings Plan Network standards, reflecting best practices of the industry.

Goal 1: Maximize student financial assistance available and support efforts to restore and increase student aid.

Strategy 1.1: Provide effective and efficient administration of the Arizona Leveraging Educational Assistance Partnership (AzLEAP).

1.Maintain administration similar to state and federal guidelines to provide consistency for both institutions and students.
2.Survey postsecondary institutions regarding effectiveness of administration.
3.Annually assess opportunities for continuous improvement of administrative processes.
4.Develop, test, and implement streamlined processes, as needed.
5.Develop and implement new AzLEAP procedures for auditing participating postsecondary institutions to ensure program compliance.
6.Prepare and distribute reports on students served by program to policy makers.

Performance Measures:

-Achieve 90% satisfaction with administration of program as evaluated by institutional constituencies annually.
-Document annually any opportunities for continuous improvement.
-Document the process improvements implemented, including the new audit, and describe administrative benefits.
-Complete and distribute an annual report to policy leaders informing them about participants and the benefits to the State.

Strategy 1.2:Ensure that the Arizona Teacher Student Loan Program, (formerly known as the Arizona Math, Science, Special Education Teacher Loan Forgiveness program or MSSE) is bringing about equity by attracting individuals into teaching preparation programs and alternative teaching certificate programs who will take on a mission of service in order to repay their loans in one of four ways: by teaching at a low-income school (60% Free and Reduced Lunch schools); by teaching math, science, or special education; by teaching in a rural school; or by teaching in a school located on an Indian Reservation.

1.Increase and improve the promotion of the Arizona Teacher Student Loan Program to better meet the State's needs for equity and elimination of the achievement gap for Arizona's low-income and minority children.
2.Seek to increase the appropriated funds for this program by $250,000 in order to begin to increase the teacher pipeline for math, science, special education subjects, for low-income, rural, and schools on tribal lands. This will secure an additional 30-40 individuals per year committed to teacher service in Arizona.
3.Identify ways to recruit and financially support individuals who are seeking teacher certification and are motivated, and will take steps in the school and the classroom to close the achievement gap for low-income and minority K-12 students.
4.Integrate the Arizona Teacher Student Loan Program (ATSLP) into the AzGrants website providing a simple application for student aid.
5.Market and promote to all Arizona students already enrolled in public and private teacher education programs for maximum exposure of these opportunities to eligible students.
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Performance Measures:

-ATSL Program represents a cohesive forgivable loan program with achievable and measurable goals.
-Application process is simple for students and integrated into the AzGrants web portal to enable students to apply quickly and easily.
-Students apply, colleges certify eligibility, and funds are received in a timely manner contributing to the success of the program and its goals.

-Adequate numbers of eligible students apply and receive funds.
-An annual report to policy leaders is compiled and distributed including data regarding pre-service student participation, institutions participating, data on teacher service in shortage areas, and teacher retention data.

Strategy 1.3: Ensure the sustainability of the AzGrants.az.gov website and a secure web portal which supports access to state student grants, scholarships, forgivable loans, and additionally serves as the web portal for the exchange of sensitive data and reports with high schools for FAF$A Finish Line, College Application Campaign, and College Goal FAF$A Student Progress Reports.

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4.Portal provides financial aid professionals from postsecondary institutions across the state secure and user-friendly access for verification and certification of student eligibility for state financial aid.
5.Portal allows students to track the progress of their application.
6.Data is collected through the website regarding students and institutions to be used for reports and making data-rich policy decisions.

Performance Measures:

-Number of grants, scholarships, and loans issued annually.
-Number of reports with sensitive data transferred in a secure manner e.g. individual FAF$A Finish Line reports and Student Progress Reports.
-Website allows the Commission to support high schools with up to the minute data on FAFSA status reports enabling high school staff to target needs and aid the students in the completion of their application.
-Assessment of enhanced security provided through the portal.
-Allows compilation of annual reports for policy leaders describing characteristics of students, the institutions participating, as well as data from students regarding barriers and incentives to persistence to degree.

Strategy 1.4: Provide effective and efficient administration and oversight for the Arizona Family College Savings (529) Program (AFCSP).

1.Strategic use of a national-level investment consultant delivers program-specific data and analysis grounded in a national perspective to staff, Oversight Committee members, and Trustees (Commissioners) which enables them to guide the AFCSP and its products to a high level of quality with broad appeal.
2.Through on-going research and participation in professional development venues, Commission staff apprise Commissioners and Oversight Committee members of SEC, MSRB, federal regulations, and national 529 plan issues and trends.
3.Commission staff, Trustees, and Oversight Committee members use knowledge of best practices and other successful state models to improve Arizona 529 plan administration and offerings.
4.Maintain policies and procedures to ensure the interest of the state and the needs of Arizona residents are being met are in place.
5.Strive to continuously improve processes and procedures with appropriate documentation, development, and testing throughout the year.
6.Staff, in tandem with a public relations firm, develop and implement an on-going public awareness/marketing plan to inform and encourage Arizona families to prepare for the expenses of postsecondary education through a tax-advantaged 529 plan.
7.Commission staff provides measures of the success of the 529 plan, using various sources of data and program mission and goals.

Performance Measures:

-Program administration, operating procedures, and offering materials comply with regulatory and College Savings Plan Network standards, reflecting best practices of the industry.
-Director and Executive Director attend national meetings, participate in professional organizations, and bring research, trend analysis, and best practices to the trustees, Oversight Committee, and administration of the AFCSP.
-AFCSP investment consultant, Capital Cities, provides ongoing industry expertise for issues of product and trend analysis, evaluation of program manager service, as well as advice on matters of legal and regulatory import.
-Director, along with investment consultant, holds monthly meetings with program manager, representatives, reviewing account growth, product offerings, marketing plans, the interests of the state, and ensuring program participant needs are being considered

as well as compliance with contract obligations.
-Quarterly management reports and investment consultant evaluations of each provider's benchmark performance are prepared and distributed among constituencies.
-Improved number or impact of outreach opportunities to improve the general public's knowledge of 529 plan benefits through public awareness efforts.
-Increased number of Arizona families participating in the AFCSP annually by a predetermined goal.
-Increased number of publications (digital or print) distributed, unique web visits, and social media engagement.

Strategy 1.5: Offer a quality college savings (529) program by maximizing the contribution of the AFCSP Oversight Committee.

1.ACPE Commissioners, as Trustees, determine approval of Oversight Committee created mission statement and goals.
2.Oversight Committee member expertise is maximized in areas of evaluation of program, knowledge of investment offerings, operations, and marketing.
3.Staff supports the Oversight Committee with requested research, highlights of operational changes or improvements, and measurements of activities against goals.
4.Oversight Committee is continually advised on industry regulations, trends and best practices by investment consulting firm at regular meetings and receives advice from investment consulting firm at decision points.
5.Effective Oversight Committee meetings take place five times per year to make recommendations to the Trustees; Trustees meet 4 times a year to make decisions.
6.Oversight Committee members continuously review program enhancements, evaluate investment offerings and performance results, and assess each program provider's efforts throughout the year in preparation for the annual provider review scoring process which informs the Trustees' decision-making regarding program manager contracts and AFCSP investment options.

Performance Measures:

- Mission, goals, and investment policies are developed, modified as needed, and used to direct program administration.
- Oversight Committee and Trustee meetings are held as scheduled, recorded minutes publicly posted, and periodically evaluated by participants for effectiveness.
- Outputs from the Oversight Committee meetings include recommendations to Trustees regarding:

•approval of mission statement and goals for the AFSCP Oversight Committee,
•decisions related to program product offerings that provide high quality, affordable investment options for Arizona families,
•decisions to renew or negotiate new program manager contracts with recommended financial institutions,
•decisions to amend or terminate current contracts, and
•decisions to hire, replace or terminate an investment consultant for the AFCSP.

Issue 2 Forty-six percent of Arizona K-12 students live at 200% of poverty or below and these students and families will benefit from information and support to take the necessary steps to enroll, finance, and complete a postsecondary education.

Description As compared to other states across the nation Arizona has:
(1)one of the lowest college-going rates with only 52.6% of the 2017 seniors enrolling in a postsecondary education experience leaving 33,812 students with no further education options, likewise
(2)one of the lowest college attainment rates with only 27.3% of a senior class (2011) graduating from a 2-year or 4-year postsecondary institution 6 years following high school graduation; and only
(3)44% of Arizonans complete some form of postsecondary education.

These outcomes coexist with the prediction from Anthony Carnevale's "Help Wanted: Projections of Jobs and Educational Requirements through 2018" published by Georgetown Public Policy Institute's Center on Education and the Workforce that 3 out of five jobs in Arizona, or 61%, will require some training beyond high school by 2018. No longer is high school graduation the finish line. Arizona must improve the education outcomes of our K-12 and postsecondary education systems in order to meet projected workforce and social capital needs.

College and Career Goal Arizona (C2GA) is a statewide initiative coordinated by the Arizona Commission for Postsecondary Education. It promotes partnerships with Title 1 high schools statewide to implement strategies designed to (1) increase the number of students making an application to a postsecondary education institution and (2) increase the number of seniors applying for and securing student financial aid, and (3) builds a sustainable college-going community to support future students' college dreams.

College and Career Goal Arizona (C2GA) includes the Arizona College Application and College Goal FAF$A Campaigns, along with FAF$A Finish Line Reports. The College and Career Goal Arizona Campaign promotes equity by providing a supported, cohort approach where high school staff and peer support together, take on the role played in middle class families by an experienced, college knowledgeable adult. The role of this family member includes informing, motivating, and even prodding students toward submitting, on time, a college application. In order to participate in the Arizona College Application Campaign (CAC), high school principals and counselors sign a pledge to dedicate time and space, generally over 1-3 days, when every student is provided computer time to complete at least one application for postsecondary education. High schools also agree to a goal of 100% participation.

More than 872,575 applications were filed in 50 states following this format last fall through the American College Application Campaign organized ACT's Center for Equity in Learning. Arizona mounted a very successful sixth year campaign with 70 high schools representing 21,661 seniors who participated in the 2018 CAC events.

College Goal FAF$A also provides cohort support for seniors to file the Free Application for Federal Student Aid (FAFSA). All high schools participating in the College Application Campaign were invited to join the College Goal FAF$A Campaign in 2018. Ninety-six high schools chose to put on 112 workshops while 165 high schools signed up to receive FAFSA Finish Line Reports. Over the past 22 years, the Arizona Commission for Postsecondary Education has coordinated the College Goal FAF$A program with the support and partnership of the Arizona Association of Student Financial Aid Administrators (AASFAA). As the program has expanded, members of the Arizona College Access Network (AzCAN) have also volunteered hundreds of hours in support of this statewide effort. An additional challenge present for College Goal FAF$A is the application requirement of collecting parental income information and one parent's signature on each student's FAFSA application. Successful FAFSA completion must be a family affair.
Implementing College and Career Goal Arizona programs in Title I high schools statewide is expected to increase the number of Arizona seniors who complete a college application and successfully file the FAFSA, which will result in an increased college-going rate in participating high schools. Moreover, the environment in these high schools and their communities will develop into a persistent college-going culture, supporting postsecondary education options for all graduates into the future.

Solutions:
Goal 2: Provide support from knowledgeable professionals and accurate and timely information to help students and families take the steps to enroll, finance, and succeed in postsecondary education.

Strategy 2.1: Establish College and Career Goal Arizona to develop and support a college-going community within Arizona high schools and communities where every high school senior is encouraged and expected to apply and seek financial assistance to support a postsecondary education

experience.

1.Promote the C²GA senior year initiative statewide.
2.Establish and develop relationships with key decision-makers and pertinent staff at Arizona postsecondary education institutions and high schools.
3.Encourage Community "buy-in" via three groups 1) ACPE Commissioners, 2) the 38 member College & Career Goal Arizona Advisory Committee, 3) and Achive60AZ Alliance.
4.Groups will assist in establishing partnerships and collaborations, identifying and securing funding, and recruiting volunteers.
5.Develop a Fundraising Partnership Plan inclusive of a case statement, goals, strategies, outcomes, and indicators for success.
6.Execute the College and Career Goal Arizona Fundraising/Partnership plan.
7.Adjust activities and outcomes to meet the budget.

Performance Measures:

-Key leadership supports the statewide initiative.
-Funding, collaborations, and partnerships provide desired assistance in specific areas of need for FY 2020, FY 2021, FY 2022, FY2023, and FY 2024.
-Increase the number and proportion of Arizona high school graduates going on to college over a four-year period of time.
-Increase the number and proportion of college-going high schools and communities in Arizona. Evidence demonstrates movement toward expectations that ALL students can benefit from and progress toward a postsecondary education experience.

Strategy 2.2: Coordinate the statewide College Application Campaign.

1.Secure external funding sources to implement program elements.
2.Develop marketing and public relations materials to invite high school administrators and counselors to participate in building a college-going community.
3.Identify and develop relevant web-based content rich materials for AzCAC website to support high schools, volunteers, and postsecondary institution personnel.
4.Mentor site coordinators via email, phone calls, digital resources and visits as needed.
5.Recruit high schools with a focus on Title 1 and rural.
6.Connect with non-profit volunteer organizations and college access organizations to share resources and collaborate.
7.Develop partnerships and collaborations with postsecondary institutions from all three sectors to ensure adequate support is provided for each of the participating high schools and staff.
8.Annually evaluate all aspects of the AzCAC program and make program changes accordingly.

Performance Measures:

-Program is adequately funded to support data analysis, high school giveaways, promotional materials, and evaluation.
-Increased number of high schools and seniors participating while retaining the focus on Title 1 and rural.
-Volunteer groups provide manpower for events at high schools.
-Postsecondary institution admissions and outreach professionals from all 3 sector attend high school events and provide expert advice for program success.
-Media and newspaper coverage promotes AzCAC and touts the outcomes.
-Data on program success is gathered through evaluations from all stakeholders and analyzed for program improvements to be implemented.
-Promote program success at all levels.
-Participating high schools will be invited to participate as a College Goal FAF$A high school.
-Increase the number and proportion of Arizona high school seniors who apply to a postsecondary education institution in the fall of their senior year.

Strategy 2.3: Coordinate the statewide College Goal FAF$A events.

1.Secure external funding sources to implement program elements.
2.Promote College Goal FAF$A events.
3.Curate and develop relevant, web-based, content rich materials which support the needs of high school personnel, volunteers, students, their families, as well as participating postsecondary institutions.
4.Coordinate and execute the on-going statewide College Goal FAF$A community events along with high school-based events to

assist college-bound seniors, their families, and returning adults in filing the Free Application for Federal Student Aid (FAFSA).
5.Mentor site coordinators via email, phone calls, digital resources and visits as needed.
6.In collaboration with the Arizona Association of Student Financial Aid Administrators (AASFAA) and the Arizona College Access Network (AzCAN), recruit more than 260 professionals from all sectors of postsecondary education to participate in College Goal FAF$A events.
7.Provide webinar-based College Goal FAF$A volunteer training for community members, alumni, neighborhood organizations and local businesses interested in supporting the high schools in their community.
8.Host an online calendar and registration site where community volunteers and financial aid experts can sign up to assist at high school and community FAFSA completion workshops.
9.Evaluate and analyze data from survey responses of site coordinators, volunteers and workshop experts, as well as family/student participants, to make improvements.

Performance Measures:

-Programs are adequately funded to support high school giveaways, promotional materials, and program evaluation.
-Increased number of College Goal FAF$A events held and well attended over prior year.
-Financial aid professionals and members of AASFAA and AzCAN support the program with their expert advice at both community sites and high school events.
-College and Career Goal Arizona Student Exit Reports indicate target audience is served and benefits are realized.
-Increased number of FAFSA's completed at participating high schools and community sites over prior year.
-Track growth and usage of online registration tool for FAFSA completion events.
-Increased number of digital resources distributed, webinar registration and attendance, and unique website visits over prior year.

Strategy 2.4: Provide student level FAFSA Completion data in the form of FAF$A Finish Line reports to participating secondary schools, Local Education Agencies, and designated entities for the purpose of increasing student FAFSA completion.

1.Commission secures written agreements with high schools, Local Education Agencies (LEAs), and designated agencies, following the U.S. Department of Education requirements.
2.Commission secures state appropriation for annual technology, web portal, upkeep and maintenance, and 1 FTE to work with high schools to access, utilize, and analyze FAFSA Finish Line reports.
3.Professional development and web-based support materials are provided for counselors and advisors to understand data and how they can assist seniors.
4.A secure portal is established and maintained by the Commission enabling high schools, LEAs, and designated entities to upload requests for informational reports every week with the goal of providing targeted assistance to students an improving FAFSA completion
5.Statewide, district, and individual high school FAFSA completion rates to be displayed in Arizona FAF$A Challenge dashboard.

Performance Measures:

-All contracted schools, LEAs, and designated entities receive both a manual and instruction about the use of the portal and reports.
-High schools act on information and specific knowledge to assist students to complete their FAFSA.
-High school personnel statewide become aware of the value of the
FAF$A Finish Line Completion reports and identify strategies to assist students in completion of individual FAFSA's.
-High schools and designated entities statewide see an increase in students FAFSA completions; thereby students obtain more funds for college attendance.
-Track the number of FAF$A Finish Line reports that are downloaded.

Strategy 2.5: Develop and promote the Arizona FAF$A Challenge among Arizona high schools in order to increase the FAFSA completion rate for the state and support a state-wide college-going initiative that will result in an educated workforce.

1.Secure funding for statewide marketing and promotion, website development, and on-going technology support.
2.Achieve a 52% FAFSA completion rate for the state gradually increasing the goal to 78% by year 2030.
3.High schools set a goal to increase their senior cohort FAFSA completion rate by at least 5% over the year prior.
4.Market and promote the AZ FAFSA completion dashboard and website statewide.
5.Encourage high schools to participate in AZ FAFSA challenges and promote friendly statewide competition through recognition for FAFSA completion rate growth and improvement.
6.Collaborate with partner organizations to promote the program and support the utilization of FAFSA completion data to improve

statewide rates.

Performance Measures:

-Track the number of FAF$A Finish Line agreements signed in order to measure the increase in program participation from the prior year.
-Count the number of participants enrolled in formal AZ FAFSA trainings- evaluate post webinar trainings for effectiveness and content covered.
-Track the number of completed FAFSA's for each year as a percentage of the statewide senior cohort.
-Prepare a website traffic report for FAFSACHALLENGE.AZ.GOV including the number of website visits, number of times forms and website content has been downloaded, pages viewed, time spent on individual web pages/content.
-Track social media activity promoting the AZ FAF$A Challenge and engagement (followers, retweets, posts etc.).

Strategy 2.6: Provide current and relevant web, social media, and print-based information on college-going and financial assistance for families and students.

1.Secure external funding sources.
2.Develop content/program elements.
3.Identify outreach/distribution methods using partnerships and collaborations.
4.Implement, maintain, and evaluate the publications and websites including the Arizona College and Career Guide and ACPE websites: highered.az.gov, collegegoal.az.gov, azgrants.az.gov, az529.gov, and fafsachallenge.az.gov.
5.Implement, maintain, and evaluate social media activity and engagement of College and Career Goal Arizona and the Arizona Family College Savings (529) programs.

Performance Measures:

-Funds are adequate to support each project.
-Number of visits per website, numbers of publication requests
-Constituency feedback regarding value of communication and information.
-Staffing is adequate to plan, maintain, and evaluate a quality product.
-Track social media activity and engagement of College and Career Goal Arizona and the Arizona Family College Savings (529) programs (followers, retweets, posts etc.)

Strategic Issue 3: Private and public postsecondary education sectors can enhance student success and leverage resources by working together.

The postsecondary education system in Arizona comprises 3 public universities, 10 community college districts, and more than 250 private universities, colleges, and technical or vocational schools. The membership of the Arizona Commission for Postsecondary Education has representation from these three sectors and two K-12 superintendents, and one individual from commerce and industry, all at the senior management level.

The composition of the Commission provides a unique opportunity for discussion, identification of problems and opportunities, and consideration of solutions from many perspectives. Commissioners benefit from the diverse perspectives among the group and gain a depth of knowledge about all sectors of postsecondary education. As described previously in this report, the Commission focuses its work in the areas of equity in postsecondary opportunity and efforts to assist in closing the gap in postsecondary education attainment for low-income and minority students. The Commission also seeks to strengthen relationships among all sectors of higher education, as well as encourage cooperation between all levels of education.

Issue 3 Private and public postsecondary education sectors can enhance student success and leverage resources by working together.

Description The postsecondary education system in Arizona comprises 3 public universities, 10 community college districts, and more than 250 private universities, colleges, technical, and vocational schools. The membership of the Arizona Commission for Postsecondary Education has representation from these three sectors and additionally two K-12 superintendents and one individual from commerce and industry, all at the senior management level.

The composition of the Commission provides a unique opportunity for discussion, identification of problems and opportunities, and consideration of solutions from many perspectives. Commissioners benefit from the diverse perspectives among the group and gain a depth of knowledge about all sectors of postsecondary education. Through its work described previously in this report in the areas of equity in postsecondary opportunity and efforts to assist in closing the gap in postsecondary education attainment for low-income and minority students. The Commission, through its work in these areas, seeks to strengthen relationships among all sectors of higher education, as well as encourage cooperation between levels of education.

Solutions:

Goal 3: Provide a forum where all sectors of postsecondary education dialogue, partner, and problem solve issues of mutual interest.

Strategy 3.1: Use the ACPE meetings, statewide programs, and conferences both to problem solve and identify opportunities that cross sectors of postsecondary education

1. Hold productive meetings at least four times per year. Host a Developing Arizona's Human Capital conference every other year.
2. Use expertise of Commissioners and constituents to identify areas of opportunity and problems.
3. Use sub-committee or collaborative task force structures to achieve the identified goals.
4. Promote work of these groups to capitalize on opportunities and solve problems.
5. Executive Director and staff participate in collaborative efforts whenever possible and contribute to joint efforts for improvement.
5. Evaluate outcomes of meetings, conferences, and revise plan annually.

Performance Measures:

-Commissioners rate meetings as effective in achieving goals.
-Areas of opportunity and problems are identified through conversation and interaction.
-Collaborative work groups are established with Commissioner participation and leadership to achieve solutions or engage opportunities.
-Plans are revised and adapted to meet changing needs.

Strategy 3.2: Encourage, lead, and participate in collaboration/partnerships to promote college access and success.

1.Seek avenues to encourage collaboration/partnerships that contribute to the ACPE mission, such as College and Career Goal Arizona Advisory Committee and the Arizona Family College Savings Program Oversight Committee, and lead these groups in a manner that maximizes community input and buy-in.
2.Participate and contribute to collaborative initiatives such as the Arizona College Access Network, the Arizona Career Leadership Network, GEAR UP, Expect More Arizona, Achieve60AZ, and the Governor's State Office of Education.
3.Review the effectiveness of existing initiative investments.
4.Share resources to assist in sustaining or initiating appropriate efforts.
5.Complete an annual review of these efforts and re-allocate personnel and resources as necessary.

Performance Measures:

- Number of collaboration/partnership investments.
- Assessment of contributions received and new contributors gained.
- Reallocation of resources based on evaluation.

Strategy 3.3: Initiate research through the Arizona Minority Education Policy Analysis Center (AMEPAC) that promotes equity and supports the closing of the achievement gap in order to accomplish the mission of ACPE.

1.Develop and support policy analysis center.
2.Use research to identify necessary initiatives and goals.
3.Identify research and infrastructure partners.
4.Disseminate and use research to promote policy change.

Performance Measures:

-Publish the Arizona Minority Student Progress report every two years to serve as a benchmark for progress and to analyze Arizona's success in closing the achievement gap over time.
-Take on issues or policy studies in between regular 2-year schedule.
-Track the number of studies produced that forward opportunity and best practices.
-ACPE staff sustain AMEPAC through leadership, infrastructure, and fundraising support.
-Research and its findings are promoted among the community.
-Identify the impact of the studies.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	6.0	6.0	6.0
General Fund	1,993.3	1,993.3	1,993.3
Other Appropriated Funds	1,536.7	1,536.7	1,536.7
Non-Appropriated Funds	1,524.0	1,524.0	1,524.0
Federal Funds	168.0	168.0	168.0

◆ **Goal** 1 To maximize student financial assistance available to students and families

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of LEAP student awardees	3,015	3,000	3,046	3,000	3,000
Number of Arizona Family College Savings Program accounts	81,346	83,500	84,324	86,000	88,500

◆ **Goal** 2 To provide accurate and timely information and support from knowledgeable professionals to help students and families plan for and succeed in postsecondary education

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Arizona College & Career Guides distributed	446	0	0	0	0
Number of Arizona College & Career Guide (ACCG) on-line visits	2,222	2,700	1,377	2,000	2,000
Attendees at College Goal Sunday	7,590	10,000	9,125	11,500	14,500

Explanation: Program has changed . College Goal Sunday is now College Goal FAFSA and has two workshop components.

College & Career Goal Arizona student and parent materials distributed	129,443	135,000	156,852	165,000	175,000

Explanation: *The College and Career Goal Arizona programs consist of the Arizona College Application Campaign and College Goal FAFSAand is a grant and sponsorship supported program that distributes materials to students/families through high schools and college access programs.

◆ **Goal** 3 To provide a forum where all sectors of postsecondary education dialogue, partner and problem solve issues of mutual interest

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of statewide committees or task forces collaboratively seeking solutions to issues in postsecondary education	2	2	0	2	0
Numbers of research studies published to examine issues of postsecondary access and success	1	1	1	1	1

Agency Summary

POWER AUTHORITY

Ed Gerak, Executive Director
Phone: (602) 368-4265
A.R.S. §§ 30-101 et seq.

Mission:

To responsibly administrate the Hoover Power allocation to the State of Arizona. In fulfilling this responsibility, the Power Authority strives to be an active leader in managing electric resources in a safe and environmentally prudent manner, and to provide active representation on behalf of the State of Arizona at federal, state, and local forums on issues that impact the public power community as a whole and that specifically involve Arizona and the Authority's power resources.

Description:

The Arizona Power Authority (APA) manages Arizona's allocation of hydroelectric power from the Hoover Dam for the overall benefit of the state. The APA cooperates with federal, state, and non-governmental agencies to address regulatory, environmental, and other matters that impact electric power and water uses of the Colorado River. In addition, the APA serves as an information resource for its customers on topics that impact their electric resources and the utilization of these resources. The Authority may also pursue generation and/or transmission projects that are within the APA's legislative mandate and are in the best interest of the state.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	22,081.0	23,098.0	23,098.0
Total Funding	**22,081.0**	**23,098.0**	**23,098.0**
FTE Positions	**7.0**	**7.0**	**7.0**

5 Year Plan

Issue 1 Costs of generation and transmission resources

Description Maintaining or reducing costs of generation and transmission resources.

Solutions:

To keep future power costs to a minimum, we will continue to analyze cost of service studies and other factors affecting the cost of power from Hoover Dam.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	7.0	7.0	7.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	23,098.0	23,098.0	23,098.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To analyze cost of service studies and other factors affecting the cost of power from Hoover Dam, in an effort to keep future power costs to a minimum.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Hoover annual revenue requirements (in thousands).	76,910	73,971	69,742	66,419	84,551

◆ **Goal** 2 To analyze and critically review the transmission system costs and other factors associated with the delivery of Hoover power.

◆ **Goal** 3 To ensure the Power Authority has the opportunity to coordinate and cooperate with Federal agencies to supply and deliver Hoover power to the Authority's customers in the State of Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Customers purchasing power from Arizona Power Authority	63	63	63	63	63

Agency Summary

STATE BOARD FOR PRIVATE POST-SECONDARY EDUCATION

Teri Stanfill, Executive Director
Phone: (602) 542-2399
A.R.S. §§ 32-3001 et seq.

Mission:

To protect the health, safety, and welfare of the public by regulating private postsecondary educational institutions and providing services to their students.

Description:

The Board for Private Postsecondary Education licenses and regulates 203 private postsecondary educational institutions that serve approximately 155,010 students annually. The Board determines compliance, investigates complaints and violations, and takes disciplinary action. The Board also administers the Student Tuition Recovery Fund, which provides financial restitution to students injured by private postsecondary institutional closures and provides students access to their educational records.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ LICENSING AND REGULATION	381.3	423.3	423.3
➢ STUDENT TUITION RECOVERY FUND	372.8	250.3	250.3
Agency Total:	**754.1**	**673.6**	**673.6**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	381.3	423.3	423.3
Other Non Appropriated Funds	372.8	250.3	250.3
Total Funding	**754.1**	**673.6**	**673.6**
FTE Positions	**5.0**	**5.0**	**5.0**

5 Year Plan

Issue 1 Maintaining effective and efficient regulation of the private postsecondary education sector.

Description The PPSE Board was established by the State Legislature in 1970 to license and regulate private institutions offering vocational and degree-granting programs. The programs offered by the private postsecondary educational institutions range from dog grooming to a Ph.D. im man fields, including Juris Doctorate and a Doctor of Dental Medicine. The programs are offered campus-based, online or a combination of both.

Solutions:

Strategies:

1.Improve and enhance the e-Licensing platform to streamline the licensing processes (renewals and all supplemental license applications for new programs, change of locations, change or owners or change of name) for both licensees and Board staff.

2. Pursue legislative changes to increase fees. The fund balance will continue to decline if action is not taken

3.Improve knowledge and breadth of understanding in the increasing complex federal regulations and accrediting standards.

4. Work with licensed institutions to improve policies and procedures to improve the operation of the institution and to the benefit of the students.

5. Continue to serve with the Community Colleges and the State University on the AZ-SARA Council.

Issue 2 Improve Rgulatory Rules and Processes

Description

The PPSE Board acts on new institutional applications, license renewals, new programs, changes/new locations and change of ownerships to determine compliance with statutes and rules.

The PPSE Board is a partner in the federal "Triad" in terms of oversight for the federal student loan program. The other partners include the U.S. Department of Education and the regional, national accrediting agencies.

Solutions:

Strategies:

1.Regular review of policies and procedures for improvement and efficiency.

2. Recurring assessment of regulatory knowledge for licensing and licensing of professionals.

3. Increase knowledge and breadth of understanding of increasing complex federal regulations and accrediting standards.

4. Keeping abreast of emerging trends in the postsecondary sector.

Issue 3 To improve the Student Complaint Process

Description The PPSE Board is responsible to protect consumers/students and to assist institutions through regulatory enforcement and processes that are reasonable, consistent, firm, fair and timely.

Solutions:

Strategies:

1. Require the institutions to respond to requests within a 10-day time period.

2. Encourage the students and licensed institutions to resolve the complaint amicably and fairly.

3.Continue to work with the licensed institutions to take corrective action to inequitable policies or to improve consumer protection.

Issue 4 Enhance the internal personnel structure and leadership capacity to respond to the growing complexity of the private postsecondary sector.

Description The PPSE Board demonstrates its commitment to the private postsecondary sector by supporting the success of students and licensed institutions. The PPSE Board also supports the evoving innovation for improving effectiveness and performance.

Solutions:

Strategies:

1.Improvement and enhancement to the e-Licensing platform.
2. Improved training and development of current staff.
3. Continue to provide prompt, courteous and professional services to all stakeholders and partners.

Performance Measures:

1. Number of new institutions, renewals and supplemental license applications licensed with the established timeframes.
2. Number of new institutions, renewals and supplemental license applicants.

Licensed outside of the established timeframes.

3. Number of students enrolled.
4. Number of adverse actions taken (remedial action required, additional reporting requirements and monitoring, higher surety bond).
5. Customer service satisfaction is above 90%.
6. Number of student complaints resolved/dismissed.
7. Number of student complaints resulting in disciplinary action.
8. Number of non-student complaints resolved/dismissed.
9. Number of non-student complaints resulting in disciplinary action.
10. Average number of days in investigating and adjudicating student complaints.
11. Average number of days in investigating and adjudicating non-student complaints.

Issue 5 To assist a closing institution in conducting a orderly closing and possible teach-out.

Description The PPSE Board administers the Student Tuition Recovery Fund. Through this program, the Board works with the closing institution to provide alternative options for students to continue their education at another institution. The PPSE Board provides assistance to the students who are currently enrolled and attended the closing/closed school.

Solutions:

Strategies:

1. Work with the closing institution to open communications with the currently enrolled students to inform the students of the available options.
2. Work with currently licensed institutions to provide available teach-out opportunities for the students in the closing institution.
3. Process Student Tuition Recovery Fund claims in a timely manner.

Issue 6 To collect and secure monies sufficient to provide for student financial restitution.

Description Throught the Student Tuition Recovery Fund, the PPS Board provides financial restituion to students who were currently enrolled at the time of a school closure and unable to transfer to another institution.

Solutions:

Strategies:

1. An assessment will continue for FY19 through FY2022 in order to maintain the $500,000 minimum STRF Requirements.
2.Require at-risk institutions to provide the State Board with electronic copies of student records.
3.Discuss legislative changes to increase the STRF to $1,000,000, revise the assessment calculation and require all institutions to pay the assessment.

Issue 7 To continue to provide students copies of their educational records in a timely manner

Description The PPSE Board takes possession of student educational records to futher their education or for verification of employment.

Solutions:

Strategies:

1. Secure student educational records from institutions that may be at risk.
2. Work with RMC in digitizing the currently housed student records.
3. Update the internal record keeping of the location of the student's educational records.
4. Require licensed institutions to maintain student records digitally to improve efficiency in retrieving student records information.

Performance Measures:

1. Student records are processed within 10 days of receipt.
2. Student tuition recovery claims are processed/approved within 90 days.
3. Responsible fiscal management.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

LICENSING AND REGULATION

Teri Stanfill, Executive Director
Phone: (602) 542-5709
A.R.S. §§ 32-3001 to 32-3058

Mission:

To protect the health, safety, and welfare of the public by regulating private postsecondary educational institutions and providing services to their students.

Description:

The Board licenses and regulates approximately 215 private postsecondary educational institutions, serving approximately 264,336 students annually. The Board acts on license applications, determines compliance, investigates complaints and violations, and takes disciplinary action.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	381.3	423.3	423.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**381.3**	**423.3**	**423.3**
FTE Positions	**4.0**	**4.0**	**4.0**

◆ **Goal** 1 To improve legal operations, ethical practices and quality education in the private postsecondary education sector through effective and improved reguilatory practices.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of institutions licensed	215	215	203	210	210
Total number of renewal licenses approved	210	210	243	210	210
Total number of Supplemental Licenses approved	215	200	286	250	250
Number of adverse actions taken (Higher bonds, reporting/monitoring required)	61	55	97	95	95
Number of annual inspections conducted	12	15	17	15	15
Number of students enrolled in private institutions	264,336	260,000	155,010	160,000	165,000
Number of licenses denied	1	0	1	0	0
Number of institutional closures	31	13	26	15	15

◆ **Goal** 2 To investigate and adjudicate complaints in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of annual student complaints investigated	11	10	5	10	10
Number of student complaints resolved/dismissed	10	8	3	8	8
Number of student complaints resulting in disciplinary action	0	2	1	2	2
Number of Student Complaints Pending	1	0	1	0	0
Number of non-student complaints investigated	9	10	5	10	10
Number of non-student complaints resolved	3	5	3	5	5
Number of non-student complaints resulting in disciplinary action	6	5	1	5	5
Number of non-student Complaints Pending	0	0	1	0	0
Number of written inquiries (Letter of Intents, Inquiries, State Authorization Letters and student questions)	73	70	44	70	70

◆ **Goal** 3 To improve efficiency and administation of the licensing and regulation program through an internal re-structuring and enhancement of administrative policies.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Administration as a percentage of total cost	2.1	2.	2.3	2.	2.

Program Summary

STUDENT TUITION RECOVERY FUND

Teri Stanfill, Executive Director
Phone: (602) 542-5709
A.R.S. §§ 32-3071 to 32-3077

Mission:

To protect the health, safety, and welfare of the public by regulating private postsecondary educational institutions and providing services to their students.

Description:

The Board administers the Student Tuition Recovery Fund, which provides financial restitution to students injured by private postsecondary institutional closures and provides students access to their educational records.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	372.8	250.3	250.3
Total Funding	**372.8**	**250.3**	**250.3**
FTE Positions	**1.0**	**1.0**	**1.0**

◆ **Goal** 1 To provide equitable financial restitution, in a timely manner, to students financially injured as a result of a school closure.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of claims filed	4	10	20	10	10
Number of claims rejected	1	0	10	0	0
Number of claims paid/settled/closed	3	10	10	10	10
Number of claims pending	0	0	0	0	0
Average number of calendar days to pay claims	60	45	45	45	45

◆ **Goal** 2 To collect or secure monies sufficient to provide for student financial restitution.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of institutions billed	131	131	133	131	131
Amount of assessments collected (in thousands)	194.4	160.0	177.3	170.	170.
Amount available to students (in thousands)	327.5	246.5	149.6	80.3	11.0
Amount paid in Student Claims	1.	10.	130.8	10.	10

◆ **Goal** 3 To provide students access to their educational records in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of student record requests processed.	4643	4600	8297	4600	4600
Average number of days to process requests	5	5	5	5	5

Agency Summary

BOARD OF PSYCHOLOGIST EXAMINERS

Jenna Jones, Executive Director
Phone: (602) 542-3018
A.R.S.§§ 32-2061 et seq.

Mission:

To protect the health, safety, and welfare, of Arizona citizens by regulating the professions of psychology and behavior analysis.

Description:

The State Board of Psychologist Examiners licenses and regulates professionals to practice in the fields of psychology and behavior analysis. The Board accepts complaints against licensees, investigates allegations, and administratively adjudicates complaints.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	434.3	516.1	545.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**434.3**	**516.1**	**545.9**
FTE Positions	**4.0**	**4.0**	**4.0**

5 Year Plan

Issue 1 The agency currently maintains paper files for licensure, complaints, and administrative matters.

Description Paper files require substantial office space and physical maintenance.

Solutions:

The Arizona Department of Administration is seeking a vendor to provide an electronic document maintenance system. We understand an vendor or vendors have been identified but that they have a long delay due to the number of agencies that are seeking to digitize records. The agency has requested an estimate from the vendor that was identified and the plan is to move forward with the digitization of paper records in FY20.

UPDATE: The agency has recently obtained an estimate for $16,772 for this service. The plan will be to move forward with this project in FY21.

Issue 2 The agency has statutory authority to establish a confidential reporting program for impaired psychologists.

Description In FY 17, the agency began reviewing various options for establishing the confidential reporting program.

Solutions:

It is anticipated a proposal will be presented to the Arizona Board of Psychologist Examiners during FY20 for direction and approval. Implementation of the program would follow.

Issue 3 Adoption of ASPPB PLUS system for applications

Description The ASPPB PLUS system allows applicants to submit one electronic application for licensure as a psychologist across multiple states. ASPPB provides each state their respective application materials and the state maintains the authority to determine whether the applicant meets licensure requirements. Currently, 14 jurisdictions participate in the PLUS system. Some jurisdictions require individuals to apply through the PLUS while other jurisdictions make application through the PLUS an option.

Solutions:

The agency is currently working with ASPPB to offer the PLUS as an option for applicants. It is anticipated that the PLUS may be available to applicants during FY20 or FY21 pending a rule change. To initiate acceptance of the PLUS application will require a rule change.

The PLUS will not be able to interface with the elicensing system under Salesforce.

Update July 2019

The step back on the ASPPB PLUS has allowed us to recognize that a rule change will be necessary to adopt the PLUS and it will not be possible to integrate it with the elicensing system. Once a rule change is completed, we can move forward with giving applicants the option of using PLUS.

Issue 4 The agency is unable to offer online initial applications for licensure.

Description Effective February, 2017, the agency implemented an online application for license renewal. In June 2018, the agency implemented a new elicensing system which is designed to allow for initial online applications for psychologists and behavior analysts as well as licensure renewals. The initial applications are disabled at this time but the online renewal option is available. All forms are available in the form of a fillable PDF on the agency's website.

The online applications are currently disconnected pending updating of the questions and information to comply with rule.

Solutions:

In the FY2018 budget, the agency was authorized an increase in appropriation to participate in the State's e-Licensing system, which will include development of online applications for licensure. System development is scheduled to begin in September, 2017, and is anticipated to be complete within six months. It is anticipated that additional improvements and enhancements will be necessaryr to ensure compliance with statutory requirements.

The elicensing system was impletmented in June 2018. There are a significant number of enhancements and improvements that will be necessary over the next two years to allow the system to work properly and provide accurate reporting, information, and data collection. We will work through this process and implement the changes as they are available.

The support staff for the elicensing system could not keep up with the changes necessary to keep the applications current with rules and rule changes. We have disabled the applications at this time.

Issue 5 The agency will implement the Psychology Interjurisdictional Compact (PSYPACT).

Description During the 2016 Legislative Session, the Arizona Legislature enacted the Psychology Interjurisdictional Compact (PSYPACT), which was signed into law by Governor Ducey. The PSYPACT will allow qualified psychologists to provide psychological services across state lines into other compact states. The agency will begin implementation once seven states enact the PSYPACT. In May 2019, 7 states have passed legislation adopting PSYPACT. The PSYPACT Commission held it's first meeting in July 2019 to begin establishing rules.

Solutions:

The agency will participate in PSYPACT starting in July 2019 (FY20). Participation in the PSYPACT will cost the agency an estimated $6,000 per year, which has been included in the FY 20 budget request. It is our understanding that the cost to our agency to participate in PSYPACT will cost $6,000 per year.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	4.0	4.0	4.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	557.8	557.8	557.8
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To protect the public from unqualified practitioners of behavior analysis by efficiently processing applications for licensure to determine if statutory requirements have been met.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of applications received for initial behavior analyst licensure	85	80	117	120	120
Number of new behavior analyst licenses issued	73	70	104	100	100
Number of behavior analyst licensees (active/inactive)	317	330	408	500	600

Explanation: FY 2014 was the first year for this performance measure

◆ **Goal** 2 To protect the public from incompetent practitioners of behavior analysis and unprofessional/unethical conduct through timely investigation and adjudication of behavior analysis-related complaints.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of behavior analysis-related complaints received	0	1	6	3	3
Average number of days to resolve a behavior analysis-related complaint	n/a	38	148	110	110

◆ **Goal** 3 To protect the public from unqualified practitioners of psychology by efficiently processing applications for licensure to determine if statutory and rule requirements have been met.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of applications received for initial psychologist licensure	193	160	203	185	185
Number of new psychologist licenses issued	117	115	150	125	125
Number of licensees (active/inactive)	2094	2200	2164	2200	2275

Explanation: Number represents only licensed psychologists

Average number of days to administratively process a psychologist application for licensure (from receipt to substantive review)	6	15	10	10	10
Average number of days to substantively process a psychologist application for licensure (from administrative completion to Board adjudication and/or issuance of license)	27	30	26	26	25

◆ **Goal** 4 To protect the public from incompetent practitioners of psychology and unprofessional/unethical conduct through timely investigation and adjudication of psychology-related complaints.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of investigations	45	45	47	55	55
Explanation: Includes non-jurisdictional complaints and complaints against alleged title-violators					
Number of complaints opened regarding psychologists	30	35	27	40	40
Number of psychology-related complaints received involving unlicensed practitioners/title violators/non-jurisdictional issues	15	10	20	15	15
Number of psychology-related complaints resolved at the Complaint Screening Committee level	5	15	12	15	15
Average days from date a psychology-related complaint is opened to resolution at Complaint Screening Committee	120	90	127	100	100
Number of psychology-related complaints resolved at the Board level through Board actions	9	15	17	20	20
For psychology-related complaints referred to the full Board, average days from receipt of complaint to Board resolution/Board action	173	140	220	175	150
Explanation: Does not include complaints dismissed at the Complaint Screening Committee level.					
Number of disciplinary actions taken against psychologists	3	7	6	8	8
Number of non-disciplinary/rehabilitative actions taken against psychologists	4	4	5	5	5

◆ **Goal** 5 To protect the public through the auditing of continuing education hours of psychologists to ensure licensees are kept apprised of current standards of practice.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of audited licensees in compliance with continuing education requirements	100	99	0	99	0
Explanation: Audit conducted every other fiscal year, based on renewals received duing prior fiscal year					

◆ **Goal** 6 To encourage public input regarding the Board's performance through customer surveys.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Customer satisfaction rating (scale 1-8)	7.6	7.4	7.4	7.4	7.4

Agency Summary

DEPARTMENT OF PUBLIC SAFETY

Frank L. Milstead, Director
Phone: (602) 223-2359
A.R.S. §§41-1711 to 41-1794

Mission:

To protect human life and property by enforcing State laws, deterring criminal activity, and providing vital support to the State of Arizona and its citizens.

Description:

The Department of Public Safety (DPS) enforces State law with primary responsibility in the areas of traffic safety, criminal interdiction, narcotics, organized crime, auto theft, and regulatory functions. Services include homeland security, criminal intelligence, scientific analysis, air rescue, criminal information systems, training, and statewide communications. Operational and technical assistance is provided to local and State agencies and other components of the criminal justice community. The Department also promotes and enhances the quality of public safety through cooperative enforcement and community awareness programs.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ AGENCY SUPPORT	87,289.2	100,638.3	106,775.1
➢ HIGHWAY PATROL	143,135.1	175,649.0	202,767.7
➢ CRIMINAL INVESTIGATIONS	81,230.7	90,173.0	96,055.3
➢ TECHNICAL SERVICES	67,966.6	74,242.2	90,398.1
➢ ARIZONA PEACE OFFICER STANDARDS AND TRAINING	4,795.0	6,432.2	7,904.9
Agency Total:	**384,416.6**	**447,134.7**	**503,901.1**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	102,560.2	92,350.3	149,784.1
Other Appropriated Funds	184,627.3	240,683.1	240,978.0
Other Non Appropriated Funds	97,229.1	114,101.3	113,139.0
Total Funding	**384,416.6**	**447,134.7**	**503,901.1**
FTE Positions	**2,213.7**	**2,269.3**	**2,253.3**

Department of Public Safety

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Colonel Frank L. Milstead
Strategic Planner: Paul Swietek
Last modified: 07/15/2019

Vision: To be the national model in providing customer-oriented state-level law enforcement services.

Mission: To protect human life and property by enforcing state laws, deterring criminal activity and providing vital support to the State of Arizona and its citizens.

Agency Description: The Department of Public Safety enforces state law with primary responsibility in the areas of traffic safety, criminal interdiction, narcotics, organized crime, auto theft and regulatory functions. Services include homeland security, criminal intelligence, scientific analysis, air rescue, criminal information systems, training and statewide communications.

Operational and technical assistance is provided to local and state agencies and other components of the criminal justice community.

The Department also promotes and enhances the quality of public safety through cooperative enforcement and community awareness programs.

Executive Summary: The Department's Strategic Plan aligns with Governor Ducey's continuing initiatives to secure the future safety of Arizona.

The Department continues to thwart transnational criminal organization operations by aiming for 24/7/365 trooper coverage in the southern part of the state and tackle Arizona's opioid problem by investigating persons who overprescribe or illegally distribute opioids and other controlled substances.

The Department strives to keep the motoring public safe on Arizona's ever expanding freeway system; such as the new Loop 202, counter the proliferation of dangerous wrong-way drivers, and increase the availability of air rescue services.

The Department is pursuing improvements to its customer services through implementing a new concealed weapons permit system, a new criminal justice information system used by all police agencies in Arizona, and a new, modern radio communications system.

The Department believes the backbone of the agency is its employees. The Department intends to invest in its employees by updating remote housing to improve livability for troopers and their families, and replacing worn, expended vehicles to provide a solid, efficient, reliable work space and response availability.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Improve public safety in Arizona.	2019	• 11 new troopers added to the Southern Patrol Bureau, Border Strike Force. • 6 new troopers added to the Metro Patrol Bureau, Night Watch. • 2 new detectives and a sergeant added to the Tactical Diversion Unit to combat opioid abuse.
2	Improve service delivery and value to internal and external customers.	2019	• Sexual assault tracking system fully implemented and user ready in April 2019. • Reduced the number of untested property crime case evidence over 365 days old to zero.
3	Invest in building highly engaged and valued employees.	2020	• New for FY 2020

Department of Public Safety

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Improve the recruitment of diverse cadet troopers.	• Percentage of cadet troopers starting an academy class that meet diversity principles. • Number of recruiting activities attended/conducted. • Number of cadets starting a class.	• Conduct marketing and advertising campaigns; including, traditional media, social media, at colleges/universities and job fairs. • Increase the annual number of academy classes. • Expand recruiting efforts within and outside Arizona.
1	Detect and disrupt criminal activity by the Tactical Diversion Unit focusing on the overprescribing or other illegal distribution of controlled substances, specifically opioids.	Number of major investigations conducted by quarter.	• Conduct investigations with the involvement of the Arizona state Board of Pharmacy, the Arizona Medical Board, and other state licensing boards to take action against the licenses of those involved in illegal activity. • Focus on doctor's offices, clinics and pharmacies.
2	Increase aviation availability for law enforcement and search and rescue missions.	Percentage of aviation availability.	• Study efficiency opportunities in the aircraft maintenance rotation cycles. • Investigate options to procure newer, modern supplemental aircraft.
2	Reduce the percentage of highway patrol enforcement vehicles exceeding replacement criteria of 150,000 miles or greater over four years.	Percentage reduction every four months of highway patrol vehicles exceeding replacement criteria.	• Continue involvement in the Governor's fleet project. • Identify efficiency improvements in the build-up process. • Use provided funding to replace 66 vehicles.
2	By June 2021 fully implement a new platform for the Arizona Criminal Justice Information System (ACJIS) to replace the antiquated 30-year old mainframe.	Percentage of system replacement for FY2020.	• Migrate the message switch, wants/warrants "hot" files and computerized criminal history to a modern platform. • Migrate or decommission remaining ACJIS applications.
2	By June 2020 fully implement a replacement system for the Arizona Concealed Weapons Tracking (ACWT) system to replace the antiquated 30-year old mainframe.	Percentage of system replacement.	• Complete and obtain approvals on the project investment justification and procurement/RFP processes. • Design, build, test and implement with the vendor.
2	Increase DPS-users transitioned to the Arizona Wireless Integrated Network System (AZWINS) requiring the simultaneous upgrade of the microwave backbone, P25 systems, mobile and portable radios.	Percent of DPS-users transitioned to AZWINS.	• FY19 Funded – Network Operations Center commercial power upgrade. • FY19 Funded – 28 site tower maintenance program. • FY20 Funded – Add AZWINS communications tower and equipment to an ADOT fiber node location on the new Loop 202 South Mountain.
3	A3 Breakthrough: Improve or replace identified outdated trooper housing where maintenance costs and efficiency losses exceeds the value of replacement.	Percentage of trooper remote houses improved or replaced.	• Use provided funding to replace 7 houses. • Continue evaluations of home conditions for maintenance/replacement/efficiency planning. • Research housing allowances and housing availability in remote areas to include addressing costs, appropriate response times and security/livability for the family.

5 Year Plan

Issue 1 Cadet troopers.

Description Achieving and maintaining adequate staffing to keep pace with service demands and emerging public safety issues.

Solutions:
Strategic Plan Strategy #1, improve the recruitment of diverse cadet troopers.

Issue 2 Tactical Diversion Unit

Description Arizona has an identified epidemic opioids abuse that is ruining lives, families, and economic stability.

Solutions:
Strategic Plan Strategy #1, detect and disrupt criminal activity by the tactical diversion unit focusing on the overprescribing or other illegal distribution of controlled substances, specifically opioids.

Issue 3 Aviation air rescue availability.

Description The Department seeks to provide more reliable air rescue services and criminal apprehension assistance to our law enforcement partners.

Solutions:
Strategic Plan Strategy #2, increase aviation availability for law enforcement and search and rescue missions.

Issue 4 Highway patrol vehicle replacement vehicle program.

Description Replacing Highway Patrol vehicles which exceed the replacement criteria of 150,000 miles.

Solutions:
Strategic Plan Strategy #2, reduce the percentage of Highway Patrol enforcement vehicles exceeding replacement criteria of 150,000 miles or greater over four years.

Issue 5 ACJIS and ACWT computerized database systems.

Description Antiquated computer systems and software hinder the Department's ability to provide efficient services to the public in the modern business environment.

Solutions:
Strategic Plan Strategy #2

By June 2021, fully implement a new platform for the Arizona Criminal Justice Information System (ACJIS) to replace the antiquated 30-year old mainframe.

By June 2020, fully implement a replacement system for the Arizona Concealed Weapons Tracking (ACWT) system to replace the antiquated 30-year old mainframe.

Issue 6 Arizona Wireless Integrated Network System (AZWINS)

Description The conversion from an antiquated analog system to a digital system. DPS currently has to search the internet for antiquated parts. Additionally, the state has multiple agencies with disparate outdated land mobile radio systems that lack sufficient coverage and capacity and do not provide interoperable communications with local, federal, or tribal partners.

Solutions:
Strategic Plan Strategy #2, increase DPS users transitioned to the Arizona Wireless Integrated Network System (AZWINS) requiring the simultaneous upgrade of the microwave backbone, P25 systems, mobile and portable radios.

Issue 7 Trooper remote housing.

Description Outdated trooper remote duty housing negatively impacts trooper retention and qualify of life for trooper families.

Solutions:
Strategic Plan Strategy #3, A3 Breakthrough: improve or replace identified outdated trooper housing where maintenance costs and efficiency losses exceeds the value of replacement.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	2,075.0	2,137.0	2,201.0
General Fund	147,697.3	152,128.2	156,692.0
Other Appropriated Funds	248,908.7	256,375.9	264,067.2
Non-Appropriated Funds	36,811.5	37,915.8	39,053.3
Federal Funds	78,767.3	81,130.3	83,564.2

Program Summary

AGENCY SUPPORT

Daniel Lugo, Assistant Director
Phone: (602) 223-2348
A.R.S. § 41-1713

Mission:

To provide critical support assistance to the Arizona Department of Public Safety through management, training, air rescue and administrative services.

Description:

The Agency Support Division focuses on maintaining and supporting current and planned department operations by providing human resources services, management services (records, planning, asset forfeiture, safety and loss prevention), training, material resources (vehicles, supply/warehouse), facilities, aviation air rescue services, and the Phoenix Regional Police Academy.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	38,547.1	19,043.8	25,180.6
Other Appropriated Funds	2,349.0	26,392.1	26,392.1
Other Non Appropriated Funds	46,393.1	55,202.4	55,202.4
Total Funding	**87,289.2**	**100,638.3**	**106,775.1**
FTE Positions	**218.0**	**218.0**	**218.0**

◆ **Goal** 1 To improve public safety in Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of cadet troopers starting an academy class that meet diversity principles.	0	0	0	30	30
Explanation: New for FY2020.					
Number of recruiting activities attended/conducted.	0	0	0	12	12
Explanation: New for FY2020.					
Number of cadets starting a class.	0	0	0	150	150
Explanation: New for FY2020.					

◆ **Goal** 2 To improve service delivery and value to internal and external customers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage reduction every four months of Highway Patrol vehicles exceeding repalcement criteria.	0	0	0	3	3

Explanation: New for FY2020.

◆ **Goal** 3 To invest in building highly engaged and valued employees.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of the seven identified trooper remote houses for FY2020 improved or replaced.	0	0	0	100	0

Explanation: New for FY2020.

Program Summary

HIGHWAY PATROL

Jenna Mitchell, Assistant Director
Phone: (602) 223-2441
A.R.S. §§ 41-1711 et. seq.

Mission:

To ensure the safe and expeditious use of the highway transportation system for the public and to provide assistance to local and county law enforcement agencies. The Highway Patrol program additionally provides services and enforcement in commercial vehicle, tow truck, school bus enforcement, and safety programs for the Arizona Department of Public Safety.

Description:

The Highway Patrol program is comprised of Patrol and Commercial Vehicle Enforcement. The Aviation subprograms technically resides under the Agency Support Division due to a Department reorganization and will be updated by OSPB in next year's AZIPS. Patrol is aligned into three geographic regions: Northern, Central, and Southern bureaus. The Commercial Vehicle Enforcement subprogram is a statewide program administered centrally with satellite offices statewide.

This Program Contains the following Subprograms:

- Patrol
- Commercial Vehicle Enforcement
- Aviation

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	10,000.0	25,414.4	52,166.2
Other Appropriated Funds	115,185.3	127,794.7	128,161.6
Other Non Appropriated Funds	17,949.8	22,439.9	22,439.9
Total Funding	**143,135.1**	**175,649.0**	**202,767.7**
FTE Positions	**958.0**	**1,009.0**	**993.0**

Subprogram Summary

PATROL

Jenna Mitchell, Assistant Director
Phone: (602) 223-2441
A.R.S. §§ 41-1711 et. seq.

Mission:

To ensure the safe and expeditious use of the highway transportation system for the public and to provide assistance to local and county law enforcement agencies.

Description:

Officers patrol state and federal highways and the Capitol Mall and enforce Arizona traffic, criminal, state, and federal laws, as well as commercial vehicle regulations. The Patrol additionally investigates traffic collisions; controls motor vehicle traffic; conducts criminal interdiction programs; makes criminal arrests; supports other law enforcement agencies; promotes traffic awareness and safety through public awareness programs; and provides specialized training to other criminal justice agencies.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	16,899.4	32,884.0
Other Appropriated Funds	107,450.3	118,493.8	118,860.7
Other Non Appropriated Funds	5,771.9	6,292.9	6,292.9
Total Funding	**113,222.2**	**141,686.1**	**158,037.6**
FTE Positions	**796.0**	**841.0**	**825.0**

◆ **Goal** 1 To improve public safety in Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of highway fatalities.	350	N/A	300	N/A	N/A

Explanation: Reporting only.

Subprogram Summary

COMMERCIAL VEHICLE ENFORCEMENT

Jenna Mitchell, Assistant Director
Phone: (602) 223-2441
A.R.S. §§ 41-1711 et. seq.

Mission:

To provide coordination for all law enforcement agencies statewide for commercial vehicle enforcement and to provide technical and essential services to the law enforcement community in the areas of commercial vehicle; tow truck; and pupil transportation safety and enforcement; and provide assistance and guidance on the safe handling of toxic waste in relation to transportation issues.

Description:

The Commercial Vehicle Enforcement subprogram is the primary commercial motor vehicle, tow truck, and school bus safety enforcement arm of the Department of Public Safety. DPS is the State's lead agency for the Federal Motor Carrier Safety Administration Motor Carrier Safety Assistance Program and is responsible for coordinating all enforcement of state and federal commercial vehicle statutes and regulations. The subprogram's responsibilities include: the training of personnel and assistance to local agencies that have specific problems with commercial motor vehicle law enforcement. Additionally, the subprogram provides for response to hazardous material incidents throughout the State involving accidental discharges of hazardous materials and trains personnel involved in this effort.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	115.0	506.3
Other Appropriated Funds	7,731.0	7,800.9	7,800.9
Other Non Appropriated Funds	11,234.6	15,640.5	15,640.5
Total Funding	**18,965.6**	**23,556.4**	**23,947.7**
FTE Positions	**103.0**	**109.0**	**109.0**

Subprogram Summary

AVIATION

Daniel Lugo, Assistant Director
Phone: (602) 223-2348
A.R.S. §§ 28-240, 41-1834

Mission:

To provide an immediate, 24-hour per day, statewide air support response capability for critical occurrences and emergency situations, to provide aerial and logistical support for law enforcement, highway safety, and traffic enforcement operations, and to provide transport services in support of governmental operations and critical administrative functions.

Description:

The Aviation subprogram is comprised of four air rescue helicopter units; a fixed-wing air support unit; an aircraft maintenance unit; and administrative staff. The air rescue units are strategically based around the State to provide the most efficient and effective service. The air support and aircraft maintenance units are based in Phoenix at Sky Harbor Airport. Services provided include: first responder emergency medical services; technical rescue operations; medical and disaster evacuation; search operations; aerial and logistical support for law enforcement; highway safety and traffic enforcement operations; and transport services in support of governmental operations and critical administrative functions. To accomplish its mission, the subprogram operates and maintains a fleet of five rotary-wing and four fixed-wing aircraft.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	10,000.0	8,400.0	18,775.9
Other Appropriated Funds	4.0	1,500.0	1,500.0
Other Non Appropriated Funds	943.3	506.5	506.5
Total Funding	**10,947.3**	**10,406.5**	**20,782.4**
FTE Positions	**59.0**	**59.0**	**59.0**

◆ **Goal** 1 To improve service delivery and value to internal and external customers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of Aviation availability.	0	0	0	55	55

Explanation: New for FY2020.

Program Summary

CRIMINAL INVESTIGATIONS

Kenneth Hunter, Assistant Director
Phone: (602) 223-2452
A.R.S. §§ 41-1761 et. seq.

Mission:

To protect the public by deterring crime using proactive enforcement strategies, innovative and comprehensive investigative techniques, and utilizing effective and efficient resource allocation models.

Description:

The Criminal Investigations program provides investigative; specialized enforcement; and high risk response support to federal, state, and local criminal justice agencies. Services provided include: investigations regarding narcotic trafficking; organized crime; intelligence; vehicle theft, gangs; computer and financial crimes; opioid and prescription drug abuse; border intelligence; as well as major crime investigations when requested by other criminal justice agencies. The program provides specialized high risk response to acts of extraordinary violence and domestic preparedness incidents.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	45,013.1	45,092.1	50,974.4
Other Appropriated Funds	25,191.7	33,540.0	33,540.0
Other Non Appropriated Funds	11,025.9	11,540.9	11,540.9
Total Funding	**81,230.7**	**90,173.0**	**96,055.3**
FTE Positions	**452.7**	**451.7**	**451.7**

◆ **Goal** 1 To improve public safety in Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of major investigations conducted by calendar quarter.	0	0	0	4	4

Explanation: New for FY2020.

Program Summary

TECHNICAL SERVICES

Timothy E. Chung, Assistant Director
Phone: (602) 223-2812
A.R.S. §§ 41-1711, 41-1712, 41-1750

Mission:

To provide professional and effective scientific, technical, regulatory, and operational support to the Department of Public Safety, the criminal justice community, and the public.

Description:

The Technical Services program is responsible for developing and coordinating scientific, technical, regulatory, and support services essential to the promotion of public safety in Arizona. Special attention is given to providing scientific analysis and criminal justice support to Arizona's criminal justice agencies. The program further develops, operates, and maintains statewide data processing, fingerprint database, and electronic communications systems.

This Program Contains the following Subprograms:

- Scientific Analysis
- Communications and Information Technology
- Criminal Information and Licensing

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,000.0	2,800.0	18,962.9
Other Appropriated Funds	41,171.9	51,929.0	52,884.3
Other Non Appropriated Funds	17,794.7	19,513.2	18,550.9
Total Funding	**67,966.6**	**74,242.2**	**90,398.1**
FTE Positions	**558.0**	**563.6**	**563.6**

Subprogram Summary

SCIENTIFIC ANALYSIS

Timothy E. Chung, Assistant Director
Phone: (602) 223-2812
A.R.S. §§ 41-1761 et. seq.

Mission:

To assist the Department, the Arizona criminal justice community, and the public in the timely investigation and adjudication of criminal cases by utilizing state-of-the-art analytical techniques, providing the most accurate scientific analysis of evidence, and presenting expert court testimony.

Description:

The Scientific Analysis subprogram provides scientific analysis of evidence, technical crime scene assistance, secure storage of evidentiary items, training, and expert testimony to all criminal justice agencies in the State. Scientific and technical services are provided in the areas of DNA; Serology; Toxicology (drugs and poisons in biological specimens); breath and blood alcohol; controlled substances (drugs); firearms and tool marks; footwear and tire tracks; trace evidence (explosives, arson, hairs, fibers, paint, glass, etc.); latent fingerprints, questioned documents; and photography.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	1,347.5
Other Appropriated Funds	18,529.0	19,654.2	19,654.2
Other Non Appropriated Funds	2,067.3	758.3	758.3
Total Funding	**20,596.3**	**20,412.5**	**21,760.0**
FTE Positions	**158.0**	**159.6**	**159.6**

Subprogram Summary

COMMUNICATIONS AND INFORMATION TECHNOLOGY

Timothy E. Chung, Assistant Director
Phone: (602) 223-2812
A.R.S. §§ 41-1713, 41-1749

Mission:

To ensure trooper and public safety come first by giving assistance and information to the public; providing statewide radio dispatch services for the Department of Public Safety and other criminal justice agencies; and providing design, coordination, construction, and maintenance services for statewide radio, voice, and data telecommunications systems.

Description:

The Communications subprogram operates three dispatch centers located in Phoenix, Tucson, and Flagstaff to facilitate the flow of information and provide assistance to the public, Department of Public Safety troopers, and criminal justice agencies. In addition, this subprogram provides the infrastructure to support public safety services for state, county, and local governmental agencies. The subprogram also oversees the statewide Arizona Criminal Justice Information System (ACJIS) used by Arizona's law enforcement and criminal justice agencies.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,000.0	2,761.8	17,167.0
Other Appropriated Funds	14,296.2	23,384.4	23,384.4
Other Non Appropriated Funds	3,067.3	3,778.0	3,778.0
Total Funding	**26,363.5**	**29,924.2**	**44,329.4**
FTE Positions	**233.0**	**237.0**	**237.0**

◆ **Goal** 1 To improve service delivery to internal and external customers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of DPS-users transitioned to AZWINS.	0	0	0	0	0

Subprogram Summary

CRIMINAL INFORMATION AND LICENSING

Timothy E. Chung, Assistant Director
Phone: (602) 223-2812
A.R.S. Titles 24, 26, 32, 41; §§ 41-1750, 41-2401 et. seq.

Mission:

To provide efficient and responsive criminal information and regulatory services to the criminal justice community and the public as mandated by federal and state law.

Description:

The Criminal Information and Licensing subprogram includes management of the Arizona central state repository of criminal history information and the statewide Arizona Automated Fingerprint Identification System (AZAFIS). It coordinates access for the Arizona Criminal Justice Information System (ACJIS) and administers the concealed weapons, sex offender registration and community notification compliance, and private investigation and security guard licensing programs. It provides training/certification and compliance monitoring for AZAFIS, the central state repository, background checks for private investigation licensing, security guard licensing, concealed carry permits, and other authorized private and government entities. Additionally this subprogram compiles and publishes the Arizona Uniform Crime Report.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	38.2	448.4
Other Appropriated Funds	8,346.7	8,890.4	9,845.7
Other Non Appropriated Funds	12,660.1	14,976.9	14,014.6
Total Funding	**21,006.8**	**23,905.5**	**24,308.7**
FTE Positions	**167.0**	**167.0**	**167.0**

◆ **Goal** 1 To improve service delivery and value to internal and external customers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of system replacement for FY2020.	0	0	0	68	100
Explanation: New for FY2020.					
Percentage of system replacement.	0	0	0	100	0
Explanation: New for FY2020.					

Program Summary

ARIZONA PEACE OFFICER STANDARDS AND TRAINING

Matt Giordano, Executive Director
Phone: (602) 774-9350
A.R.S. §§ 41-1822 et. seq.

Mission:

To foster public trust and confidence by establishing standards of integrity, competence, and professionalism for Arizona peace officers and correctional officers.

Description:

The Arizona Peace Officer Standards and Training Board (POST) is composed of thirteen members appointed by the Governor according to the provisions of A.R.S. § 41-1828.01. The program provides the following: funding for basic training academies; reimbursement for materials and supplies; continuing training for law enforcement officers (i.e., sponsorship, financial support, and actual delivery); development of standards for law enforcement officers (i.e., physical, educational, and proficiency skills); certification and decertification of law enforcement officers; and the development of standards for correctional officers.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	2,500.0
Other Appropriated Funds	729.4	1,027.3	0.0
Other Non Appropriated Funds	4,065.6	5,404.9	5,404.9
Total Funding	**4,795.0**	**6,432.2**	**7,904.9**
FTE Positions	**27.0**	**27.0**	**27.0**

◆ **Goal** 1 To improve enforcement standards for selection of peace officers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of days to review and complete investigations.	110	125	105	125	125

◆ **Goal** 2 To improve in-service training.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of in-service programs presented by AZPOST.	71	75	42	75	75

Agency Summary

PUBLIC SAFETY PERSONNEL RETIREMENT SYSTEM

Bret Parke, Interim Administrator
Phone: (602) 255-5575
A.R.S. § 38-841

Mission:

To provide uniform, consistent, and equitable statewide retirement programs for those who have been entrusted to our care.

Description:

PSPRS manages the retirement systems for most law enforcement officers, correctional officers, and elected officials in Arizona.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,000.0	6,000.0	6,000.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	13,117.0	15,132.0	15,132.0
Total Funding	**20,117.0**	**21,132.0**	**21,132.0**
FTE Positions	**57.0**	**62.0**	**62.0**

5 Year Plan

Issue 1 Stakeholder Engagement and Education

Description PSPRS manages an increasingly complex set of retirement plans. In order to ensure uniform, consistent and equitable retirement programs, PSPRS must provide timely, effective customer service to members, employers and local boards about PSPRS' retirement plans and plan changes that affect business processes.

Solutions:

We will improve communication, outreach and training with our members, employers, local boards and external stakeholders by doing the following:

1. Ensure PSPRS websites are serving the diverse needs of our customers and that information contained therein is accurate, consistent and presented in a standardized format.

2. Contact every local board to provide outreach and training.

3. Provide training opportunities for employers, local boards and members across the state.

4. Develop and implement phone etiquette and protocol training for PSPRS staff to ensure questions are being answered accurately and consistently.

5. Identify and implement opportunities and methods to increase awareness among stakeholders, policymakers and the public about legislative changes.

6. Conduct an annual local board and employer educational seminar.

Issue 2 Retaining Top Talent

Description Several long-term employees will be retiring within the next 5 years. We need to hire and retain top talent and document processes so that institutional knowledge is not lost when those employees retire.

Solutions:

We will hire and retain top talent and retain institutional knowedge by doing the following:

1. Recruit, engage, develop and retain qualified, motivated management and staff.

2. Conduct a personnel supply, needs and gap analysis to determine where gaps exist.

3. Document procedures and processes for each of the products and services we provide to customers, beginning with the highest priorities, and ensure staff are cross-trained on all critical products and services.

4. Implement a cross-functional skills training program.

5. Implement a leader-employee development training program.

Issue 3 Information System Development

Description Many of our processes are outdated and manual, making it difficult for our stakeholders and our staff to process work efficiently.

Solutions:

We will improve our work processes and electronic systems using the following strategies:

1. Conduct an evaluation of our existing software infrastructure and architecture and determine the best way to move toward the next version of our underlying pension software.

2. Implement an agile software development methodology so that the software we develop meets the needs of our stakeholders.

3. Implement a requirements management and issue tracking software application.

4. Implement an automated testing and quality assurance software application.

5. Improve delivery and functionality of EPIC, allowing us to move away from manual processing.

Issue 4 Pension Funding

Description To address funding liabilities and meet future pension benefits, PSPRS must provide risk-controlled investment management of the System's assets by attaining a competitive investment return ranking among peer pension systems.

Solutions:

We will improve the long-term financial stability of our plans by doing the following:

1. Improve in-house investment staff research and expertise with new investment research tools.

2. Review the system's asset allocation and make adjustments as needed to achieve returns at least equal to our assumed earnings rate on a long-term basis.

3. Develop financial tools for our employers with the help of our actuary.

Issue 5 Information Security Threats

Description It is of utmost importance that we ensure the integrity of our data and underlying infrastructure.

Solutions:

We will continually improve the overall IT security environment of PSPRS by doing the following:

1. Conduct IT risk assessments of various kinds to constantly monitor and patch vulnerabilities.

2. Hire additional resources as needed to ensure capacity to meet our strategy.

3. Conduct an agency-wide risk assessment to identify gaps and develop strategies.

4. Digitize cancer insurance documents and destroy the paper.

5. Analyze existing policies and procedures to determine whether they need updating or additional policies and/or procedures need to be developed.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	65.0	66.0	67.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	15,000,000.0	15,000,000.0	15,000,000.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To provide timely, effective customer service to members, employers and local boards.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of member retirements processed without error in the effective payroll period.	100	100	100	100	100
Percentage of contribution refunds issued within 20 days	25	100	97	95	95
Average days to issue contribution refunds.	60	7	13	15	15

◆ **Goal** 2 To provide risk-controlled investment management of the System's assets.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Rolling 30-year PSPRS Trust investment return percentage.	6.93	0	6.78	7.00	7.00
Annual PSPRS Trust investment return percentage.	7.0	7.4	6.05	7.3	7.3
3-year risk adjusted investment return percentile ranking	96	75	94	75	75
5-year risk adjusted investment return percentile ranking	97	0	95	75	75
10-year risk adjusted investment return percentile ranking	46	0	95	75	75

Agency Summary

DEPARTMENT OF REAL ESTATE

Judy Lowe, Commissioner
Phone: (602) 771-7760
A.R.S. §§ 32-2101 et seq.

Mission:

To serve and protect the public interest through efficient and timely licensure, balanced regulation, and proactive education of the real estate profession in the State of Arizona.

Description:

The Department of Real Estate oversees the administration of licensing examinations and issuance of licenses, as well as the activities of licensees to ensure compliance with the Arizona Department of Real Estate Revised Statutes and the Commissioner's Rules. Also within the purview of the Department is the regulation of the sale of subdivided and certain unsubdivided lands, builder and development services, timeshares, condominiums, membership campgrounds, and cemeteries. The Department regulates real estate schools and educators, monitoring pre-licensing and continuing education courses to ensure the quality of the content of courses and the competence of the instructors, as well as the quality and timeliness of materials being taught. Additionally, the Department oversees the Home Owners' Association Dispute Process by accepting petitions that allege violations of certain Arizona statutes and commuity bylaws. These complaints are forwarded to the Office of Administrative Hearings to be heard by an Administrative Law Judge.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,499.7	2,909.5	2,909.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	43.9	203.3	203.3
Total Funding	**2,543.6**	**3,112.8**	**3,112.8**
FTE Positions	**37.0**	**37.0**	**37.0**

Department of Real Estate

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Commissioner, Judy Lowe
Strategic Planner: Deputy Commissioner, Louis Dettorre
Last modified: 07/15/2019

Vision: The Arizona Department of Real Estate shall be the most customer service oriented, technologically innovative, and operationally efficient and effective state level real estate department in the United States.

Agency Description: The Department oversees the administration of licensing examinations and issuance of licenses, as well as the activities of licensees to ensure compliance with the Arizona Department of Real Estate Revised Statutes and the Commissioner's Rules. Also, within the purview of the Department is builder/development regulation of the sale of subdivided and certain unsubdivided lands, timeshares, condominiums, membership campgrounds, and cemeteries.

The Arizona Department of Real Estate regulates real estate schools and educators, monitoring prelicensing and continuing education courses to ensure the quality of the content of courses and the competence of the instructors, as well as the quality and timeliness of materials being taught.

Executive Summary: The Arizona Department of Real Estate will utilize the Arizona Management System to continue fulfilling its principles, values and mission.

The Department of Real Estate will be a leader among state real estate agencies through prioritizing strategic goals of providing excellent customer service, continuing to drive technological advancement, update and strengthen real estate education and focus on operational success.

Strategic Issues

- Identify customer values and investor expectations;
- Data driven decision making;
- Structured problem solving;
- Streamlining delivery of services;
- Maximizing technology platform;
- Delivering results that provide greater benefits for the people of Arizona.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Provide excellent customer service	FY 2018	Increased percentage of favorable reviews from 78 percent to 84 percent in FY2019.
2	Drive innovation through technological advancement	FY 2018	86 percent of ADRE services are available online.
3	Strengthen real estate education	FY 2019	• Completed 240 volunteer monitor assignments • Reduced average number of days to process distance learning course applications. • Implemented online real estate salesperson education program
4	Lead all national state real estate agencies in operational efficiency and effectiveness	FY 2018	Identified opportunities to update processes and procedures
5	Developing an engaged, professional workforce	FY 2019	This is a new strategic measure

Department of Real Estate

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase percentage of favorable customer service surveys	Percent of favorable customer service surveys	Customer First Approach
1	Increase consumer communication	Increase number of publications and outreach opportunities	
1	Decrease number of pending messages	Average number of pending messages at the end of each day	
2	Increase services available online	Percent of online services	Promote Quality Online Services
3	Increased pass rates	Average annual pass rate of first time Pre License test takers	Raise the Bar of Real Estate Education in Arizona
	Increase the percent of volunteer monitor assignments completed	Percent of volunteer monitor course assignments made and completed	
4	Increase number of fully integrated web-based dashboards implemented	Number of fully integrated web-based dashboards implemented at the division level	Business Technology Solutions for Data Driven Decision Making
4	Decrease processing time	Processing time	
5	Decrease employee turnover	Turnover	Engage and Develop a World Class Team
5	Increase employee positive experience	Employee Engagement	

5 Year Plan

Issue 1 Strategic Issue #1: Provide Excellent Customer Service

Description The real estate industry, the Department, the State of Arizona, and, most importantly, the public are experiencing a period of growth in the Arizona real estate market. With stabilizing economic prosperity in the state it is important to retain consumer confidence in real estate professionals.The Deparment will always take a customer first approach when serving the public.

The Department treats real estate licensees as a profession and always encourages policies that "raise the bar" in the industry. Education, knowledge sharing, and raising the bar has addressed many of the historic areas that may reduce consumer confidence. Some of the areas which the Department receives consumer complaints are as follows:

- Property management mishandling and/or depletion of trust accounts by licensed individuals;
- Fraudulent real estate and subdivision schemes – i.e. lack of public report, distressed properties;
- Mortgage and real estate documents fraud involving licensed individuals;
- Property management schemes/violations conducted by unlicensed individuals;
- Unlicensed entities in Arizona, as well as, out-of-state companies, conducting real estate activities;
- Advertising violations, where misleading false and deceptive marketing is used; and
- Auctions, where unlicensed individuals facilitate the sale of properties; without real estate professional representation for the consumer.

Solutions:

The Arizona Department of Real Estate will utilize the Arizona Management System (AMS) to continue fulfilling its principles, values and mission.

As a regulatory agency charged with protecting the public, and facilitating service for the real estate industry, the Arizona Department of Real Estate's continued emphasis will be on building partnerships within the industry and with other state agencies, in serving and protecting Arizona's constituents through an attitude of supporting a TEAM (Together Everyone Achieves More) concept.

This partnership will continue to focus on "raising the bar" of the real estate industry, thus minimizing the actions that cause harm to the public and educating the public on what to be aware of in their real estate transactions. This task will be achieved through the commitment of open communication, transparency and the sharing of information and knowledge. The Department will create a synergistic approach to problem solving by gathering feedback from all, then implementing changes and improvements as needed.

Through proactive education and information broadcasting, the Department will seek to ensure public and industry awareness of fundamental laws pertaining to real estate transactions in Arizona. The Department's focus will continue to consist of balanced regulation, ensuring that licensees and/or repeat offenders who are proven to have violated the law and harmed the public are dealt with quickly and stringently, while addressing the more minor infractions that do not effect and/or harm the public, and will work from a more educational perspective. Additionally, the Department will continue to streamline processes, implement the Arizona Management System and allow staff to work through cases thoroughly, yet efficiently.

Issue 2 Strategic Issue #4: Drive Innovation through Technological Advancement

Description The Arizona Department of Real Estate's Information Technology infrastructure must continue to advance in order to facilitate more efficient internal processes, and to keep pace with the technologically-savvy real estate industry and public the Department serves. Keeping pace with technology and creating the ability to transact nearly all business Online is the way that the ADRE can continue to deliver a high level of service to the steadily increasing number of real estate licensees over the past five fiscal years.

Based on the Department's business technology assessment and the review of the State of Arizona IT Strategic Plan, the Department has developed an IT Strategic Plan to update communication systems, providing opportunities for re-engineering appropriate business processes throughout all areas of the agency. Implementation and integration of these systems will provide faster, more efficient customer service to the public, as well as enhance staff efficiencies by reducing duplication of effort and shortening time spent on various data-gathering and verification tasks.

Solutions:

The Department will focus on promoting quality online services and increase services available for the customer online. This includes the scoping of an agency website refresh with the assistance of the ADOA IT service platform, with project completion anticipated for FY2020.

Issue 3 Strategic Issue #2: Strengthen Real Estate Education

Description Real estate education is a fundamental element of enhancing the highest level of knowledge and professionalism within the real estate industry, benefiting Arizona's constituents. Included in the real estate industry's contribution to a thriving Arizona economy are the Real Estate Educators, which are a growing industry in Arizona.

Pursuant to ARS §32-2135, in addition to being responsible for issuing real estate school licenses, approving the credential of instructors and the subject matter content of courses to be taught, the Department is tasked with ensuring that, once the aforementioned has been done, all schools and instructors are complying with applicable statutes and rules thereafter. This is performed by conducting audits to ensure the information and materials being taught and distributed have been approved by the Commissioner and that certification of student attendance, and/or performance is property documented.

Solutions:

The Volunteer Monitor Program utilizes volunteers from the real estate industry who review the delivery of courses, to confirm compliance with the stated application specifics and approval guidelines from the Department. Volunteer monitors allow the Department to save personnel costs, while also allowing industry professionals to remain active in participation and compliance. The volunteer monitor program has maintained a high level of class monitor assignments each year since it was implemented.

The Department will focus on pass rates, and review average annual pass rates of first time Pre License test takers.

Issue 4 Strategic Issue #3: Lead All National State Real Estate Agencies in Operational Efficiency and Effectiveness

Description The Arizona Department of Real Estate strives to be a provider of responsive and reliable services to Arizona's real estate industry and the public served by this industry. The Department's efforts focus on ensuring that the delivery of quality, timely and cost-effective core services. The day-to-day activities of the Department rely on efficient internal business systems. The Department has implemented the Arizona Management System with all agency staff. Performance Metrics will be followed on the FY 2020 agency scorecard, which addresses each division of the Department, and is designed to drive improvement in all areas.

Solutions:

The Department recognizes that it has an obligation to the citizens of Arizona to ensure that Department resources are being used as efficiently and effectively as possible. To this end, the Department continues to explore and implement efficiency and cost-saving strategies wherever possible, and to look for better ways to deliver services. The Department also remains committed to cross training staff and sharing knowledge of positions across divisions. Agency leadership has seen that knowledge sharing has had an effect on streamlining services as processes are known by all individuals that may influence an outcome.

The Department will focus on leveraging business technology solutions for data driven decision making.

Issue 5 Strategic Issue #5: Developing an Engaged, Professional Workforce

Description As of June 30, 2019, the Arizona Department of Real Estate employs 28 FTE, while appropriated 37 FTE for FY 2020. Leaner staffing levels, a stable lower budget, and greater efficiencies than the previous year, is what the public and industry has come to expect from the ADRE. Over the past year, the ADRE has had several new hires which are contributing to the success of the Department. To achieve greater efficiencies and success the agency must continue to promote knowledge sharing, position growth opportunities, internal training among experienced and newer staff, and ingrades, as appropriate, for retention risk staff, to increase staff satisfaction and employee engagement.

Solutions:

Demographic shifts will continue to be the largest single influence on the Department workforce over the next several years, as increasing numbers of experienced employees may retire, or choose to pursue other career opportunities. The Department's continued focus moving forward will be on the ability to implement strategies to mitigate anticipated departures of valuable employees, to preserve and transfer the historical institutional knowledge of retiring staff, and to implement recruitment measures to attract top talent and improve on staff job satisfaction.

The labor market has improved, and will continue as Arizona prospers economically.

Issue 6 Strategic Issue #6: Adhere to Fiscal Guidelines

Description Over the past many budget cycles the ADRE's appropriation has remained approximately $2.9 million, while maintaining the number of appropriated FTE's. As of June 30, 2019 the ADRE has 28 FTE. While this level of staffing is not likely to remain this lean, the Department has delivered a high level of professional service, while remaining fiscally responsible.

Solutions:

The Department will continue adherance to strict fiscal responsibility to utilize available resources, while focusing on continuing to improve on the excellent delivery of services to the real estate industry, as well as the regulation of that industry, while striving always to protect the public. The entire Department "TEAM" will always be apprised of the budget that the Department is committed to operating within, and will receive a consistent status update on how the Department is performing.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	37.0	37.0	37.0
General Fund	3.0	3.0	3.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	200.0	200.0	200.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To lead all national state real estate agencies in operational efficiency and effectiveness.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of fully integrated web-based dashboards implemented at the division level.	N/A	1	8	0	0
Decrease processing time	0	0	0	0	0
Complete a review and update of all agency process and procedures manuals to identify opportunities to improve quality outcomes and maintain/reduce process timeframes by December 31, 2018.	NA	100	0	0	0

◆ **Goal** 2 To drive innovation through technological advancement.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total real estate applications received	41,223	42,047	41,932	42,000	42000
Explanation: New Applicants & Renewals					
Number of real estate licensees	85,451	87,160	87,983	89,742	89700
Explanation: Number reflects actual count of licensees. This includes individuals, brokers, and entities.					
Increase number of monthly volunteer monitor assignments.	12	20	20	25	0
Increase the average annual pass/fail ratio of first time real estate test takers.	69	72	72	0	0
Increase percentage of online services.	86	90	86	90	0

◆ **Goal** 3 To maintain timeliness of the investigative process.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average calendar days from receipt of real estate or subdivision complaint to resolution	15	15	21	15	15
Total real estate or subdivision complaints investigated	706	700	565	700	700
Days to Complete Investigation Complaints.	15	30	24	30	0
Explanation: Days to Complete Investigation Complaints					

◆ **Goal** 4 To maintain excellent customer service through the timely issuance of applications and public reports.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of subdivision filings received	621	800	813	800	800
Explanation: Includes amendments					
Days to issue Development Lot Reservations.	1	3	2	2	0

◆ **Goal** 5 To provide excellent customer service

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Increase percent of favorable customer service surveys.	78	90	85	90	0
Increase the number of publications and outreach opportunities.	0	0	0	0	0
Average number of pending messages at the end of each day.	0	0	0	0	0

◆ **Goal** 6 To strengthen real estate education.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Increased average annual pass rate of first time Pre License real estate test takers.	69	72	72	0	0
Increase the percent of volunteer monitor course assignments made and completed.	0	0	244	300	0
Increase the number of annual course assignments in FY19 from 133 to 244.	133	240	244	300	0
Reduce the number of days to process distance learning continuing education course applications submitted by real estate educators from 7 average days to 5 average days.	7	5	0	0	0
Implement all approved revisions to the Pre Licensing curriculum and exam content for real estate Salesperson and Broker education.	NA	100	0	0	0
Offer at least one monthly training or learning opportunity for ADRE staff to further career development.	NA	1	0	0	0
Create and publicize a series of brochures focusing on real estate consumer education and ADRE.	NA	6	0	0	0

◆ **Goal** 7 To develop an engaged, professional workforce

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Decrease employee turnover	0	0	0	0	0
Increase employee positive experience	0	0	0	0	0

Agency Summary

RESIDENTIAL UTILITY CONSUMER OFFICE

Jorge C. Fuentes, Director
Phone: (602) 364-4840
A.R.S. §§ 40-461 et seq.

Mission:

To represent the interests of residential ratepayers before the Arizona Corporation Commission and advocate for reasonable utility rates and reliable, safe utility service.

Description:

The Residential Utility Consumer Office (RUCO) is an agency comprised mainly of attorneys and financial analysts. RUCO participates in matters before the Corporation Commission regarding utility rate increases, renewable energy standards, and Commission rulemaking. RUCO reviews utility financial records, conducts discovery, offers testimony and presents witnesses at evidentiary hearings to argue positions in favor of residential utility ratepayers.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	976.3	1,348.6	1,348.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**976.3**	**1,348.6**	**1,348.6**
FTE Positions	**7.0**	**7.0**	**7.0**

5 Year Plan

Issue 1 Handling the increasing number of utility cases and relevant issues currently before the Arizona Corporation Commission.

Description Over the last few years the number of rate applications and policy discussions that directly affect residential ratepayers has increased substantially. There doesn't appear any sign of this trend slowing. The major electric utility has been ordered to file a new rate application so the Commission can review their current rates to see if they are just and reasonable and in the public interest. Other gas and water utilities have and will be filing rate cases as well, which will require RUCO's review and intervention. Rulemaking issues are arising at the Corporation Commission such as retail electric competition, energy planning, and the issues surrounding Johnson Utilities, that are taking significant amounts of time.

Solutions:

Perform preliminary analyses of all pertinent proceedings, filed at the ACC, to determine necessity of intervention. Intervene in all necessary proceedings, as resources permit. Staffing addressed in Issue 3.

Issue 2 Understanding and analyzing the complexity of new issues contained in rate case filings.

Description The regulatory environment is in a constant mode of change. Due to the reasons stated above, new issues are constantly arising and RUCO is in a position to respond to the utilities' concerns and protect residential ratepayers.

Solutions:

Provide training opportunities for employees to stay current on new and emerging relevant regulatory topics. Engage other state commissions, consumer advocacy groups and publications to see how they have handled common issues. Track the Office's measure of efficacy to ensure Arizona residential ratepayers are receiving a benefit from the Office's services.

Issue 3 Planning ahead so the Office is prepared for the ever changing regulatory horizon.

Description In today's changing world it is critical that RUCO recruit and retain qualified personnel to meet the mission of the Office. The regulatory area is highly specialized and finding and retaining competent and knowledgeable personnel is challenging. It is imperative that we keep these individuals, provide proper training, reward individuals accordingly and provide a good work environment.

Solutions:

Ensure that staff has the proper mix of disciplines to meet these changing times. This is an ongoing process and we will be adding additional personnel and hiring more consultants with specific areas of expertise. Provide the proper internal and external training and equipment so that our staff is prepared efficiently to deal with the rapidly changing regulatory environment.

Issue 4 Ensuring that we are providing the best possible advocacy for the residential ratepayer that we represent.

Description RUCO's mission and primary objective is to guard and protect the residential ratepayer in proceedings at the Arizona Corporation Commission.

Solutions:

Track overall rate reductions to demonstrate the Office's beneficial worth to Arizona residential ratepayers. Compare the overall rate reductions to the Office's operating budget to develop a savings per dollar spent calculation. Execute solutions defined in Issues 1, 2 and 3 above.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	9.0	9.0	9.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,348.6	1,348.6	1,348.6
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To perform preliminary analyses of all pertinent cases filed at the Arizona Corporation Commission to determine the necessity of our intervention.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of cases analyzed	12	7	7	7	9
RUCO interventions in rate making	12	7	7	7	9

◆ **Goal** 2 To secure for residential utility ratepayers the lowest reasonable rates.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of proceedings intervened in	12	7	7	7	9
Number of proceedings intervened in that resulted in a $$ reduction	12	7	4	7	7
Total dollar amount of reductions in millions US Dollars	277.7	100.0	258.6	100.0	250.0

Agency Summary

BOARD OF RESPIRATORY CARE EXAMINERS

Jack Confer, Executive Director
Phone: (602) 542-5995
A.R.S. §§ 32-3521 to 32-3558

Mission:

To exercise State regulatory authority over respiratory care practitioners by granting licenses; maintaining public records for all practitioners within Arizona; and enforcing rules and statutes to ensure the public health, welfare, and safety.

Description:

The Board of Respiratory Care Examiners regulates the practice of respiratory care in Arizona. Respiratory care practitioners work in therapeutic, surgical, and/or clinical settings to monitor respiration and lung health, as well as to diagnose and treat disorders. The Board examines and licenses respiratory care practitioners based on minimum competence standards set by the Legislature. Additionally, the Board enforces State laws, rules, and regulations set forth to ensure public safety and investigates complaints filed against members of the respiratory care community.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	300.9	322.6	379.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**300.9**	**322.6**	**379.1**
FTE Positions	**4.0**	**4.0**	**4.0**

5 Year Plan

Issue 1 ARIZONA BOARD OF RESPIRATORY CARE EXAMINERS
STRATEGIC PLAN
Fiscal Years 2018-2022

Description The Arizona Board of Respiratory Care Examiners ("Board") is a quasi-judicial state government Agency that licenses and regulates the respiratory care profession in the State of Arizona. The Board consists of seven (7) members who are appointed for three year terms by the Governor. The Board consists of two (2) public members, three (3) licensed respiratory therapists, one (1) physician and one (1) hospital administrator.

Respiratory Therapist care for patients who have trouble breathing—for example, from a chronic respiratory disease, such as asthma or emphysema. Their patients range from premature infants with undeveloped lungs to elderly patients who have diseased lungs. They also provide emergency care to patients suffering from heart attacks, drowning, or shock.

Nationally, respiratory therapists held about 119,300 jobs in 2012. Arizona currently approximately 4,100 licensed therapists. Most respiratory therapists work in hospitals. Others may work in nursing care facilities or travel to patients' homes.

Employment of respiratory therapists is projected to grow 19 percent from 2012 to 2022, faster than the average for all occupations. Growth in the middle-aged and elderly population will lead to an increased incidence of respiratory conditions such as emphysema, chronic bronchitis, and pneumonia. These respiratory disorders can permanently damage the lungs or restrict lung function.

Laws 1990, Chapter 256 § 1, state that:

The Legislature also recognizes that the practice of respiratory care is a dynamic and changing art and science which is continually evolving to include new developments and more sophisticated techniques in patient care, thus creating a need for continuing education and maintenance of minimum standards of competence for those who practice in this area.

The intent of the legislature in this act is to provide clear legal authority for functions and procedures which have common acceptance and usage. In this act, the legislature also intends to recognize the existence of overlapping functions between physicians, registered nurses, physical and occupational therapists, respiratory care practitioners and other licensed health care personnel and to continue to allow appropriate sharing of functions among the various health care professions.

The Board ratifies every new license and renewal application and conducts random audits of required continuing education.

The Board has a well-structured process for investigating complaints made against its' licensees. The investigation process is clearly separated from the adjudication process. Written procedures were developed to outline the complaint process and the order in which things occur, so the complaint is investigated properly and to ensure the due process of the licensee or certificate

MISSION

The mission of the Arizona Board of Respiratory Care Examiners is to benefit, educate and protect the public through regulation of licensure; enforcement of the rules, regulations and statutes governing the safe practice of respiratory care.

VISION

The Arizona Board of Respiratory Care Examiners is committed to the enhancement of the health and safety of the people of Arizona by ensuring:
•Protection for and confidence by the consumer through enforcement of laws governing the practice of respiratory care.

- Highly qualified therapists work as health care professionals.
- Fair and ethical standards of professional conduct.
- Excellence in therapist training and education.

Solutions:
STRATEGIC ISSUES

Goal 1: Complete investigations with 180 days.

Strategy: By January 2021, the Board will complete and resolve complaints within 180 days from receipt.

Goal 2: By December 2019, the Board will implement a new database solution (E Licensing) that accurately tracks licensing timeframes and provides realtime application updates online.

Strategy: By December 2019 add all service to the Web Portal so that all transactions may be paid with a credit card or electronic funds transfer.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	4.0	4.0	4.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	330.0	330.0	330.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To process licensing and renewal applications in a timely and accurate manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New licenses issued.	0	290	318	250	250
Explanation: Total number of licenses issued					
Average number of days to renew a license	2	2	1.5	2	2
Explanation: Average number of days from receipt to granting a temporary license					
Total number of applications for permanent licenses	411	1,750	417	350	350

◆ **Goal** 2 To ensure the placement of each allegation of professional misconduct on the Board's agenda for review in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of complaints received	106	120	0	100	0
Explanation: Total number of complaints received					
Average days from receipt of complaint to resolution	134	100	54	100	120
Explanation: Average number of day to close a complaint					
Average monthly backlog of complaints not yet resolved	37	30	0	30	0
Explanation: Total number of complaints pending from month to month					
Number of licenses revoked or suspended	4	5	0	5	0
Explanation: Total number of licenses revoked or suspended					
Total number of practitioners investigated	132	130	203	140	300
Percent of investigations resulting in disciplinary or enforcement action	4	4	0	2	0
Total percent of licensees receiving disciplinary action	2	2	0	2	0

Agency Summary

STATE RETIREMENT SYSTEM

Paul Matson, Director
Phone: (602) 240-2031
A.R.S. § 38-712

Mission:

To benefit our members, the Arizona State Retirement System (ASRS) is a leading state benefit plan administrator in the areas of core member services, funded status, investment performance, and operational effectiveness, while keeping program benefits and associated costs relatively aligned and maintaining actuarial and fiscal integrity.

Description:

The Arizona State Retirement System (ASRS) provides pension, retiree health insurance, and long-term disability benefits to most public sector employers in Arizona, including State universities and community colleges, public school districts, and State and local governments.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ MEMBER SERVICES	21,768.8	23,799.1	24,043.2
➢ ADMINISTRATION AND SUPPORT	5,899.8	5,278.3	5,287.0
➢ INVESTMENT MANAGEMENT	95,955.1	133,198.6	138,267.4
Agency Total:	**123,623.7**	**162,276.0**	**167,597.6**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	24,128.9	24,194.0	24,194.0
Other Non Appropriated Funds	99,494.8	138,082.0	143,403.6
Total Funding	**123,623.7**	**162,276.0**	**167,597.6**
FTE Positions	**245.9**	**240.9**	**240.9**

5 Year Plan

Issue 1 Maintain Sustainable Benefit Plans

Description Sustainability refers to the ability of employees and employers to afford the cost and volatility of the programs with relative cost and benefit equity. The agency will perform regular analysis of the ASRS benefit programs and make recommendations when necessary to ensure sustainability.

Solutions:

Issue 2 Achieve Investment Goals

Description The ongoing volatility in the worldwide investment markets will necessitate that the ASRS continue to examine its investment strategies and asset allocation and make any adjustments it deems necessary to ensure the long-term health of the ASRS investment portfolios.

Solutions:

Issue 3 Enhance Risk Management Capabilities

Description With ever present theats and impediments to the ability of ASRS meet its mission, vision, goals and objectives, the ASRS must coninue to develop and maintain a robust security program that ensures appropriate data security, privacy protection, and cash controls and manage, monitior and control an enterprise-wide risk management (ERM) program that will provide reasonable assurance that the agency has identified and is managing and mitigating risks most likely to impede the agency's ability to meet its mission, vision, goals and objectives.

Solutions:

Issue 4 Optimize Operational Effectiveness

Description With the use of technology that is high-performing and able to meet evolving business needs the ASRS will continue to manage budgets and implement strategies designed to improve operational effectiveness and/or make the ASRS more cost-effective.

Solutions:

Issue 5 Provide Outstanding Customer Service

Description To continue providing members with high levels of service while remaining cost-effective, the ASRS must have a budget that will allow the agency to continue investing in contemporary technology, while also adding the staff necessary to address the evolving demand for service.

Solutions:

Issue 6 Ensure Operational Continuity

Description To support and provide reasonable assurance that the ASRS will be able to meet agency priorities, the ASRS will recruit, retain and develop a high-performing and engaged workforce that is capable of achieving agency goals and implement workforce plans that prepare future leaders and ensure continuity in key positions.

Solutions:

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	240.9	240.9	240.9
General Fund	0.0	0.0	0.0
Other Appropriated Funds	24,194,000.0	24,194,000.0	24,194,000.0
Non-Appropriated Funds	149,053,900.0	154,709,500.0	159,511,500.0
Federal Funds	0.0	0.0	0.0

Program Summary

MEMBER SERVICES

Anthony Guarino, Deputy Director, Chief Operations Officer
Phone: (602) 240-2077
A.R.S. § 38-712

Mission:

To benefit our members, the Arizona State Retirement System (ASRS) will be a leading state benefit plan administrator in the areas of core member services, funded status, investment performance, and operational effectiveness, while keeping program benefits and associated costs relatively aligned and maintaining actuarial and fiscal integrity.

Description:

The Member Services Program is comprised of the Member Services, Financial Services, and Technology Services Divisions of the ASRS. These three divisions are collectively responsible for delivering services to ASRS members.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	18,580.2	19,290.0	19,290.0
Other Non Appropriated Funds	3,188.6	4,509.1	4,753.2
Total Funding	**21,768.8**	**23,799.1**	**24,043.2**
FTE Positions	**196.0**	**201.0**	**201.0**

◆ **Goal** 1 To ensure member disbursements will be distributed timely, accurately, and cost-effective, resulting in high levels of member satisfaction.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of months in which 90% or more of new retirees receive initial payment within 10 business days of retirement	70	90	1	1	12
Percent of overall member satisfaction with the retirement application process for new retirees (objective 90%)	95	90	96	90	90
Number of months in which 100% of monthly pension payments are disbursed on the first day of the month	100	98	12	12	12
Number of months in which 90% or more of forfeitures are disbursed within 5 business days of request	99	90	12	12	12
Percent of overall member satisfaction with the forfeiture process (objective 90%)	95	90	94	90	90
Percent of overall member satisfaction with the survivor benefit process (objective 90%)	94	90	94	90	90
Number of months in which 100% of survivor benefit annuity calculations are finalized within the first month possible following receipt of all documentation and information	0	0	3	12	12
Number of months in which 100% of survivor benefit lump sum payments are disbursed to beneficiaries within 10 days of receipt of required documentation and information	0	0	1	12	12

◆ **Goal** 2 To offer, for the sole benefit of all eligible members, health insurance plans which are cost competitive, accessible, efficient, and provide strong customer service

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of members that are satisfied with the cost of medical insurance plans for the benefits received	0	0	95	90	90
Percent of eligible members participating in an ASRS medical insurance plan	0	0	23	25	25
Percent of medical insurance performance guarantees that are met and enforced	0	0	99	100	100
Percent of members that are satisfied with the cost of dental insurance plans for the benefits received	0	0	90	90	90
Percent of eligible members participating in an ASRS dental insurance plan	0	0	37	37	37

◆ **Goal** 3 To administer a Long Term Disability plan that is competitive, efficient and satisfies members

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent change in administrative expenses per disabled member	0	0	0	-1	-1
Percent of long term disability performance guarantees that are met and enforced	0	0	73	100	100
Percent of members that are satisfied with the LTD approval process based on the quarterly survey conducted by vendor	0	0	94	100	100
Percent of members that are satisfied with the LTD maintenance process based on the quarterly survey conducted by vendor	0	0	100	100	100

◆ **Goal** 4 To provide members and employers with timely and accurate service that results in high levels of customer satisfaction.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of months which 70% or more of member calls are answered within 20 seconds	44	80	3	12	12
Percentage of overall member satisfaction with Telephone Service at the Arizona State Retirement System (objective 90%)	96	90	95	90	90
Number of months which 90% or higher of member secure messages are answered within one business day	0	0	3	12	12
Percentage of overall member satisfaction with walk-in counseling (objective 90%)	0	0	95	90	90
Number of months which 90% or more of employer secure messages are answered within two business days	0	0	0	6	12

◆ **Goal** 5 To provide members and business users with technology that is high-performing and able to support evolving business needs.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of overall user satisfaction with core business applications	0	0	82	90	90
Percent of overall user satisfaction with non-core business applications	0	0	94	90	90

◆ **Goal** 6 To ensure contributions and data received from members and employers will be processed and managed efficiently and effectively.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of months in which 90% or higher of members receive a service purchase cost invoice within 5 days	0	0	5	12	12
Percent of members satisfied with the service purchase process	0	0	86	90	90
Percent of employers satisfied with the contribution process	0	0	n/a	90	90
Percent of active member accounts that have a complete demographic profile	0	0	96	98	98
Percent of inactive members that have a valid birthdate and address	0	0	87	90	90

Program Summary

ADMINISTRATION AND SUPPORT

Anthony Guarino, Deputy Director, Chief Operations Officer
Phone: (602) 240-2077
A.R.S. § 38-712

Mission:

To benefit our members, the Arizona State Retirement System (ASRS) will be a leading state benefit plan administrator in the areas of core member services, funded status, investment performance, and operational effectiveness, while keeping program benefits and associated costs relatively aligned and maintaining actuarial and fiscal integrity.

Description:

The Administration and Support Program contains the various administrative processes necessary to support the ongoing administration of the ASRS.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	5,254.8	4,594.6	4,594.6
Other Non Appropriated Funds	645.0	683.7	692.4
Total Funding	**5,899.8**	**5,278.3**	**5,287.0**
FTE Positions	**38.9**	**28.9**	**28.9**

◆ **Goal** 1 To ensure responsible governance in the administration of ASRS and its benefit programs

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Employers respond positively when asked "How do you rate the ASRS as an organization?"	0	0	n/a	90	90
Explanation: Deferred- waiting for the ER Survey to go out in the fall of 2019					
Members respond positively when asked if "ASRS operates in my best interest"	0	0	85	90	90
Members respond positively when asked if "My retirement is secure with the ASRS"	0	0	89	90	90
Stakeholders respond positively when asked if "The ASRS acts ethically"	0	0	85	90	90
Obtain an unmodified opinion from the independent auditors on the ASRS' annual audited financial statements (CAFR) (Measure as % complete)	0	0	100	100	100
Obtain an unmodified opinion from the independent auditors on the ASRS' GASB 68 reporting schedules (Measured as % complete)	0	0	100	100	100
Obtain an unmodified opinion from the independent auditors on the ASRS' GASB 75 reporting schedules (Measured as % complete	0	0	100	100	100

◆ **Goal** 2 To recruit, retain and develop a high-performing and engaged workforce that is capable of achieving agency goals and implement workforce plans that prepare future leaders and ensure continuity in key positions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total rolling annual turnover rate compared to the State of Arizona	17.1	18	12.3	18	18
Engagement score from ADOA employee engagement survey	0	0	9.5	9	9

Program Summary

INVESTMENT MANAGEMENT

Karl Polen, Chief Investment Officer
Phone: (602) 240-2014
A.R.S. § 38-719

Mission:

To benefit our members, the Arizona State Retirement System (ASRS) will be a leading state benefit plan administrator in the areas of core member services, funded status, investment performance, and operational effectiveness, while keeping program benefits and associated costs relatively aligned and maintaining actuarial and fiscal integrity.

Description:

The Investment Management Program is responsible for overseeing the investment of the ASRS assets.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	293.9	309.4	309.4
Other Non Appropriated Funds	95,661.2	132,889.2	137,958.0
Total Funding	**95,955.1**	**133,198.6**	**138,267.4**
FTE Positions	**11.0**	**11.0**	**11.0**

◆ **Goal** 1 To achieve a total fund rate of return equal to or greater than the actuarial assumed interest rate.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of investment returns	9.4	7.5	6.6	7.5	7.5
20-Year rolling annual rate of return on total fund assets (%)	0	8.0	0	0	0

◆ **Goal** 2 To achieve a total fund rate of return equal to or greater than the Asset Allocation Benchmark.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Annualized rate of return	0	8.0	0	0	0
Excess return measured against strategic asset allocation benchmark	0	n/a	0	0	0
3-year rolling annual rate of return	0	8.0	0	0	0
3-Year excess return measured against strategic asset allocation benchmark	0	n/a	0	0	0

◆ **Goal** 3 To achieve asset class net rates of return equal to or greater than their respective broad asset class benchmarks.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Annualized rate of return for total equity	0	n/a	0	0	0
Excess total equity return measured against benchmark	0	n/a	0	0	0
Annualized rate of return for interest rate sensitive	0	n/a	0	0	0
Excess interest rate sensitive return measured against benchmark	0	n/a	0	0	0
Annualized rate of return for total credit	0	n/a	0	0	0
Excess total credit return measured against benchmark	0	n/a	0	0	0
Annualized rate of return for real estate (IRR)	0	n/a	0	0	0
Excess real estate return measured against benchmark	0	n/a	0	0	0
3-year rolling annual rate of return for total equity	0	n/a	0	0	0
3-year rolling annual excess total equity return measured against benchmark	0	n/a	0	0	0
3-year rolling annual rate of return for interest rate sensitive	0	n/a	0	0	0
3-year rolling annual excess interest rate sensitive return measured against benchmark	0	n/a	0	0	0
3-year rolling annual rate of return for total credit	0	n/a	0	0	0
3-year rolling annual excess total credit return measured against benchmark	0	n/a	0	0	0
3-year rolling annual rate of return for real estate	0	n/a	0	0	0
3-year rolling annual excess real estate return measured against benchmark	0	n/a	0	0	0

◆ **Goal** 4 To ensure sufficient monies are available to meet cash flow requirements.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total market value of ASRS fund assets (in billions)	0	n/a	0	0	0
Total annual benefit payments (in billions)	0	n/a	0	0	0
Percentage of liability funded	0	n/a	0	0	0

Agency Summary

DEPARTMENT OF REVENUE

Carlton Woodruff, Interim Director
Phone: (602) 716-6090
A.R.S. §§ 42-1001 et seq.

Mission:

To administer and enforce the State of Arizona's tax laws correctly, effectively, and fairly; to promote public confidence and compliance; and to serve as a helpful resource for Arizona taxpayers.

Description:

The Department of Revenue (DOR) administers and enforces the collection of individual and corporate income, transaction privilege, withholding, and other taxes. DOR oversees the 15 county assessors in the administration of State property tax laws.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ SERVICE	16,827.2	17,640.3	16,940.3
➢ PROCESSING	9,787.4	12,676.1	12,676.1
➢ EDUCATION AND COMPLIANCE	16,295.5	19,225.4	19,225.4
➢ AGENCY SUPPORT	28,577.0	33,222.8	33,222.8
Agency Total:	**71,487.0**	**82,764.6**	**82,064.6**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	28,456.6	31,245.2	32,545.2
Other Appropriated Funds	41,789.4	49,730.1	47,730.1
Other Non Appropriated Funds	1,241.0	1,789.3	1,789.3
Total Funding	**71,487.0**	**82,764.6**	**82,064.6**
FTE Positions	**895.0**	**895.0**	**895.0**

5 Year Plan

Issue 1 Please see Arizona Department of Revenue's strategic plan for all issues.

Description

Solutions:

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	895.0	895.0	895.0
General Fund	32,545.2	32,545.2	32,545.2
Other Appropriated Funds	47,730.1	47,730.1	47,730.1
Non-Appropriated Funds	1,594.1	1,594.1	1,594.1
Federal Funds	0.0	0.0	0.0

Department of Revenue

Fiscal Year 2020 Strategic Plan 2-pager

Agency Interim Director: Carlton Woodruff
Strategic Planner: Dan Borns
Last modified: 07/08/2019

Vision: Funding Arizona's future through excellence in innovation, customer service and continuous improvement.

Mission: Serving Taxpayers!

Agency Description: Pursuant to A.R.S. Titles 42 and 43, ADOR administers collection and distribution of individual and corporate income, transaction privilege, withholding and luxury taxes. ADOR is also responsible for oversight on property tax and unclaimed personal property.

Executive Summary: The Arizona Department of Revenue is committed to optimizing taxpayer services through innovation and continuous improvement, which includes improving taxpayer call center quality and e-solutions that better serve customers.
To accelerate processing, there is a focus on web-based taxpayer enhancements that make it easier for individuals and businesses to file tax returns and make tax payments.
Maximizing taxpayer education and compliance through an emphasis on educational outreach is helping taxpayers understand and comply with Arizona's tax laws.
To support and champion the agency's mission of serving taxpayers, ADOR is deploying enhanced training agency wide. Also, by utilizing Arizona Management System principles, the department is mapping every internal process to have standard work to continuously improve customer service.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	1: Optimize Taxpayer Services (External Facing)	2016	Taxpayer Call Center wait times have gone from an average of more than 16 minutes in FY17 to less than 3 minutes in FY19. Customers will have E-pay options at ADOR lobbies for the first time in Q1 of FY20. Live chat will provide another option for taxpayers to have their questions answered starting in Q1 of FY20. A total of 58 administrative rules have been improved/repealed in FY16 through FY19.
2	2: Accelerate Processing (Internal Facing)	2016	Electronic data capture is in place for all paper TPT-EZ and TPT-2 returns. Corporate e-file Phase 1 is complete. Additionally, 580,000 paper 1099-G forms that were mailed are now downloaded electronically via self-service portal by the taxpayer.
3	3: Maximize Taxpayer Education and Compliance (External Facing)	2016	Total revenue collected has increased from $13.8B in FY15 to a record $17.9B in FY18. During the same period the number of staff was reduced by more than 25 percent. The department successfully completed the largest administrative tax reform in decades (TPT simplification).
4	4: Support & Champion Agency Mission (Internal Facing)	2016	ADOR's Engagement score went from 2.4 in 2016 to 9.2 in 2019. ADOR's footprint in private leased space was reduced by 52,000 square feet. All ADOR FTEs are Lean Six Sigma Yellow Belt certified. An $11MM investment to ensure reliable operation and improved security of critical tax systems was completed on-time and within budget. Implemented a one week new employee orientation process. Standard Work has been completed for over 200 ADOR processes.

Department of Revenue

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Conform to income tax adjustments in HB2757.	Conformity project	- Revise tax year 2019 forms and instructions and modify ADOR electronic tax systems to conform to income tax adjustments in HB2757.
1	Develop a standard call Quality Assurance (QA) evaluation tool and process.	Call Center QA project	- Evaluate the current state of the QA process for each of the three call centers. Develop a standard call QA evaluation tool and process for use by all ADOR call centers.
2	Assist over 90,000 corporations in Arizona to file electronically for the first time.	Corporate e-file project Phase 2	- Complete the department's corporate e-file project in time for corporate and partnership customers to file tax year 2019 returns electronically.
3	Enable remote sellers and marketplace facilitators to obtain TPT licenses, file and pay electronically.	Remote seller and marketplace facilitators project Establish E-Commerce Compliance Office (ECCO) baseline – number of requests Establish (ECCO) baseline - customer survey Award remote seller compliance contract	- Develop electronic system to enable licensure, filing and payment by remote sellers and marketplace facilitators with minimal burden to users. - Implement E-commerce compliance office (ECCO) team - Process RFP for remote seller compliance project
3	Increase electronic filing and payments.	Increase electronic filing Increase electronic payments	- Implement existing legislation and improve the department's electronic processes.
3	Improve internal and external collaboration.	Increase compliance through education project Accurate TPT license information project City Services customer responsiveness project Tax Data analysis and correction project	- Collaborate with ADOR units to develop and implement standard work to document the collaboration process, periodically assess collaboration opportunities, and evaluate collaboration effectiveness. - Collaborate with cities and towns to develop and implement standard work to verify TPT license status and ensure accurate license information. - Collaborate with cities and towns to develop and implement standard work to utilize data analytics to identify trends, track city question responsiveness, and implement opportunities for improvement. - Audit Tax Accounting System (TAS) information to identify accounts that warrant further analysis. Correct account information.
4	Develop taxpayer communication improvement plan.	Taxpayer Communication Plan - Correspondence	- Inventory and evaluate all existing communications to taxpayers to determine resources required and schedule for implementing improvement. - Develop options to standardize address information in ADOR systems.
4	Sustain and enhance the department's new employee training/career track process.	Employee training sustainment and enhancement project Succession Plan	- Communicate the new process to all staff. Identify required and optional classes for each employee. Monitor participation and successful class completion. - Develop and maintain succession planning for agency critical processes

Program Summary

SERVICE

Kelly Peloquin, Assistant Director of Taxpayer Services
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Service program, also known as Taxpayer Services, is responsible for: issuing tax form and licensing information; answering telephone and written inquiries on the application of tax laws, drafting and publishing rulings, procedures, and instructions to aid taxpayers in understanding their tax obligations; analyzing tax filing, audit and collection information; providing statistics relating to revenues and credits in reports to the Governor's Office, Legislature, departmental staff and members of the public that aid in making revenue projections, economic impact projections and other tax policy determinations; responding to inquiries from the Legislature and Governor's Office as to the economic impact of proposed legislation or other economic impact issues; exercising general supervision over county assessors to ensure all property is uniformly valued, prescribing guidelines for appraisal methods and valuing centrally valued properties; resolving taxpayer account problems and disputes; answering billing inquiries; processing license applications for transaction privilege licenses; and returning unclaimed property to its rightful owners by identifying, locating and notifying the owners/holders of the property; ensuring taxpayers are granted due process in the appeal of determinations made by the Arizona Department of Revenue; and administering and enforcing Arizona tobacco tax laws, including processing applications for tobacco distributor licenses.

This Program Contains the following Subprograms:

- Inquiries and Requests
- Local Jurisdictions
- Taxpayer, Executive, and Legislative Issues
- Enforcement

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	1,300.0
Other Appropriated Funds	15,860.2	16,527.5	14,527.5
Other Non Appropriated Funds	967.0	1,112.8	1,112.8
Total Funding	**16,827.2**	**17,640.3**	**16,940.3**
FTE Positions	**208.3**	**207.7**	**207.7**

◆ **Goal** 1 To optimize taxpayer services

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Sustain all taxpayer call center wait times to under 1 minute	N/A	1:00	2:30	N/A	N/A
Increase E-pay options for taxpayers by accepting credit card and debit card payments (percent complete)	N/A	100.0	77.0	N/A	N/A
Implement live chat functionality for taxpayers on ADOR Website (percent complete)	N/A	100.0	55.0	N/A	N/A
Complete Conformity project (percent complete)	0	0	N/A	100.0	N/A
Complete Call Center QA project (percent complete)	0	0	N/A	100.0	N/A

Subprogram Summary

INQUIRIES AND REQUESTS

Kelly Peloquin, Assistant Director of Taxpayer Services
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

Inquiries & Requests is responsible for: issuing tax forms and licensing information; answering telephone and written inquiries regarding tax administration and procedure to aid taxpayers in understanding and meeting their tax obligations; drafting and publishing rulings, procedures, and instructions that aid taxpayers in understanding their tax obligations; resolving taxpayer account problems and disputes; answering billing inquiries; reviewing and evaluating penalty abatement requests; processing license applications for transaction privilege and bingo licensees; and returning unclaimed property to its rightful owners by identifying, locating, and notifying the owners/holders of the property. Inquiries and Requests includes the Hearing Office which conducts hearings and issues decisions on administrative matters involving income tax or other matters where federal tax information may be involved.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	1,300.0
Other Appropriated Funds	9,059.4	8,290.7	6,290.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**9,059.4**	**8,290.7**	**7,590.7**
FTE Positions	**87.9**	**87.9**	**87.9**

Subprogram Summary

LOCAL JURISDICTIONS

Kelly Peloquin, Assistant Director of Taxpayer Services
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

Local Jurisdictions is responsible for administration of the state's property tax laws; exercising general supervision over county assessors to ensure all property is uniformly valued; providing certification and training; appraisal of utilities, railroads, mines and other complex properties; development of appraisal and assessment guidelines; and conducting analysis to ensure assessors' values are within statutorily prescribed limits.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,694.5	3,387.0	3,387.0
Other Non Appropriated Funds	10.5	10.6	10.6
Total Funding	**2,705.0**	**3,397.6**	**3,397.6**
FTE Positions	**39.5**	**39.6**	**39.6**

Subprogram Summary

TAXPAYER, EXECUTIVE, AND LEGISLATIVE ISSUES

Kelly Peloquin, Assistant Director of Taxpayer Services
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Taxpayer, Executive and Legislative Issues subprogram provides administrative tax policy for the Department, legal and interpretive support, case advocacy and resolution for the various divisions within the Department. The subprogram also acts as liaison to the Attorney General's Tax Section and coordinates the defense of litigation with the Tax Section attorneys. The subprogram provides additional support to the Director on an as-needed basis; protecting taxpayer confidentiality and privacy; responding to record requests from the public, law enforcement and state and federal agencies. The subprogram provides legal guidance on issues involving disclosure or record retention, is the liaison for the Internal Revenue Service and prepares required reports and policies. The subprogram administers and enforces Arizona tobacco tax laws, including the issuance of tobacco distributor licenses. The Office of Economic Research and Analysis team compiles, performs analysis of and disseminates data about the taxes collected by ADOR. In addition, they provide statistical analysis and research services for the Department and stakeholders including fiscal impact of proposed changes to tax laws. The team also administers the School Tuition Organization credits, the Qualifying Charitable Organization credits, the Public School Credit and others. The subprogram consists of Corporate Appeals, Individual Income Appeals, Non-Income Appeals, Tax Research & Analysis Section, Disclosure Office, General Counsel, and Office of Economic Research and Analysis.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	3,843.2	4,632.0	4,632.0
Other Non Appropriated Funds	794.9	833.8	833.8
Total Funding	**4,638.1**	**5,465.8**	**5,465.8**
FTE Positions	**70.9**	**69.2**	**69.2**

Subprogram Summary

ENFORCEMENT

Kelly Peloquin, Assistant Director of Taxpayer Services
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Enforcement subprogram inspects and educates tobacco retailers and distributors regarding compliance with tobacco tax laws, and investigates and assists in the prosecution of criminal offenders.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	263.1	217.8	217.8
Other Non Appropriated Funds	161.5	268.4	268.4
Total Funding	**424.6**	**486.2**	**486.2**
FTE Positions	**10.0**	**11.0**	**11.0**

Program Summary

PROCESSING

Derek Beck, Assistant Director of Processing
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Processing program is comprised of two subprograms: Process Administration and Tax Data Management.

This Program Contains the following Subprograms:

- Process Administration
- Tax Data Management

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	9,787.4	11,113.9	11,113.9
Other Appropriated Funds	0.0	1,531.8	1,531.8
Other Non Appropriated Funds	0.0	30.4	30.4
Total Funding	**9,787.4**	**12,676.1**	**12,676.1**
FTE Positions	**115.3**	**146.0**	**146.0**

◆ **Goal** 1 To accelerate processing

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Reduction in processing time for all major tax types (percent)	14.0	N/A	N/A	N/A	N/A
Automate business tax returns and payments by completing electronic data capture for TPT (percent complete)	N/A	100.0	100.0	N/A	N/A
Develop plan for Phase 2 of electronic data capture for other tax types (percent complete)	N/A	100.0	100.0	N/A	N/A
Develop Corporate E-file Phase 1 according to multi-year plan (percent complete)	N/A	100.0	100.0	N/A	N/A
Complete Corporate e- file project phase 2 (percent complete)	0	0	N/A	100.0	N/A

Subprogram Summary

PROCESS ADMINISTRATION

Derek Beck, Assistant Director of Processing
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Process Administration subprogram is comprised of four teams:

Records Processing: Opens, batches and processes tax documents; handles the department's mail services; identifies errors in documents before data entry occurs. Responsible for filing, maintaining, storing and disposal of all tax documents; provides internal access to tax returns and license applications; develops customized records retention and disposition schedules.

Remittance: Responsible for depositing all tax revenue.

Data Entry: Responsible for entering all taxpayer data.

Error Resolution: Ensures accuracy in the processing of returns and payments for the four largest tax types.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	6,717.1	7,846.0	7,846.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	30.4	30.4
Total Funding	**6,717.1**	**7,876.4**	**7,876.4**
FTE Positions	**109.0**	**115.0**	**115.0**

Subprogram Summary

TAX DATA MANAGEMENT

Derek Beck, Assistant Director of Processing
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

This Sub-Program is the official owner of the data within the Department's Tax Accounting System (TAS). It has four major components:

Advanced Error Resolution: ensuring taxpayer accounts are correct and in balance. In this fiscal year, the Department made Account Management a priority. Through these efforts, the General Fund has realized a net savings of $4.1 Million through November 30, 2018 through additional billings and refund denials. This Sub-Program will intensify these efforts which will result in additional general fund savings.

Data Review and Cleansing for new Tax System: The Sub-Program is responsible for ensuring that the data within the current tax system is free of defect in preparation for a new tax system.

New Tax system implementation: The Sub-Program is taking the lead in preparing the Department for a new tax system and will lead in the implementation of the new system.

Income Tax Fraud Prevention: The Sub-Program is responsible for stopping individual income tax fraud and pursues financial investigations when fraudulent activity is suspected.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,070.2	3,267.9	3,267.9
Other Appropriated Funds	0.0	1,531.8	1,531.8
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**3,070.2**	**4,799.7**	**4,799.7**
FTE Positions	**6.3**	**31.0**	**31.0**

Program Summary

EDUCATION AND COMPLIANCE

Tom Johnson, Assistant Director of Education & Compliance
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Education and Compliance program is comprised of three subprograms; Audit and Assessing, Collections, and Education & Outreach. The Tax Fraud Prevention subprogram should be moved to Program 2.0 - Processing as subprogram 2.3.

This Program Contains the following Subprograms:

- Education and Outreach
- Audit and Assessing
- Collections
- Tax Fraud Prevention

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,415.1	2,984.3	2,984.3
Other Appropriated Funds	13,620.2	15,597.6	15,597.6
Other Non Appropriated Funds	260.2	643.5	643.5
Total Funding	**16,295.5**	**19,225.4**	**19,225.4**
FTE Positions	**368.4**	**338.3**	**338.3**

◆ **Goal** 1 To maximize taxpayer education and compliance

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Actual vs Estimated state tax collections (percent) Using last year's revenue estimate. OSPB has not provided a revised for FY2020.	104.3	101.5	103.7	101.5	101.5
Increase revenue from delinquent accounts and audit activity by $55 Million (dollars)	N/A	55,000	57,000	N/A	N/A
Increase participation in outreach events by 50% (number of participants)	N/A	1,825	4,111	N/A	N/A
Complete Remote Seller and Marketplace Facilitator project (percent complete)	0	0	N/A	100.0	N/A
Establish ECCO baseline for number of requests	0	0	N/A	N/A	N/A
Establish ECCO baseline for customer satisfaction (percentage of surveys scoring 4 or above)	0	0	N/A	N/A	N/A
Award unlicensed remote seller leads contract (percent)	0	0	N/A	100.0	N/A
Increase electronic filing (percent of total)	N/A	68.0	75.0	78.0	82.0
Increase electronic payments (percent of total)	N/A	70.0	73.0	77.0	79.0
Increase compliance through education project (number of taxpayers)	0	0	N/A	1,090	N/A
Accurate TPT license information project (number of licenses fixed)	0	0	N/A	1,380	N/A
Complete City Services customer responsiveness project (percent complete)	0	0	N/A	100.0	N/A
Tax Data analysis and correction project (number of accounts)	0	0	N/A	12,000	N/A

Subprogram Summary

EDUCATION AND OUTREACH

Tom Johnson, Assistant Director of Education & Compliance
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Education and Outreach subprogram is responsible for education and compliance through the processes of community outreach, coordinating tax enforcement and collection with local and state authorities, supervising the processing of voluntary disclosure agreements and desk audits, and administration of specialty taxes (jet fuel tax, bingo, etc.) The Agency as a whole is expanding its Education and Outreach subprogram to all Arizonans, specifically working through the Audit and Assessing and Collections subprograms and with the Arizona cities and towns to further educate individual income and corporate taxpayers. To this end, the Outreach component is embedded in all that ADOR does and continues to adapt to keep pace with the customer need – and expectations.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	154.8	329.6	329.6
Other Appropriated Funds	1,315.5	1,538.5	1,538.5
Other Non Appropriated Funds	18.7	65.0	65.0
Total Funding	**1,489.0**	**1,933.1**	**1,933.1**
FTE Positions	**38.4**	**27.7**	**27.7**

Subprogram Summary

AUDIT AND ASSESSING

Tom Johnson, Assistant Director of Education & Compliance
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Audit subprogram is responsible for providing an integrated, coordinated and uniform system of tax administration designed to ensure that taxpayers correctly calculate and report their corporate income taxes, individual income taxes, withholding taxes and transaction privilege, use and severance taxes. The Audit subprogram provides education to taxpayers through the process of field audits, desk audits, and developing training for taxpayers. The Audit subprogram ensures that auditors are versed in analyzing taxpayers' books and records, arriving at a correct tax calculation based on application of Arizona laws to each tax type, and explaining how Arizona laws, rules and regulations apply to each taxpayer. The Audit subprogram is further responsible for training and supervision of municipal auditors and uniform administration of both state and local transaction privilege and use taxes levied by counties, cities, towns and other special districts. The Audit subprogram provides services to other agencies (e.g., the Department of Defense regarding claims by Native Americans, or the Department of Health Services regarding compliance with tax laws by the medical marijuana dispensaries). The Audit subprogram is further responsible for reviewing refunds submitted by taxpayers and protecting Arizona state revenues by denying issuing of those refund claims that are fraudulent or unsubstantiated. Following completion of an audit or refund review, the Audit subprogram continues to provide education and support to taxpayers and agency representatives necessary to assist with resolution of taxpayer protests and to provide oversight during litigation.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,637.1	1,793.5	1,793.5
Other Appropriated Funds	5,489.1	4,970.4	4,970.4
Other Non Appropriated Funds	4.4	318.9	318.9
Total Funding	**7,130.6**	**7,082.8**	**7,082.8**
FTE Positions	**135.7**	**124.4**	**124.4**

Subprogram Summary

COLLECTIONS

Tom Johnson, Assistant Director of Education & Compliance
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Collections subprogram secures the payment of receivables, delinquent taxes and filing of delinquent returns through correspondence, telephone, and field contacts with taxpayers.

All collection activity is performed under the overview of the Taxpayer Bill of Rights to promote fairness, confidentiality, and consistency of application of the tax laws. Arizona was the first state to have a Taxpayer Bill of Rights in 1986, and the 1994 updated version again put Arizona in the leadership role of protecting taxpayer rights, while ensuring that all taxpayers pay their fair share of the tax burden.

The subprogram also works with delinquent taxpayers by entering into payment arrangements and educating them in compliance (filing obligations) issues. Upon the taxpayer's action to void the agreement, enforcement collections activity is pursued including filing liens, levies, and seizures of assets.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	623.2	861.2	861.2
Other Appropriated Funds	6,815.6	9,088.7	9,088.7
Other Non Appropriated Funds	237.1	259.6	259.6
Total Funding	**7,675.9**	**10,209.5**	**10,209.5**
FTE Positions	**194.4**	**186.2**	**186.2**

Subprogram Summary

TAX FRAUD PREVENTION

Tom Johnson, Assistant Director of Education & Compliance
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Tax Fraud Prevention subprogram is responsible for developing measures to prevent fraudulent tax filings (it uses data and data analytics to prevent issuance of refunds based on fraudulent tax filings) and for investigating allegations of tax fraud; assisting the Attorney General's Office in the prosecution of criminal tax offenders; conducting administrative and internal investigations; contracting with the Attorney General's Office for the services of an attorney to prosecute tax cases; and creating educational opportunities for internal users designed to identify and prevent tax fraud.

This subprogram should be moved to Program 2.0 - Processing as subprogram 2.3.

Program Summary

AGENCY SUPPORT

Carlton Woodruff, Interim Director
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Agency Support program is responsible for providing leadership, staff development, human resources, management, technology, budget and business services, strategic and resource planning, legal services to management, financial and inventory accounting, communications, and continuous improvement to support all core business processes of the Department. ADOR expects the goal for regrettable attrition to eventually become zero.

This Program Contains the following Subprograms:

- Human Resources
- Information Services
- Support Services

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	16,254.1	17,147.0	17,147.0
Other Appropriated Funds	12,309.0	16,073.2	16,073.2
Other Non Appropriated Funds	13.9	2.6	2.6
Total Funding	**28,577.0**	**33,222.8**	**33,222.8**
FTE Positions	**203.0**	**203.0**	**203.0**

◆ **Goal** 1 To support and champion the agency mission

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Deploy enhanced training agency wide to improve standard work, enhance consistency and boost retention (percent complete)	N/A	100.0	100.0	N/A	N/A
Complete Taxpayer Communication Plan - Correspondence (percent complete)	0	0	N/A	100.0	N/A
Complete Taxpayer Communication Plan - Addresses (percent complete)	0	0	N/A	100.0	N/A
Complete Employee training sustainment and enhancement project (percent complete)	0	0	N/A	100.0	N/A
Complete Succession Plan project (percent complete)	0	0	N/A	100.0	N/A

Subprogram Summary

HUMAN RESOURCES

Carlton Woodruff, Interim Director
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve Taxpayers!

Description:

The Human Resources subprogram is responsible for providing employee relations, benefits, recruitment and retention, performance evaluations, staff training and development, and guidance and resolution of employee issues.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	588.9	696.1	696.1
Other Non Appropriated Funds	6.0	2.6	2.6
Total Funding	**594.9**	**698.7**	**698.7**
FTE Positions	**8.0**	**8.0**	**8.0**

Subprogram Summary

INFORMATION SERVICES

Carlton Woodruff, Interim Director
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Information Services subprogram maintains technology infrastructure, systems, reports and security, hardware, software and project management necessary for ADOR to deliver core Department of Revenue business processes.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	12,196.8	13,006.0	13,006.0
Other Appropriated Funds	6,209.1	9,201.2	9,201.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**18,405.9**	**22,207.2**	**22,207.2**
FTE Positions	**136.0**	**136.0**	**136.0**

Subprogram Summary

SUPPORT SERVICES

Carlton Woodruff, Interim Director
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Support Services subprogram provides leadership, management and direction to all employees of the Department; agency planning, resource allocation, budgeting and business services; accounting and distributions of all revenues received; purchasing and internal financial and inventory accounting; management and maintenance of all department facilities; continuous improvement and communications.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,057.3	4,141.0	4,141.0
Other Appropriated Funds	5,511.0	6,175.9	6,175.9
Other Non Appropriated Funds	7.9	0.0	0.0
Total Funding	**9,576.2**	**10,316.9**	**10,316.9**
FTE Positions	**59.0**	**59.0**	**59.0**

Agency Summary

SCHOOL FACILITIES BOARD

Paul Bakalis, Executive Director
Phone: (602) 542-6143
A.R.S. §§ 15-2001 et seq.

Mission:

To collaborate as advocate and partner with State of Arizona stakeholders to ensure universally safe, secure, healthy, and engaging learning environments.

Description:

The School Facilities Board (SFB) is a capital management agency. The SFB maintains a facilities database consisting of information reported by each school district that aids in determining the eligibility for State funding from the New School Facilities (NSF) and Building Renewal Grant (BRG) funds. The SFB is mandated to ensure compliance with building adequacy standards and routine preventative maintenance guidelines with respect to the construction of new buildings and maintenance of existing buildings. The SFB also administers an Emergency Deficiencies Correction (EDC) program and validates Adjacent Ways expenditures.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	299,607.4	325,650.3	223,152.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	338,862.2	483,726.0	428,576.0
Total Funding	**638,469.6**	**809,376.3**	**651,728.9**
FTE Positions	**28.0**	**34.0**	**40.0**

◆ **Goal** 1 To ensure AZ schools meet minimum guidelines.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Building Renewal Grant Applications	892	0	878	850	850
Number of new school construction projects completed	2	4	5	8	6

◆ **Goal** 2 To re-align Minimum Adequacy Guidelines (MAG) with research-driven, best practices maximizing economic value.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of completion of annual milestones.	NA	100	100	100	100

◆ **Goal** 3 To ensure AZ school districts are performing Preventative Maintenance (PM).

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of building renewal grant projects open after 12-months	494	0	659	400	300

◆ **Goal** 4 To implement Communications Plan.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of school districts that responded to customer satisfaction survey	26	60	36	50	60
Percent of all school districts rating the Boards' services as satisfactory, good, or excellent in annual survey	75	85	86	95	96

School Facilities Board

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Paul Bakalis
Strategic Planner: Paul Bakalis
Last modified: 7/12/2019

Vision: To be the Arizona school districts' trusted partner and nationally-recognized resource for achieving optimal student learning environments.

Mission: To collaborate as advocate and partner with State of Arizona stakeholders to ensure universally safe, secure, healthy, and engaging learning environments.

Agency Description: The School Facilities Board (SFB) is a capital management agency. The SFB maintains a facilities database consisting of information reported by each school district that aids in determining the eligibility for State funding from the New School Facilities (NSF) and Building Renewal Grant (BRG) funds. The SFB is mandated to ensure compliance with building adequacy standards and routine preventative maintenance guidelines with respect to the construction of new buildings and maintenance of existing buildings. The SFB also administers an Emergency Deficiencies Correction (EDC) program and validates Adjacent Ways expenditures.

Executive Summary: By partnering with school districts and other stakeholders, the SFB will modernize the standards to which all Arizona schools are held. The Building Renewal Grant (BRG) fund is a critical resource in assisting school districts to meet these standards. As a capital management agency, the SFB works to sustain the fund by identifying opportunities to optimize resources, with the aim of preventing avoidable expenditures and minimizing disruption to students. It is anticipated that the number and value of projects awarded in FY 20 will reflect an increase over FY 19.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Ensure AZ schools meet minimum guidelines	2009	Since 2009 the School Facilities Board (SFB) has managed the Building Renewal Grant (BRG) program, by which school districts identify deficiencies within their buildings and building systems and then submit applications for funding to correct the deficiencies.
2	Re-align Minimum Adequacy Guidelines (MAG) with research-driven, best practices maximizing economic value	2018	The MAG Committee was assembled in 2018. As of July 2019, the committee has held three meetings. Additional meetings have been scheduled and will be followed by a public comment period and presentation to GRRC. Target completion: 10/2020
3	Ensure AZ school districts are performing Preventative Maintenance (PM)	2003	Since 2003 the SFB has made available online tools for school districts to develop PM Plans and Task Sheets, performed PM Inspections, and required school district annual reports of PM tasks completed.
4	Implement Communications Plan	2018	In FY 18, the current leadership team implemented the motto, "Partner and Advocate." In FY 19, the message was enhanced to include "Earn the Districts' business because we have a value proposition from which they derive benefit." In FY 20, the plan is branding the value proposition we provide to school districts through weekly emails via iContact, success stories and best practices through social media, and livestreaming Board meetings online.

School Facilities Board

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase effectiveness of Building Renewal Grant (BRG) fund	Number of BRG awards Value of BRG awards	• Track trends in BRG activities (number of applications, number of awards, value of awards by category, etc.) • Explore potential of doing assessments with SFB staff • Continue development of processes to #measuretwicecutonce (performance specifications for roofing, fire alarms, etc. as well as manufacturer-certified technical diagnostic) • Track progress of BRG project status
	Reduce number of open BRG projects that were approved prior to implementation of on-line payment process on 1/10/18	Number of open BRG projects that were approved prior to 1/10/18	• Close out or cancel all BRG projects approved prior to 1/10/18
2	Continue process of updating Minimum Adequacy Guidelines (MAG)	Percentage of milestones achieved	• Modernize minimum requirements for schools • Incorporate outcome-based best practices • Initiate post-occupancy evaluations for alignment with expectations • Compare to ADE academic outcomes and Achieve60AZ
3	Increase number of districts that update Preventative Maintenance (PM) plans	Number of PM plans updated	• Increase districts' awareness of need to maintain school buildings • Facilitate Interagency Services Agreements (ISA) between districts to share PM resources
4	Improve communication with school districts	Social media analytics (Number of subscribers, followers, likes, shares, etc.)	• Provide information to school districts via iContacts • Develop training videos to facilitate the application process • Share third-party videos on best practices • Livestream Board meetings

Agency Summary

SECRETARY OF STATE - DEPARTMENT OF STATE

Katie Hobbs, Secretary of State
Phone: (602) 542-9781
A.R.S. §§ 41-121 et seq; 29-301 et seq; 44-1271 et seq; 44-1441

Mission:

To provide services in Arizona in order to preserve our history, promote engagement, and protect the future, in a trusted, accessible, innovative and secure manner.

Description:

The Administration anticipates requests of services from public citizens, candidates, elected officials, media and business community members to increase. In order to accommodate these requests, the Department shall provide timely, efficient filing and retrieval of information by providing trusted and accessible information to agency customers through innovative and secure means.

Internally, Administration oversees and carries out technology support, communications, legislative oversight and compliance monitoring, financial management, accounting (accounts receivable, accounts payable, payroll), budgeting, procurement, human resources and training services. Administration provides support for Business Services, Public Services/Administrative Rules, Arizona State Library, Archives and Public Records, Address Confidentiality Program and Road to Rights, and Election Services Divisions. The agency director and the financial officer support the leadership in policy making duties with responsibility for obtaining, enhancing and sustaining all office resources.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	3,716.8	4,353.9	10,477.1
➢ BUSINESS SERVICES	835.0	816.2	816.2
➢ PUBLIC SERVICES	204.9	187.5	187.5
➢ ELECTION SERVICES	6,768.1	5,537.3	10,777.3
➢ ARIZONA STATE LIBRARY, ARCHIVES, AND PUBLIC RECORDS	12,307.6	11,789.9	12,127.1
Agency Total:	**23,832.4**	**22,684.8**	**34,385.2**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	16,995.3	17,367.9	28,731.1
Other Appropriated Funds	2,065.9	742.8	1,080.0
Other Non Appropriated Funds	4,771.2	4,574.1	4,574.1
Total Funding	**23,832.4**	**22,684.8**	**34,385.2**
FTE Positions	**144.0**	**138.9**	**138.9**

5 Year Plan

Issue 1 Upgrade and enhance the IT Systems for the Secretary of State's Office.

Description In 2018, a Gartner Cyber Security Assessment revealed a multi-year plan to replace aging systems, enhance firewalls and other protections, and implement policies and procedures to ensure that the multiple divisions of the agency could keep up with security protocols intended to keep sensitive government systems operational and secure.

Solutions:

Follow the recommendations of the Gartner Assessment. This multi-year approach will bring the SOS up to date in terms of technology and security.

Issue 2 Create systems, policies and protocols that ensure the Secretary of State's Office is fiscally responsible, transparent, and is accountable in use of public funds.

Description Lack of fiscal management and use of standard accounting principles has created a structural deficit for the Secretary of State, which has resulted in challenges related to being appropriately staffed and ability to provide competitive pay as well as meet basic operational needs. New systems are being put in place to ensure that the department is following state laws, rules, policies and protocols for use of public funds.

Solutions:

The Office will continue to work with state budgetary stewards such as OSPB, JLBC, SPO, and GAO to ensure that the agency is following state standards for use of public funds. All Administrative staff and division directors are being trained on procurement rules and guidelines, even for those divisions that have a procurement exemption. Staff is being trained on the system for requesting purchase orders. Division budgets are being provided to Directors with expectations that they will work to stay within their allocations. Administrative policies are being developed and implemented throughout the agency to work towards strong fiscal management for the department. An agency wide review has led to layoffs and realignment of positions. The agency needs to continue to address disparities across the department.

Issue 3 Ensure safe and secure elections.

Description Following the 2016 Elections, officials, from the federal government to local municipalities, realized the work that needs to be done to ensure that the public has faith in our democratic institutions and to protect the integrity of the vote.

Solutions:

HAVA funds have made addressing this issue easier at the state and county level by providing much needed resources for the counties to enhance the security of their systems. We need to continue to explore what is needed to be done to protect from any vulnerabilities that might exist. Partnerships, such as the one being supported through the National Governor's Association Policy Academy, in which AZ was one of six states selected to receive targeted support and technical assistance from elections security experts, are making a significant impact in our efforts to build Incident Response Plans and Communications Plans so that we are prepared in the event of an emergency. These efforts will be on-going and continue beyond the 2020 Elections.

Issue 4 Records Management

Description Costs of storage of paper records is costing the state over a million dollars through an outside vendor, with over 200,000 boxes in storage today. This number will be decreasing over time, with the last 30 years of records management moving towards electronic records. Currently, the state acts as an advisor to state and local jurisdictions, entities, and educational institutions on how best to store digital records, even though the SOS has a statutory obligation to ensure the maintenance of public records, no matter their format.

Solutions:

The Records Manager and Digital Archivists will continue to work with entities around strategies for ensuring accessible and safe storage of digital records. Digital records storage in the cloud are being piloted with superior courts right now. Discussions will need to continue around how the state ensures it is able to maintain public records that are currently stored electronically into the future.

Issue 5 Meet current statutory obligations of administering statewide elections

Description Given adequate funding and resources, the Secretary of State's office intends to adequately meet all current statutory obligations of administering statewide elections.

Solutions:

As required by the Arizona Constitution and Arizona Revised Statutes, the Secretary of State will accurately certify all ballot candidates, certify and canvass results of statewide elections in a timely manner, appropriately test and certify voting devices for use by counties, implement testing for logic and accuracy of counties' election equipment, responsibly certify initiatives and referenda for the ballot, publish and mail or email the publicity pamphlet to every household with a registered voter, seek to educate the voting public by conducting Town Halls in all fifteen counties on ballot measures, and provide pamphlets in Spanish and Native American translation.

Issue 6 Conduct outreach to communities that have historically low rates of voter registration and/or voting.

Description The Secretary of State is committed to ensuring that all people who are eligible to vote have access to voter registration and to opportunities to cast one's ballot. A particular focus will be with Native American Communities throughout the state of Arizona, but there is also a focus on African American, Hispanic, youth, people with disabilities, rural communities, active duty military and overseas citizens, among others.

Solutions:

Continuing to expand efforts to reach these communities is a top priority. The Secretary has created an Advisory Committee to assist with this effort statewide, and the department wishes to expand its capacity for outreach through communications/public awareness and support staff who can work to support efforts in these communities.

Issue 7 Build additional improvements in meeting our business services mandates

Description The state of Arizona is working towards a One-stop-shop model of business development that will connect those wishing to do business in the state of Arizona with the Arizona Department of Revenue, the Arizona Corporation Commission and the Secretary of State's Office in one online portal.

Solutions:

The SOS will work with the Arizona Department of Administration to connect business systems. Resources will be required to build the underlying SOS system for the filing of trade names, trademarks, and limited partnerships, as well as the interface to the other state departments. The Business management system currently in use by the SOS is in need of replacement, but this will take an appropriation and investment of staff IT resources to implement and maintain.

Issue 8 Access & Inclusion

Description Continue to develop services to facilitate access to resources, records and information for ALL Arizonans.

Solutions:

The agency will improve access to Arizona's underserved and unserved populations with a particular emphasis on training, digital inclusion, resource development, and user experience.

Issue 9 Resource Development

Description Continue to seek outside funds for special projects, initiatives, and exhibits at the Libraries, Archives and Capitol Museum.

Solutions:

The State Library and Archives has raised over $61 million dollars in grant funds for Arizona cultural institutions and for its own services. Although general operating funds must come from governmental sources (state general fund and federal IMLS funds), private and other governmental funds will be sought for special projects, pilot projects, events and exhibits. The agency will seek new ways to expand fiscal resources and make more effective use of existing resources.

Issue 10 Pending litigation

Description The Secretary of State's Office will always be at the center of litigation, whether it be challenging elections laws or dealing with notary complaints. There is a need to ensure that resources are available for support from attorneys in the Attorney General's Office and, for when there's a need, outside counsel.

Solutions:

Appropriate resources need to be made available to the Attorney General or the SOS Office for litigation expenses.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	144.0	144.0	144.0
General Fund	19,368,000.0	19,368,000.0	19,368,000.0
Other Appropriated Funds	1,080,000.0	1,080,000.0	1,080,000.0
Non-Appropriated Funds	500,000.0	500,000.0	500,000.0
Federal Funds	3,500,000.0	3,500,000.0	3,500,000.0

Program Summary

ADMINISTRATION

Allie Bones, Assistant Secretary of State
Phone: (602) 542-4919
Constitution & A.R.S. § 41-121 et seq.

Mission:

To provide services in Arizona in order to preserve our history, promote engagement, and protect the future, in a trusted, accessible, innovative and secure manner.

Description:

The Administration anticipates requests of services from public citizens, candidates, elected officials, media and business community members to increase. In order to accommodate these requests, the Department shall provide timely, efficient filing and retrieval of information by providing trusted and accessible information to agency customers through innovative and secure means.
Internally, Administration oversees and carries out technology support, communications, legislative oversight and compliance monitoring, financial management, accounting (accounts receivable, accounts payable, payroll), budgeting, procurement, human resources and training services. Administration provides support for Business Services, Public Services/Administrative Rules, Arizona State Library, Archives and Public Records, Address Confidentiality Program and Road to Rights, and Election Services Divisions. The agency director and the financial officer support the leadership in policy making duties with responsibility for obtaining, enhancing and sustaining all office resources.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,071.1	3,650.4	9,773.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	645.7	703.5	703.5
Total Funding	**3,716.8**	**4,353.9**	**10,477.1**
FTE Positions	**38.0**	**39.0**	**39.0**

◆ **Goal** 1 To ensure that the Secretary of State's office is accessible to the public, provides trusted information, works to implement innovative solutions, and keeps our systems and facilities secure.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Responses to annual public satisfaction survey indicate that more than 75% of those who have interacted with the SOS would rate the agency as trusted, accessible, innovative and secure.	0	0	N/A	75	75

Explanation: The Hobbs administration will start this survey in FY2020.

◆ **Goal** 2 To ensure that the Divisions operating within the Secretary of State's Office have the support they need to effectively meet the needs of the department, its employees and the public.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Maintain an above average employee engagement ratio.	0	0	4.2	4.5	4.5

Explanation: The average is 1.8.

Program Summary

BUSINESS SERVICES

Pat Viverto, Director
Phone: (602) 542-3060
A.R.S. §§ 29-301 et seq.; 44-1271 et seq.; 44-1441 et seq...

Mission:

To help all Arizonans enjoy a better quality of life through participation, understanding, and confidence in state government by providing fair, honest, and accurate elections; keeping complete and accurate records that are accessible to the public; and providing excellent service to enhance business formation, protect business property, and enable business transactions.

As a division of the Department of State, the mission of the Arizona State Library, Archives and Public Records is to serve Arizona government and Arizonans by providing access to public information, fostering historical/cultural collaborative research and information projects, and ensuring that Arizona's history is documented and preserved.

Description:

The Department of State is headed by a publicly elected Secretary of State, who serves as Acting Governor in the absence of the Governor and succeeds the Governor should a vacancy occur. The Secretary of State is the keeper of the Great Seal of the State of Arizona and is also the Chief State Election Officer who administers election functions, including canvass and certification of statewide elections, and coordinates statewide voter registration. The Secretary of State's office receives and records various filings, including Uniform Commercial Code transactions, trademark and trade name registrations, and limited partnership and limited liability partnership filings. The office also registers lobbyists and accepts periodic lobbyist and campaign finance filings; publishes all official acts of the State of Arizona including laws, the Arizona Administrative Code, and the Arizona administrative Register; files the notices of the Governor's appointments to Stateboards and commissions; appoints notaries public; and applies apostilles to all international transactions.

The Arizona State Library, Archives and Public Records division provides general information services as well as research and reference services in the subject areas of law, government, public policy, genealogy, and Arizona. The division administers state and federal grants for public libraries and offers consultant services to both public libraries and government agencies. The division also offers special library and information services for anyone who is unable to read or use standard printed materials as a result of temporary or permanent visual or physical limitations, manages public record archival retention programs, and creates exhibits to educate the public regarding governmental and Arizona history and the legislative process.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	702.5	705.5	705.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	132.5	110.7	110.7
Total Funding	**835.0**	**816.2**	**816.2**
FTE Positions	**13.0**	**13.0**	**13.0**

◆ **Goal** 1 To serve the public by filing records accurately and expeditiously.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of business days to process trademark applications	0	5	10	10	5
Average number of business days to process Uniform Commercial Code filings	0	05	5	5	3
Average number of business days to process partnership filings	0	10	8	3	3
Average number of business days to process tradename applications	0	5	10	10	5
Average number of business days to process apostilles	0	5	10	10	5

◆ **Goal** 2 To provide public disclosure through easy, accessible information and public documents, and on-line database search capabilities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Trade names and Trademarks filed per month	0	3500	2336	2730	2730
Number of partnerships on file per month	0	250	230	250	250
Number of UCC records filed per month	0	6700	7050	7200	7200
Number of Apostilles processed per month	0	200	1583	1650	1650

◆ **Goal** 3 To provide service to allow Notaries Public to perform their duties accurately and efficiently in the state.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of notaries commissioned per month	0	1800	1568	1700	1850
Number of notary seminars	0	0	36	36	36
Average number of days to process notary applications	0	10	20	20	15

Program Summary

PUBLIC SERVICES

Scott Cancelosi, Director
Phone: (602) 542-0223
A.R.S. §§ 41-311 et seq.; 41-1001 et seq.

Mission:

To: encourage citizen participation in the rulemaking process by supporting agency rulewriters to be in compliance with the Arizona Administrative Procedures Act (Act); accept, process, file, and maintain the historical record of rule-related notices; electronically publish rule-related notices the Arizona Administrative Register; and codify rules in the Arizona Administrative Code as required by the Act.

Description:

The Department of State's Administrative Rules Division (previously the Public Services Division) is the filing office for all aspects of the Administrative Rules process that includes publishing rules promulgated by state agencies. Agency rulemaking is governed by the Arizona Administrative Procedures (Act), Title 41, Chapter 6 and the Division's rules on rulemaking, 1 A.A.C. 1. The Division is responsible for publishing the Arizona Administrative Register and codifying rules in the Arizona Administrative Code. The Code as published by the Division is the official version under Arizona law. The Division is a performance-based office with measurable deadlines defined under the Act.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	193.7	187.5	187.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	11.2	0.0	0.0
Total Funding	**204.9**	**187.5**	**187.5**
FTE Positions	**2.0**	**2.0**	**2.0**

◆ **Goal** 1 To advance the Division's mission statement

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Provide transparency by electronically publishing a list of filed state agency notices online at least once a week (percentage completed).	0	0	100	100	100
Achieve greater efficiency and reduce printing costs by digitally authenticating the Administrative Register on the website once a week (percentage completed).	0	0	100	100	100
Achieve greater efficiency and reduce printing costs by digitally authenticating the Arizona Administrative Code on the website ever calendar quarter (percentage completed).	0	0	100	100	100
Update the Arizona Rulemaking Manual [1 manual in 12 month period].	0	0	0	1	1
Explanation: New goal in FY2020.					
Update form templates, maintain updates and post online (percentage completed).	0	0	0	100	100
Explanation: New goal in FY2020.					
Transfer hard-copy notice files to electronic format for efficient storage and retrieval under records retention schedule [once annually].	0	0	0	1	1
Explanation: New goal in FY2020.					
Create a legislative proposal to expedite the rulemaking process. Submit to administration for review [once annually].	0	0	1	1	1
Maintain compliance with the APA as well as governor rulemaking moratorium, and provide accountability, integrity and efficiency when doing so (percentage completed).	0	0	100	100	100

◆ **Goal** 2 To maintain a responsive Division workforce.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Promote at least one professional growth and/or development opportunity to staff annually.	0	0	1	1	1
Engage staff to suggest legislation to improve rulemaking process [once annually].	0	0	1	1	1

◆ **Goal** 3 To provide service that allows agencies, boards and commissions to develop rules accurately and efficiently.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Maintain a log of rule notices. Record number of rule notices filed in a fiscal year.	0	0	393	550	550

◆ **Goal** 4 To assist and train state agency staff, facilitate positive relationships, foster open and effective communications.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Perform courtesy reviews of notices upon request (percentage completed).	0	0	100	100	100
Provide informal assistance over the telephone, in person, or electronically (percentage completed).	0	0	100	100	100

◆ **Goal** 5 To maintain deadlines, maintain commitment to customers.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of customers indicating they found the public information they were seeking	0	100	75	100	100
Percent of statutory publications provided	0	100	100	100	100

◆ **Goal** 6 To reduce costs and energy consumption – Green Initiative.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Review costs for division expenditures. Check surplus before ordering products. Increase awareness of the need to recycle and reuse office products (percentage completed).	0	0	100	100	100
Print draft documents double-sided (percentage completed).	0	0	0	100	100

Explanation: New goal in FY2020.

Program Summary

ELECTION SERVICES

Bo Dul, Director
Phone: (602) 542-6167
A.R.S. §§ 16-101 et seq.; 19-101 et seq.; 38-541 et seq.

Mission:

To work in close partnership with federal, state, local, and nongovernmental stakeholders to ensure free, fair, and secure elections in Arizona that are accessible to all eligible voters.

Description:

The Election Services Division ensures that the Secretary of State, as the Chief Election Officer, fulfills her statutory mandates relating to election oversight and administration in the following areas:

•Election Security: Implementing robust cyber and election security measures, and working in close partnership with federal, state, and local stakeholders to continually improve election security throughout the state.

•Elections Procedures Manual: Provide uniform election procedures through publication of an updated Elections Procedures Manual every odd-number year;

•Voter Registration: developing and implementing a new statewide voter registration database and coordinating ongoing maintenance and operation of the statewide database; and coordinating state responsibilities for voter registration under the National Voter Registration Act of 1993, including coordination with Department of Transportation/Motor Vehicles Division and public assistance agencies.

•Election Officer Certification: Provide training, certification, and re-certification of county recorders and election officials in odd-numbered years.

•Election Equipment Certification and Testing: Reviewing and certifying, according to national and state standards, new voting systems and election equipment and updates to existing systems and equipment used by the counties; conduct logic and accuracy tests of all election equipment used by the counties prior to each federal, statewide, and legislative election;

•Elections Technology: Ensuring proper maintenance, operation, and updating of election technology necessary for the fulfillment of statutory duties, including statewide voter registration database, Election Management System, Election Night Reporting, Candidate Portal, E-Qual, campaign finance filing system (Beacon), campaign finance reporting system (Spotlight), UOCAVA portal, Circulator Portal, lobbyist filing system, and public portal for voters.

•Candidate Nomination: Receiving nomination papers and petitions from and certifying for the ballot candidates for federal, statewide, and legislative office.

•Ballot Measures: Receiving initiative, referendum, and recall applications and petitions; processing and certifying for those petitions for the ballot; providing information to the public on ballot measures by publishing and mailing the publicity pamphlet; and coordinating statewide Town Hall meetings on ballot measures.

•Campaign Finance & Financial Disclosures: Provide professional, courteous service in the administration of campaign finance laws, including registering candidate and political committees, accepting required campaign finance filings, reviewing campaign finance complaints, and referring appropriate complaints and non-filers to the Attorney General; coordinating and accepting financial disclosure filings from office holders.

•Lobbying: Provide professional, courteous service in the administration of lobbyist laws, including registering lobbyists, principals, and public bodies, accepting required filings, reviewing lobbyist complaints, and referring appropriate complaints and non-filers to the Attorney General.

•Federal Compliance: Overseeing compliance with federal election laws, including the Help America Vote Act (including providing a statewide complaint system for uniform, nondiscriminatory response to grievances), the National Voter Registration Act, and the Uniformed and Overseas Citizens Absentee Voting Act (including maintaining the electronic portal for uniformed and overseas voters).

•Public Information and Public Records: Providing professional and courteous customer service to Arizonans on all areas of division responsibility, including promptly responding to telephone and email inquiries; publishing handbooks on key areas of statutory responsibility in order to provide uniform guidance to the regulated community and other stakeholders; producing public records and filings for the public upon request.

•Voter Education: Developing and implementing an effective voter outreach and education program in partnership with other stakeholders at the state and local levels; and providing courteous and professional customer service to voters.

•Official Canvass and Electoral College: canvassing and certifying the results of elections for federal, statewide, and legislative office; issuing certificates of nomination and election; and planning and executing the meeting of the Electoral College.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	5,533.9	5,534.0	10,774.0
Other Appropriated Funds	1,154.5	0.0	0.0
Other Non Appropriated Funds	79.7	3.3	3.3
Total Funding	**6,768.1**	**5,537.3**	**10,777.3**
FTE Positions	**13.0**	**12.9**	**12.9**

◆ **Goal** 1 To fully update the Elections Procedures Manual in close collaboration with County Recorders and election officials and submit an updated manual to the Attorney General and Governor for approval in October 2019 and October 2021.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Elections Procedures Manual submitted to Attorney General and Governor by October 1, 2019 and October 1, 2021 (percentage completed).	0	0	0	100	N/A

Explanation: The Reagan administration did not complete an Elections Procedure Manual during 4 year term that ended in FY19. The Hobbs administration is on track to submit on schedule in FY20.

Elections Procedures Manual approved by Attorney General and Governor by December 31, 2019 and December 31, 2021 (percentage completed).	0	0	0	100	N/A

Explanation: The Reagan administration did not complete an Election Procedures Manual during 4 year term that ended in FY19. The Hobbs administration is on track to gain approval on time in FY20.

◆ **Goal** 2 To complete development and successfully launch the new statewide voter registration system and ensuring sufficient county support during the 2019 and 2020 elections using the new system.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Use electronic format and information provided by county offices and MVD to maintain voter registration rolls (percentage completed)	0	0	100	100	100
Number of registered voters (in thousands).	0	0	3,821	3,920	4,200

◆ **Goal** 3 To provide statewide voter registration.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total voter registration	3,716,263	4,100,000	3,821,039	3,920,000	4,200,000

◆ **Goal** 4 To implement statewide election security measures and forge robust collaboration and communication between federal, state, and local stakeholders on election security.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Create an Incident Response Plan in partnership with federal, state and local officials to be used in the 2020 Election Cycle (percentage completed).	0	0	0	100	0
Explanation: This goal is for fiscal year 2020.					
Number of agreements in place with county recorders and elections officials regarding communications around elections security.	0	0	0	30	30
Percent of funds distributed to County Recorders and Elections Directors through the HAVA Security Grants – 100% of funds distributed by June 30, 2020.	0	0	0	100	0
Explanation: The Hobbs administration gained approval on the HAVA spending plan in June 2019 and allowed counties to begin applying for sub grants shortly thereafter.					
Number of state and local officials who participated in election security table top exercise or other security trainings coordinated by SOS office.	0	0	52	120	120

◆ **Goal** 5 To provide quality training, certification, and re-certification of election officials statewide in FY2020 and FY2022.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of election officers certified.	0	0	0	430	0
Explanation: The Secretary of State provides election certification training every 2 years. The classes fall in FY18, FY20, FY22, and on.					
Total combined hours of classroom training.	0	0	0	38	0
Explanation: The Secretary of State provides election certification training every 2 years. The classes fall in FY18, FY20, FY22, and on.					

◆ **Goal** 6 To ensure compliance with state and federal campaign finance laws and provide transparency for the public in terms of candidate and campaign filings.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of Campaign Finance data available on-line.	0	0	100	100	100
Percent of timely review and action on election law complaints.	0	0	100	100	100
Number of Campaign Finance reports filed.	0	0	3913	9620	6197
Number of Political Committees registered.	0	0	648	530	683
Number of Standing Political Committees registered.	0	0	127	133	139

◆ **Goal** 7 To efficiently receive and process candidate, initiative/referenda/recall, and new party petitions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of candidate petitions received and processed (in thousands).	0	0	0	103.3	0
Number of IRR petitions received and processed (in thousands).	0	0	137.2	200	250
Number of IRR petition signatures processed for county recorder verification (in thousands).	0	0	1,017.2	1,250	1,500
Number of new party petitions received and processed (in thousands).	0	0	0	44.7	0

Program Summary

ARIZONA STATE LIBRARY, ARCHIVES, AND PUBLIC RECORDS

Holly Henley, State Librarian
Phone: (602) 542-6181
A.R.S. §§ 41-151 through 41-151.24

Mission:

To provide Arizonans access to information about their government, their state, and their world by offering content in a variety of formats, preserving Arizona's history for future generations, and empowering local institutions to engage their communities in learning.

Description:

The Arizona State Library, Archives and Public Records Division collects, preserves, and provides access to materials relating to law, political science, economics, sociology, subjects pertaining to the theory and practice of government, genealogy, and Arizona history. The format of materials may vary. Access to collections is provided by the State Library through a general and legal reference service, a records management and archives program, a state and federal government documents depository program, a library development service, museums for educational purposes, and a service for persons who are visually or physically unable to use traditional print materials The State Library serves as the "state library administrative agency" with its Director given responsibility to accept and administer state and federal funds, including grants (A.R.S. 41-151.)

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,494.1	7,290.5	7,290.5
Other Appropriated Funds	911.4	742.8	1,080.0
Other Non Appropriated Funds	3,902.1	3,756.6	3,756.6
Total Funding	**12,307.6**	**11,789.9**	**12,127.1**
FTE Positions	**78.0**	**72.0**	**72.0**

◆ **Goal** 1 To preserve Arizona's history through the collection, storage, and digitization of permanent government records, publications, and artifacts.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New records received (linear feet/boxes-in thousands)	0	0	43.7	43.7	43.7
Records processed (in thousands)	0	0	1.7	1.7	1.7
Records cataloged (in thousands)	0	0	19.7	19.7	19.7
State publications cataloged (in thousands)	0	0	3.5	3.5	3.5
Federal publications cataloged (in thousands)	0	0	7.4	7.4	7.4
Items digitized (in thousands)	0	0	49.4	49.4	49.4

◆ **Goal** 2 To provide access for all Arizonans to government history, records, and library services through reference and consultation services, training, grant funding and educational resources.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Archives and records materials used (in thousands)	0	0	53.2	53.2	53.2
Physical library items used (in thousands)	0	0	333.2	333.2	333.2
Online library items used (in thousands)	0	0	752.5	752.5	752.5
Online engagement (in thousands)	0	0	1,012.7	1,012.7	1,012.7
Statewide database usage (in thousands)	0	0	9,700	9,700	9,700
Reference and consultations (in thousands)	0	0	108.7	109	109
Visitors (in thousands)	0	0	79.9	79.9	79.9
Museum school tours (in thousands)	0	0	20.9	21	21
Public outreach and events (in thousands)	0	0	19	19	19
Training and continuing education hours (in thousands)	0	0	43.3	43.3	43.3
Grants administered (in hundreds)	0	0	104	105	105

Agency Summary

STATE BOARD OF TAX APPEALS

Alisha L. Woodring, Executive Director
Phone: (602) 364-1102
A.R.S. § 42-1252

Mission:

To provide an independent appeals process for taxpayers with adverse decisions from the Department of Revenue and/or the Office of Administrative Hearings, and to resolve jurisdictional disputes between municipalities regarding the imposition of transaction privilege and use taxes.

Description:

The State Board of Tax Appeals hears and decides appeals filed by taxpayers and Arizona municipalities concerning income, transaction privilege, use, luxury, and estate taxes.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	275.2	281.8	281.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**275.2**	**281.8**	**281.8**
FTE Positions	**4.0**	**4.0**	**4.0**

5 Year Plan

Issue 1 To strive to expedite tax appeals in a manner that minimizes delays in the appeals process.

Description The State Board of Tax Appeals hears and decides appeals filed by taxpayers and Arizona municipalities concerning income, transaction privilege, use, luxury, and estate taxes.

Solutions:

Maintaining a current appeals process continues to be the Board's chief priority. The timely issuance and publication of decisions not only benefits the parties involved in the appeals, but also provides much-needed guidance to tax attorneys, CPAs and tax partitioners, as well as others involved in the field of State taxation. Budget constraints over the past several years have forced the Board to compress the number of appeals heard into fewer scheduled hearing dates. This translates into a significant increase in the number of months to complete the appeals process because of the additional time between proposed decisions rendered by the Board and the final approval of the formal decisions. Over the past years the Department of Revenue has added a significant number of new auditors to its staff. Because the Board's caseload is directly related to the number of appeals generated at the Department of Revenue, more audits will certainly increase the number of appeals filed with the Board, and with no corresponding increase to the Board's budget, this will directly impact the Board's caseload. In the future, the Board may be compelled to request additional funding.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	4.0	4.0	4.0
General Fund	281.8	281.8	281.8
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To receive and process tax appeals expeditiously to avoid any delays in the appeals process.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Caseload processing (and number of issues)	46(91)	65(120)	45(87)	70(130)	77(160)
Number of tax appeals resolved	24	36	17	35	40
Number backlogged requiring written decision	5	5	5	5	5
Number of months to process appeal	9	9	10	10	10

Agency Summary

BOARD OF TECHNICAL REGISTRATION

Melissa Cornelius, Executive Director
Phone: (602) 364-4933
A.R.S. §§ 32-101, 32-106, 32-107

Mission:

To protect the health, safety, and welfare of the public by establishing appropriate registration qualifications and efficiently and fairly enforcing the statutes and rules governing the practice of the professions and occupations under the Board's jurisdiction.

Description:

The Board of Technical Registration regulates the firms and individual practice of alarms services, architects, engineers, geologists, home inspectors, landscape architects, and land surveyors. The Board also has jurisdiction to investigate and discipline the unregistered practice of professions and occupations under A.R.S. § 32-106.01 and A.R.S. § 32-106.02.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	2,034.6	2,199.5	2,448.4
Other Non Appropriated Funds	30.0	0.0	0.0
Total Funding	**2,064.6**	**2,199.5**	**2,448.4**
FTE Positions	**25.0**	**25.0**	**25.0**

5 Year Plan

Issue 1 The Board's records are maintained solely in paper form, creating storage retrieval obstacles and requiring substantial space for storage.

Description Prior Board adminstration did little to centralize and maintain registrant records for easy access. All records are stored in paper form in mulitple locations. The Board intends to organize the records and digitize them for storage and retrieval purposes

Solutions:

The Board is centralizing current records and destroying archaic records in prepartion for the transfer to digital files. The Board wil seek an appropriation for FY2021 to engage the services of a company on contract with the State to digitize and organize the records for registrants and enforcement case records. The Board has approximatley 40,000 registratants, as well as records that need to be maintained by the retention policy. It is currently estimating 1.5 million pages for digitization and organization. Due to the volume, this is projected to be a two to three year project.

Strategic issue number 2 focuses on moving to a new database/e-licensing system. It is anticipated that by the time the digitation of paper records is completed, new paper records wilr be scanned and uploaded to the same digital record system and the e-licensing system will feed directly into the data digitial record system.

Issue 2 E-licensing and data management system

Description The Board attempted to implement a new data management and e-licensing system starting in 2015. A vendor was selected through an RFP process. Unfortunately, the vendor was unable to deliver a functioning system and the project was terminated in early 2018. The data that was retreived by the Board requires cleaning and organization, as well as a merger with the Board's old database, prior to moving to a new system. The Board has engaged a vendor through the state contractor, Knowledge Services, to clean and organize the data. The projected completion for that project is August 31, 2019. However, the Board cannot say with any certainty that the data quality and organization concerns will be adequately resolved at that time.

Solutions:

The Board will analyze the quality and organization of its data when the current project is completed and will engage the services of a contractor to assist in data system management and trouble shooting for its current MicroSoft based CRM until such time as the Board may implement the migration of data to a chosen platform for an e-licensing system.
In preparation, the Board will research the procurement of a vendor for a SalesForce platform, create a feasible strategy for a small agency to transition to a new database and e-licensing system and create the procedures required to design and implement a new system.

The first step necessitates research of system development options and cost. The Registrar of Contractors has migrated to a SalesForce platform. Given the similarities of the ROC and AZBTR, the Board will use ROC as a base to consider strategies and structure for approaching a new system, flesh out financial and human resource needs to implement and maintain such a system and determine timelines for implementation and completion.

The next step will be to develop a RFP and go through the procurement process to determine the project cost and timeframes. The Board will submit a continuing appropropriation request, most probably for FY2022. Based on the Board's experience this is anticipated to be two year process due to the Boards small staff and limited ability to commit humane resources to the project while continuing full agency operations.

Issue 3 Eliminate Formal Adminstrative Hearing backlog and resolve Formal Adminstrative Hearings in a timely manner in the future

Description The Board has 44 formal hearings pending resolution, with some dating back to FY14 and FY15. The Board has committed vacancy savings funds to eliminating the backlog by entering into an additional ISA with the Office of the Attorney General for the sole purpose of prosecuting or otherwise resolving the matters pending hearing. However, our records document that the Board will add approximately 17 new matters to the hearing log each year. Without funds dedicated to resolution of hearings on an ongoing basis, the Board will continue to be challanged with a backlog of hearings that fails to protect the public or service the Board's registrants.

Solutions:

The Board has dedicated an additional $33,000 in vacancy savings to enter into a second ISA with the Office of the Attorney General with the intention of using those attorney resources to resolve matters awaiting Formal Adminstrative Hearings. However, with an additional 17 new hearings joining the log each year, it is anticipated that that goal may be accomplished over a two year period. The Board has submitted an appropriation request for FY2021 for additional funds to maintain the ISA into the future to clear up the backlog and conclude all new hearings in a timely manner.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	25.0	25.0	25.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,391.5	2,391.5	2,391.5
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To rapidly and accurately process applications for registration and certification.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of professional licensees	45,027	53,000	45,982	47,000	48,000
Explanation: Total number of professional and occupational licensees					
Total number of applications received	3,268	3,500	2,802	3,000	3,200
Explanation: The Board is currently in the process of cleaning data after a vendor failed to provide a functioning e-licensing system. The data is still in the process of being maped and it is expected that abnormal numbers that are not historically consistant contain errors. The estimates are based historical data.					
Total number of applications processed	3,288	3,500	2419	3,500	3,500
Percent of applications processed within agency timeframes	99	99	99	99	99
Total number of license renewal applications processed	12,207	13,000	11,300	13,500	13,500
Number of application denials	2	5	2	1	1
Number of application denials reversed through appeal	0	0	0	0	0

◆ **Goal** 2 To timely investigate all complaints of violations of the Board's Practice Act

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of complaints resolved by informal methods	92	92	96	90	95
Number of investigations closed	113	140	134	135	140
Number of complaints received	122	155	147	150	155
Number of non-registrant complaints	32	45	39	40	40
Average number of days open per complaint	226	190	199	195	190
Complaints against registrants resulting in disciplinary action	57	65	45	50	50

◆ **Goal** 3 To rapidly and accurately respond to requests for information (public records requests) relating to the Board's regulated population.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of persons grading response to request for information as good or better	100	100	100	100	100
Number of Public Information requests received	68	70	70	75	75

Agency Summary

OFFICE OF TOURISM

Debbie Johnson, Director
Phone: (602) 364-3717
A.R.S. § 41-2305

Mission:

To strengthen and grow Arizona's economy through travel and tourism promotion.

Description:

The Arizona Office of Tourism is a State government agency dedicated to developing, implementing, and maintaining global marketing programs that promote Arizona as a leading travel destination.

With multiple year-round initiatives including advertising campaigns, social media, trade activities and media relations, AOT sets into motion a positive and pofitable cycle of visitation, spending, job growth and tax revenue. This tourist activity greatly contributes to Arizona's economic growth and development.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	14,755.1	15,728.0	15,728.0
➢ TOURISM PROMOTION	15,862.8	18,437.4	18,937.4
Agency Total:	**30,617.9**	**34,165.4**	**34,665.4**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,112.0	8,214.0	8,714.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	23,505.9	25,951.4	25,951.4
Total Funding	**30,617.9**	**34,165.4**	**34,665.4**
FTE Positions	**28.0**	**28.0**	**28.0**

Office of Tourism

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Debbie Johnson
Strategic Planner: Kiva Couchon
Last modified: 07/15/2019

Vision: To make Arizona the leading travel destination for visitors.

Mission: To strengthen and grow Arizona's economy through travel and tourism promotion.

Agency Description: The Arizona Office of Tourism (AOT) is dedicated to developing, implementing and maintaining global marketing programs to promote Arizona as a leading travel destination. With multiple year-round initiatives including advertising campaigns, social media, trade activities and media relations, AOT sets into motion a positive and profitable cycle of visitation, spending, job growth and tax revenue. This tourist activity greatly contributes to Arizona's economic growth and development.

Executive Summary: For FY20, AOT will continue to build upon the robust marketing strategy implemented in FY19 to **increase total visitation and direct visitor spending**. The tactics have proven to be successful. In 2018, Arizona welcomed more than 43 million overnight visitors, which is a two percent increase over 2017. These marketing efforts also generated more than $900 million in ad influenced travel revenue for Arizona.

New to the agency's program is our effort to **cultivate a productive Arizona tourism industry** to the benefit of local and state economies. As part of this goal, AOT will be developing and implementing programs addressing destination management issues along with statewide sustainability concerns. AOT will also promote its new Arizona Visitor Information Center program to establish a network of statewide visitor centers.

In addition to our continued marketing efforts, AOT will also work to **maximize internal agency functions** to ensure we are as innovative as possible in our performance and operation as a state agency.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Increase total visitation and direct spending	FY2017	• Executed consumer travel advertising campaigns (national, international, in-state, regional) • Launched a rural marketing cooperative program for statewide rural and tribal partners • Held destination trainings with international trade representatives (tour operators, receptive tour operators, travel agents) • Collaborated with international travel media (writers, editors, bloggers, photographers) • Increased awareness of Arizona through social media efforts • Implemented new industry-related research advertising tracking techniques
2	Cultivate a productive Arizona tourism industry	FY2019	• Promote the value of the agency and its purpose within the Arizona tourism industry • Promote the importance of the Arizona tourism industry and its connection to Arizona's growth and economic development • Provide reliable and up-to-date industry-related research • Begin development of destination management/sustainability programs
3	Maximize internal agency functions	FY2019	• Digitize relevant agency process documents • Maintain length of time to fulfill Arizona travel packets to consumers • Update agency's policy and procedures manual • Maintain 100% completion rate of monthly 1:1 sessions

Office of Tourism

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	1. Increase Domestic Visitation 2. Increase International Visitation 3. Increase In-state Visitation	1. Return on investment 2. Advertising awareness impact 3. Arrival and stay lift data 4. Number of activations 5. Increase in website sessions 6. eNewsletter click-thru rate 7. Number of FAMs conducted 8. Increase in global earned media stories 9. Net Visit Arizona app downloads	1. Build and execute domestic, international, in-state, regional advertising campaigns, strategic partnerships and activations 2. Create and distribute engaging content to be used across all marketing platforms 3. Conduct global trade and media marketing activities to educate and engage industry-related trade and media representatives 4. Conduct marketing-related research activities in support of domestic and international marketing programs
2	1. Engage and Educate	1. Number of presentations, webinars and earned media 2. Number of agency publications produced 3. Percentage of positive annual symposium survey results 4. Number of designated Arizona Visitor Information Centers	1. Promote the value of agency and industry 2. Disseminate data and information in a timely fashion 3. Host annual symposium 4. Provide and promote the Arizona Visitor Information Center program *(Breakthrough Goal)* 5. Begin development of a Leave No Trace program for Arizona
3	1. Optimize Operations and Resources	1. Maintain length of time it takes to fulfill a request for an Arizona travel guide 2. Resolve challenging invoice issues 3. Percentage of monthly 1:1 meetings completed 4. Consolidate policies and procedures	1. Maintain online time to fulfillment at 3-5 days 2. Reduce the time it takes to resolve accounts payable invoice exceptions *(Breakthrough Goal)* 3. Digitize agency-related process documents 4. Attain 100% completion rate of monthly 1:1 sessions with supervisors and direct reports. 5. Update policy and procedure manual *(Breakthrough Goal)*

Program Summary

ADMINISTRATION

Debbie Johnson, Director
Phone: (602) 364-3717
A.R.S. §§ 41.2302 to 41.2305

Mission:

To plan, coordinate and direct administrative and fiscal activities to support and enable AOT to achieve its mission and vision.

Description:

Administration supports the planning and operational needs of AOT by providing administrative guidance, services, and technical assistance to executive management and all divisions. These services include accounting, human resources, information technology, planning and budget, procurement, and intergovernmental information disclosure as well as ensuring statutory and regulatory compliance for the agency.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,112.0	7,114.0	7,114.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	7,643.1	8,614.0	8,614.0
Total Funding	**14,755.1**	**15,728.0**	**15,728.0**
FTE Positions	**28.0**	**28.0**	**28.0**

◆ **Goal** 1 To maximize internal agency functions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Time to Fulfillment	NA	10	4	4	4
Challenges Invoices	0	0	0	80	82

Explanation: Measured as a percent.

Program Summary

TOURISM PROMOTION

Debbie Johnson, Director
Phone: (602) 364-3717
A.R.S. §§ 41.2302 to 41.2305

Mission:

To expand the Arizona brand, increase its connection to consumers worldwide, and create the desire to travel to Arizona.

Description:

Tourism Promotion encompasses advertising, consumer fulfillment, media communications, travel industry marketing, market research, cooperative programs, and visitor services. Together with strategic partners and tourism businesses across the state, AOT works to increase travel to and within Arizona. AOT supports Destination Marketing Organizations and the expansion of tourism in the tribal, rural and urban communities through thoughtful tourism development and focused marketing strategies.

This Program Contains the following Subprograms:

- State Tourism Promotion
- State Tourism Promotion (Prop 202)
- Maricopa County Tourism Promotion

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	1,100.0	1,600.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	15,862.8	17,337.4	17,337.4
Total Funding	**15,862.8**	**18,437.4**	**18,937.4**
FTE Positions	**0.0**	**0.0**	**0.0**

Subprogram Summary

STATE TOURISM PROMOTION

Debbie Johnson, Director
Phone: (602) 364-3717
A.R.S. §§ 41.2302 to 41.2305

Mission:

To promote all of Arizona and create a platform that supports Destination Marketing Organizations (DMO) and the travel and tourism industry.

Description:

Through marketing, technical assistance, visitor services programs and innovative partnerships, this subprogram seeks to enhance the image and awareness of Arizona. The subprogram further supports the development and promotion of new Arizona travel products and packages in urban and rural areas, in partnership with public and private entities. The subprogram also encourages visitors to extend their stay and promotes positive awareness of Arizona's authentic attributes through fulfillment.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	1,100.0	1,600.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	6,779.6	7,800.0	7,800.0
Total Funding	**6,779.6**	**8,900.0**	**9,400.0**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To cultivate a productive Arizona tourism industry.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Industry Education	56	59	66	65	65
In-State Earned Media	350	354	459	468	477
Arizona Visitor Information Center Participants	0	0	15	40	40
Positive Symposium Survey Results	0	0	80	82	84

Explanation: Measured as a percent.

Subprogram Summary

STATE TOURISM PROMOTION (PROP 202)

Debbie Johnson, Director
Phone: (602) 364-3717
A.R.S. § 41.2306

Mission:

To appropriately utilize funds from the Indian Gaming Compact that promote and elevate Arizona top-of-mind as a world-class travel destination.

Description:

This subprogram is dedicated to enhancing tourism promotion of Arizona, supports the national and international marketing campaign, and helps fund expanded, new and emerging markets. Without this subprogram, AOT would not have the reach and frequency for its marketing efforts to strengthen and expand Arizona's economy.

◆ **Goal** 1 To increase total visitation and direct visitor spending.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Global Earned Media	91	93	1433	1475	1505
Return on Investment ($)	0	0	420	428	437

Explanation: Measured in dollars.

Ad Awareness	0	0	44	44	44

Explanation: Measured in percent.

Activation Audience	0	0	0	300000	306000
Website Sessions	0	0	209695	209695	209695

Explanation: Website is currently under redesign limiting growth.

Net App Downloads	0	0	12264	12350	12436
eNewsletter Click-Thru Rate	0	0	3.0	5.5	5.5

Explanation: Measured as a percent.

Campaign Arrival Lift	0	0	0	44	45

Explanation: Measured as a percent.

Subprogram Summary

MARICOPA COUNTY TOURISM PROMOTION

Debbie Johnson, Director
Phone: (602) 364-3717
A.R.S. § 41.2306

Mission:

To provide quality assistance, management and financial incentives to Destination Marketing Organizations (DMOs) within Maricopa County to promote tourism.

Description:

This program provides funding to AOT, as well as to eligible Destination Marketing Organizations (DMOs) within Maricopa County, strictly for tourism marketing activities. The purpose of this funding is to promote a variety of tourism-related products and activities in specific individual destinations as well as Maricopa County as a whole. The funds are restricted from use for administrative or operational expenses. Under the guidance of the Prop 302 Maricopa County Program Committee, AOT oversees the guidelines, application process, level of individual fund allocations and the monthly distribution to each eligible participant in the Maricopa County Prop 302 program annually.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	9,083.2	9,537.4	9,537.4
Total Funding	**9,083.2**	**9,537.4**	**9,537.4**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To distribute Proposition 302 money in a timely manner.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average number of days from Treasurer's Office notification to disbursement of funds	3	3	3	3	3

Agency Summary

DEPARTMENT OF TRANSPORTATION

John Halikowski, Director
Phone: (602) 712-7227
A.R.S. Title 28

Mission:

To Connect AZ. Everyone. Every Day. Everywhere.

Description:

The Department of Transportation (ADOT) is responsible for planning, constructing, and maintaining the State's transportation system. The Department also provides driver's license and title and registration services; is responsible for commercial truck enforcement and vehicle registration compliance; and operates the Grand Canyon Airport.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	1,507,390.8	893,134.8	923,890.0
➢ INTERMODAL TRANSPORTATION	1,302,982.5	262,113.0	266,427.3
➢ MOTOR VEHICLE	95,721.6	100,377.2	107,951.7
Agency Total:	**2,906,094.9**	**1,255,625.0**	**1,298,269.0**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	12,592.4	0.0	0.0
Other Appropriated Funds	368,483.8	433,177.3	450,620.3
Other Non Appropriated Funds	2,525,018.7	822,447.7	847,648.7
Total Funding	**2,906,094.9**	**1,255,625.0**	**1,298,269.0**
FTE Positions	**3,591.5**	**3,591.5**	**3,686.5**

Department of Transportation

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: John Halikowski
Strategic Planner: Melissa Wynn
Last modified: 08/2/2019

Vision: Moving AZ - To become the safest, most reliable transportation system in the nation.

Mission: Connecting AZ: Everyone. Every Day. Everywhere.

Agency Description: The Arizona Department of Transportation is responsible for planning, constructing, and maintaining the State's transportation system.

The Department also provides drivers license and registrations services; is responsible for commercial vehicle enforcement and registration compliance; and operates the Grand Canyon National Park Airport.

Executive Summary: Our vision to be the safest, most reliable transportation system in the nation means we can't just be concerned with how to get through this week, this month, or even this year, but how to get through the next 3-5 years and beyond. What challenges are heading our way? And is our organization prepared for what is to come?

To address these issues, our strategic plan continues to focus on the following key areas:

Transportation Safety: implementing the most effective safety improvement countermeasures will help promote safe driving behaviors and reduce roadway crashes in high risk areas.

Employee Engagement: ensuring that our employee's basic needs are met and that they are inspired and enabled to function at the highest level will allow ADOT to thrive well into the future.

Customer Value: creating an enterprise-wide understanding of customer value and leveraging the customer-supplier relationship to improve and innovate our business processes will ensure we stay ahead of changing customer needs.

Maximize Resources: pursuing innovations and organizational efficiencies will save money, increase agency capacity, and lead to more investment in the transportation system.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Promote Transportation Safety	2018	• Increased transportation safety and reliability • Increased collaboration with industry to promote safe driving behaviors for initial drivers
2	Build a Culture of Highly Engaged Employees	2018	• Achieved FY 2019 agency AMS target score of 3.0 • Increased employee engagement score from 1.8 to 3.4
3	Deliver Value to the Customer	2018	• Reduced MVD office experience time from 57 minutes to under 25 minutes • Reduced MVD Call Center *Speed-to-Answer* from 28 minutes to under 5 minutes • Reduced VIN inspection time from 74 minutes to under 20 minutes
4	Maximize Resources	2018	• Increased FY 2019 annual pavement treatment target from 3K miles to 6K miles • Implemented countermeasures to reduce project scope changes and improve construction delivery timeframes • Over 17,000 kaizen improvement ideas submitted and standardized by ADOT employees

Department of Transportation

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Reduce roadway crashes and resulting fatalities and serious injuries on the transportation system	• # fatal crashes per 100 million vehicle miles traveled • # injury crashes per 100 million vehicle miles traveled	• Improve safety outcomes in the 50 highest crash locations • Identify low cost/high impact projects to reduce bottlenecks and congested hot spots • Inspect 50% of commercial carriers with Inspection System Selection (ISS) score of 75 or greater
2	Grow and mature the agency's problem solving muscle	• AMS assessment score	• Achieve 3.0 or better on all AMS assessment elements
	Eliminate the agency's market rate pay gap	• % regrettable attrition	• Implement phase 1 of ADOT's market rate compensation improvement strategy
3	Improve the end-to-end MVD customer experience	• MVD office experience time • % online transactions	• Minimize experience time by increasing opportunities for non-office transactions
	Transition drivers to new Travel ID	• % of issued AZ driver's licenses that are REAL-ID compliant	• Process 1.5 million new Travel ID's
	Improve commercial vehicle operator experience	• % of offices offering CDL services	• Ensure 90% of non-skills test CDL services available in all offices
4	Improve infrastructure health	• % on-time design delivery • % on-time construction • % on-budget construction • Miles of pavement treated • % overweight commercial vehicles	• Achieve 100% design delivery • Achieve 100% on-time construction delivery • Achieve 95% on-budget construction • Achieve 6,000 mile annual pavement treatment target • Less than 5% unpermitted overweight commercial carriers
	Establish ADOT right-of-way use policy for broadband infrastructure	• Completion of broadband ROW policy	• Establish broadband ROW implementation team

5 Year Plan

Issue 1 Promote Transportation Safety

Description Implementing the most effective safety improvement countermeasures will help to promote safe driving behaviors and improve outcomes in high risk areas

Solutions:
- Apply appropriate engineering principles and practices to promote safety
- Clear accidents faster
- Promote safe behaviors by all transportation users
- Improve the quality of transportation safety data

Issue 2 Build a Culture of Highly Engaged Employees

Description Ensuring ADOT's workforce is inspired and enabled to function at the highest level will allow ADOT to thrive well into the future

Solutions:
- Align learning and talent management strategies with AMS
- Promote programs that reward innovation and creativity
- Strengthen interagency connections (One ADOT)
- Turn insights from employee surveys into action

Issue 3 Deliver Value to the customer

Description Creating an enterprise-wide understanding of customer value and leveraging it to improve and innovate the customer experience will ensure we stay ahead of changing customer needs

Solutions:
- Give customers easy access to important information
- Employ new technology and products that save customers time and money
- Identify problems before they occur
- Incorporate customer feedback into agency improvement efforts

Issue 4 Maximize Resources

Description Pursuing innovations and organizational efficiencies will save money, increase agency capacity, and lead to more investment in the transportation system

Solutions:
- Take care of what we have
- Optimize our existing systems
- Deliver projects on-time and on-budget
- Promote agency efficiency on a continuing basis

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

ADMINISTRATION

John Halikowski, Director
Phone: (602) 712-7227
A.R.S. Title 28

Mission:

To provide leadership and operational and financial support to help achieve the agency mission.

Description:

The Administration Program provides overall coordination, management and support functions for the Department. As described in A.R.S. § 28-104, the exclusive control and jurisdiction over state highways, state routes, state airports and all state-owned transportation systems or modes is vested in the Department of Transportation.

This Program Contains the following Subprograms:

- Director's Office / Transportation Board
- Transportation Support Services
- Arizona Highways Magazine

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	857.5	0.0	0.0
Other Appropriated Funds	67,862.8	77,704.3	83,740.3
Other Non Appropriated Funds	1,438,670.5	815,430.5	840,149.7
Total Funding	**1,507,390.8**	**893,134.8**	**923,890.0**
FTE Positions	**614.8**	**614.8**	**618.8**

Subprogram Summary

DIRECTOR'S OFFICE / TRANSPORTATION BOARD

John Halikowski, Director
Phone: (602) 712-7227
A.R.S. Title 28

Mission:

To serve the employees, suppliers and customers of the Arizona Department of Transportation by exemplifying leadership and a commitment to achieve the agency guiding vision. The Transportation Board's mission is to administer the functions outlined in A.R.S. § 28-106 with respect to development or modification of the five-year transportation facilities construction program, the awarding of all construction contracts for transportation facilities and monitoring the status of such projects.

Description:

The Director provides strategic direction and manages high level, critical issues for the Agency at the local, state and federal levels. Working through the Executive Staff, the Director insures that the agency has the administrative infrastructure to meet the mission of the agency.

The Arizona State Transportation Board is appointed by the Governor and serves in an advisory capacity to the Director. The Board awards construction contracts, monitors the status of construction projects and has the exclusive authority to issue revenue bonds for transportation financing.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	13,605.2	17,271.6	24,553.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**13,605.2**	**17,271.6**	**24,553.2**
FTE Positions	**9.5**	**9.5**	**9.5**

- **Goal** 1 To Promote Transportation Safety
- **Goal** 2 To Build A Culture of Highly Engaged Employees
- **Goal** 3 To Deliver Value to the Customer

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Urban MVD field office entrance to exit time (minutes)	24.6	30	24.9	25	25

- **Goal** 4 To Maximize Resources

Subprogram Summary

TRANSPORTATION SUPPORT SERVICES

Scott Omer, Deputy Director of Business Operations
Phone: (602) 712-7228
A.R.S. Title 28

Mission:

To provide effective and efficient support services to those who serve our customers and stakeholders.

Description:

Transportation Support Services provides many of the essential business services necessary for the Department to carry out its mission. It delivers these services to diverse customers located throughout the state. Service areas include: human resources, financial management, civil rights, audit, community relations, employee development, safety and health, procurement, information technology, facilities maintenance, planning and budgeting, and management of the Grand Canyon National Park Airport.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	857.5	0.0	0.0
Other Appropriated Funds	54,257.6	60,432.7	59,187.1
Other Non Appropriated Funds	1,433,670.5	810,670.5	835,389.7
Total Funding	**1,488,785.6**	**871,103.2**	**894,576.8**
FTE Positions	**589.3**	**589.3**	**593.3**

Subprogram Summary

ARIZONA HIGHWAYS MAGAZINE

Kelly Mero, Publisher
Phone: (602) 712-2019
A.R.S. §§ 28-1881 to 28-1884

Mission:

To encourage travel within Arizona by publishing magazines and products about the state and its people while achieving the highest level of quality in production and customer service.

Description:

The first issue of Arizona Highways was published in April 1925. Approximately half of the magazine's current subscribers live outside Arizona, including every state and 71 foreign countries. Arizona Highways is an enterprise fund and generates revenue from two major sources:(1) subscription and newsstand sales of the magazine; and (2) related product sales. The magazine is 56 full-color pages per issue. Most of the writing and photography included is provided by freelance contributors who are paid fees for one-time rights to publish their material.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	5,000.0	4,760.0	4,760.0
Total Funding	**5,000.0**	**4,760.0**	**4,760.0**
FTE Positions	**16.0**	**16.0**	**16.0**

Program Summary

INTERMODAL TRANSPORTATION

Dallas Hammit, State Engineer
Phone: (602) 712-7391
A.R.S. § 28-104

Mission:

To improve and sustain the safety, efficiency and environmental stewardship of Arizona's transportation infrastructure.

Description:

The Deputy Director for Transportation (State Engineer) oversees the Divisions of: Infrastructure Delivery and Operations (IDO), Transportation Management and Systems Operations (TSMO) and Mulitmodal Transportation (MPD). Together, these divisions serve as the state's public entity to design, construct and maintain a quality highway system. It ensures that the Department's mission is fulfilled through an extensive public participation process and technical evaluation effort which results in the Five-Year Transportation Facilities Construction Program for highways and airports. This program is revised each year to reflect the completion of projects, addition of new projects and changes in scheduling for underway projects.

This Program Contains the following Subprograms:

- Maintenance
- Construction
- Intermodal Transportation Planning
- Vehicles and Heavy Equipment

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	11,734.9	0.0	0.0
Other Appropriated Funds	211,892.5	262,113.0	266,427.3
Other Non Appropriated Funds	1,079,355.1	0.0	0.0
Total Funding	**1,302,982.5**	**262,113.0**	**266,427.3**
FTE Positions	**1,870.5**	**1,870.5**	**1,870.5**

Subprogram Summary

MAINTENANCE

Dallas Hammit, State Engineer
Phone: (602) 712-7391
A.R.S. § 28-104

Mission:

To provide courteous, efficient and effective maintenance contract support services.

Description:

The Maintenance Group is responsible for maintaining Arizona's existing transportation infrastructure through activities including roadway and shoulder maintenance, signage, repairs, striping, emergency response, snow removal and preservation projects.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	65.1	0.0	0.0
Other Appropriated Funds	140,791.5	186,686.6	191,000.9
Other Non Appropriated Funds	16,516.1	0.0	0.0
Total Funding	**157,372.7**	**186,686.6**	**191,000.9**
FTE Positions	**822.0**	**822.0**	**822.0**

Subprogram Summary

CONSTRUCTION

Dallas Hammit, State Engineer
Phone: (602) 712-7391
A.R.S. § 28-104

Mission:

To monitor and implement statewide construction policies and procedures that continually improve project cost effectiveness and quality.

Description:

This Construction Group is responsible for the administration of the statewide annual construction program of over $1 billion. The Five-Year Construction Program is revised each year to reflect the completion of some projects, the addition of new projects and changes in scheduling for other projects.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	11,669.8	0.0	0.0
Other Appropriated Funds	51,971.0	54,646.6	54,646.6
Other Non Appropriated Funds	1,024,878.1	0.0	0.0
Total Funding	**1,088,518.9**	**54,646.6**	**54,646.6**
FTE Positions	**811.5**	**811.5**	**811.5**

Subprogram Summary

INTERMODAL TRANSPORTATION PLANNING

Greg Byres, Division Director
Phone: (602) 712-8143
A.R.S. § 28-104

Mission:

To develop the transportation foundation for Arizona's future.

Description:

The Multimodal Planning Division (MPD) works with its customers and stakeholders in a collaborative effort to develop and implement statewide transportation policy and facilitate multimodal, performance-based transportation planning and programming efforts at the state, regional and local level, including the statewide airport system. The Division helps to identify the important present and future transportation issues facing Arizona and assists in the development of supporting strategies needed to preserve and expand the state's transportation system for all modes.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,321.9	2,125.0	2,125.0
Other Non Appropriated Funds	37,960.9	0.0	0.0
Total Funding	**39,282.8**	**2,125.0**	**2,125.0**
FTE Positions	**63.0**	**63.0**	**63.0**

Subprogram Summary

VEHICLES AND HEAVY EQUIPMENT

Sonya Herrera, Division Director
Phone: (602) 712-6255
A.R.S. § 28-7006

Mission:

To purchase, maintain, repair and dispose of light and heavy duty vehicle and fleet equipment for ADOT and perform contract services for selected state agencies and county/municipal governments.

Description:

It is the responsibility of Equipment Services to: provide and maintain the equipment fleet for ADOT users; maintain equipment fleets for other agencies and county/municipalities governments under contract; collect revenue to finance capital replacement and operational expenses; provide management and financial information through an equipment management system; provide fuel resources statewide in compliance with federal/ state EPA regulations; and maintain state port-of-entry scales.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	17,808.1	18,654.8	18,654.8
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**17,808.1**	**18,654.8**	**18,654.8**
FTE Positions	**174.0**	**174.0**	**174.0**

Program Summary

MOTOR VEHICLE

Eric Jorgensen, Division Director
Phone: (602) 712-8152
A.R.S. Title 28

Mission:

To support Arizona through licensing, vehicle credentialing, revenue collection, safety programs, and by promoting compliance with transportation laws.

Description:

The Motor Vehicle Division (MVD) provides services in the following areas: motor vehicle title and registration, issuance of driver credentials, vehicle inspection, e-government (ServiceArizona), motor carrier, dealer licensing, aircraft registration and customer service through the division's public information call centers. MVD is the primary source of motor vehicle information to law enforcement agencies, other governmental entities, motor carrier and vehicle dealer industries, the news media and the general public.

This Program Contains the following Subprograms:

- Customer Services
- Motor Vehicle Enforcement Services

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	88,728.5	93,360.0	100,452.7
Other Non Appropriated Funds	6,993.1	7,017.2	7,499.0
Total Funding	**95,721.6**	**100,377.2**	**107,951.7**
FTE Positions	**1,106.3**	**1,106.3**	**1,197.3**

Subprogram Summary

CUSTOMER SERVICES

Eric Jorgensen, Division Director
Phone: (602) 712-8152
A.R.S. Title 28

Mission:

To provide exemplary motor vehicle and driver license customer services and improve motor vehicle related products, services and, revenue collection through effective application of private and public sector resources.

Description:

The Customer Service Program provides motor vehicle title and registration services and issues driver credentials (including CDLs). Responsibilities include: review for compliance with state statutes and federal guidelines, fraud detection, collection and reconciliation of fees, vehicle inspections, driver knowledge and skill testing, medical review, motor carrier licensing and permit issuance. The program strives to provide the highest degree of quality customer service through statewide field offices, information call centers, and electronic service delivery.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	61,739.6	66,487.6	71,512.4
Other Non Appropriated Funds	5,868.3	7,012.9	7,494.7
Total Funding	**67,607.9**	**73,500.5**	**79,007.1**
FTE Positions	**835.0**	**835.0**	**919.0**

Subprogram Summary

MOTOR VEHICLE ENFORCEMENT SERVICES

Tim Lane, Division Director
Phone: (602) 712-7328
A.R.S. Title 28

Mission:

To accomplish mandated enforcement and regulatory responsibilities and provide a system that ensures public safety.

Description:

The Enforcement and Compliance Division is responsible for vehicle registration compliance and ensuring that commercial vehicles adhere to size, weight, and safety laws at the state's ports-of-entry, including the six southern border ports. The Executive Hearing Office is primarily responsible for conducting administrative hearings related to DUI offenses and driver license suspension/revocations. The Office of the Inspector General (OIG) enforces laws relevant to licensed and illegal car dealers, title and driver license fraud, and the use of fraudulent documents in acquiring ADOT products and services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	26,988.9	26,872.4	28,940.3
Other Non Appropriated Funds	1,124.8	4.3	4.3
Total Funding	**28,113.7**	**26,876.7**	**28,944.6**
FTE Positions	**271.3**	**271.3**	**278.3**

Agency Summary

STATE TREASURER

Kimberly Yee, State Treasurer
Phone: (602) 542-7800
A.R.S. § 41-171

Mission:

To protect taxpayer money as the State's banker, chief investment officer and financial services provider.

Description:

The primary responsibilities of the elected State Treasurer are to receive and keep custody over all monies belonging to the State that are not required to be kept by some other entity; to pay warrants of the Department of Administration; and to keep an account of all monies received and disbursed. The Office also invests State monies and operates the local government investment pool for public entities throughout Arizona.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,205.1	1,205.1	1,205.1
Other Appropriated Funds	5,361.7	5,839.0	5,839.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**6,566.8**	**7,044.1**	**7,044.1**
FTE Positions	**28.4**	**31.0**	**31.0**

5 Year Plan

Issue 1 Employees

Description Create and Support a culture of leadership and continuous advancement through employee training, advancement and retention.

Solutions:

Objectives:
Define and implement capacity requirements to continue to embrace changing financial requirements, services, regulations and technological advancement.
Develop a leadership succession plan that includes a leadership gap analysis and cross training in all divisions.
Implement reward based program that encourages employees to share ideas that further strengthen the agency's mission and vision.
Reclassify position descriptions and qualification standards for all positions within the office to align with the statewide services provided by the office.
Measurements:
Conduct annual training assessment to ensure training is designed to improve organization and individual performance.
Engage external customers for feedback used in the analysis of staff to identify and address concerns.
Modernize position descriptions and employ appropriate and competitive total compensation based on performance.

Issue 2 Investments

Description Protect taxpayer money, invest for safety and yield.

Solutions:

Objectives:
Recruit, train, advance and retain professional staff with experience in investing.
Implement the best technology for efficiency, risk reduction, and increased safety.
Provide proper risk-adjusted returns on investments.
Continue proper contingency measures for investment management.
Increase participation and invested balance in LGIP and individual endowment funds.
Measurements:
Performance benchmarks adjusted for risk.
Maintain $1 NAV for Pools 5 and 7.
Weekly comparison of local and national bank rates. Quarterly comparison of similar treasury operations. Semiannual comparisons of mutual funds.
Maintain S&P AAAf/S1+ rating on Pool 5.

Issue 3 Efficiency/Transparency

Description Ensuring excellent customer service and financial transparency for taxpayers of Arizona.

Solutions:

Objectives:
Improve the Office's web page to provide better comprehensive understandable financial information.
Facilitate a one stop point for the public to access financial information of the State of Arizona.
Maintain working relationships with elected officials and agency directors to provide financial services to support agency efficiencies.
Optimization of financial services contracted/provided for agencies to support PCI compliance.
Measurements:
Timely Distributions to local governments.
Timely payments to statewide vendors.
Process reviews.

Issue 4 Modernization/Technology

Description Improve efficiency and effectiveness through modernization of technology.

Solutions:

Objectives:
Develop and implement a new financial operations system.
Improve revenue collection efficiencies across state agencies.
Update web page/portal to provide secure access by agencies to their financial transaction information.
Implement disaster recovery systems and protocol to allow for timely completion of all state agency investments, revenue receipt and obligation payments.
Increase security and fraud controls on financial transactions.

Measurements:
Receipt processing automation.
Reconciliation process automated.
Measured reduction in paperwork required from outside sources (agencies) and retained by office.
Automation of repetitive tasks.

Issue 5 Financial Literacy

Description Advance financial literacy throughout the state of Arizona, ensuring all Arizonans have the opportunity to attain proficiency in basic money management.

Solutions:

Objectives:
Raise awareness of the need for Arizonans to have stronger skills in basic money management.
Reach as many Arizonans as possible in all 15 counties with the message of the importance of financial literacy.
Create and launch a task force on financial literacy, as an instrument of helping the Arizona Treasurer's Office achieve the stated goal above. Implement an action plan based on those recommendations.
Create and maintain a detailed, one stop Financial Literacy Toolbox page on the Office's web page to serve as a public resource for Arizonans.
Execute periodic surveys to measure changes in financial literacy among Arizonans.
Measurements:
Implementation of Task Force recommendations.
Review results of periodic surveys for improvements in statewide financial literacy changes among Arizonans.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To receipt all funds and securities, as required by law, and process these transactions in an accurate, timely manner that ensures safety, availability, and accountability of all assets entrusted with the office.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Customer satisfaction rating for State Agency depositors (scale 1-8)	7.7	7.5	7.8	7.5	7.8

◆ **Goal** 2 To disburse funds as required by law in a manner that ensures accuracy and timeliness, while maintaining adequate internal controls and auditable records.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Customer satisfaction rating for State Agency banking customers (scale 1-8).	7.7	7.3	7.8	7.3	7.75
Customer satisfaction rating for distribution recipients (scale 1-8)	7.2	7.0	7.6	7.0	7.5
Percent of distributions sent successfully and accurately.	96	98	98.5	98	98.5
Percent of outgoing wires sent successfully and accurately.	99	99	98.5	99	99
Percent of distributions sent on time.	99	98	99.9	98	99
Percent of outgoing wires sent on time.	99	99	99	99	99

◆ **Goal** 3 To operate, in real-time, an investment tracking portfolio management system that allows greater flexibility and enhances management as well as trade/position reporting.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of non-compliant trades	2	2	0	2	2
Average days to correct non-compliant trades	1	1	0	1	1

Agency Summary

TRIBAL RELATIONS

Kristine M. FireThunder, Executive Director
Phone: (602) 542-4421
A.R.S. § 41-2051 to 41-2054

Mission:

To assist agencies in implementing tribal consultation and outreach activities

Description:

The Governor's Office on Tribal Relations has a legislative mandate to assist each state agency in providing equitable programs, services and establish inter-government agreements with tribal nations and communties. In doing so, the office shall annually report on the implementation of tribal consultations policies; host an annual state-tribal summit, request information to advance intergovernment cooperation; facilitate Indian Nations and Tribes Legislative Day; implement town hall forums for American Indian people to impart their knowledge on statewide issues; serve as an informational clearinghouse and provide training on cross-cultural situations; promote increased participation of American Indians in state affairs; design and initiate programs to stimulate economic growth of the American Indian Population. The office may establish executive committees as needed.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	58.3	62.9	62.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	22.3	18.5	18.5
Total Funding	**80.6**	**81.4**	**81.4**
FTE Positions	**0.5**	**0.5**	**0.5**

Agency Summary

BOARD OF REGENTS

John Arnold, Executive Director
Phone: (602) 229-2500
A.R.S. § 15-1621

Mission:

To provide opportunities for learning, discovery, research, public service, and economic development for Arizona residents and the global community.

Description:

The Arizona Board of Regents provides strategic direction for the university system and is committed to ensuring Arizonans have access to a quality public university education, building a brighter future for students, families, and the state.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ GOVERNANCE	202,309.0	196,178.6	239,941.6
➢ STUDENT ASSISTANCE	4,535.3	19,534.7	34,534.7
Agency Total:	**206,844.3**	**215,713.3**	**274,476.3**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	6,898.1	22,397.7	77,397.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	199,946.2	193,315.6	197,078.6
Total Funding	**206,844.3**	**215,713.3**	**274,476.3**
FTE Positions	**38.8**	**39.8**	**39.8**

Program Summary

GOVERNANCE

Gale Tebeau, Director Financial Policies
Phone: (602) 229-2500
A.R.S. § 15-1621

Mission:

To employ an entrepreneurial approach with an innovative leadership and organization design that recognizes each university's unique mission; holds the enterprise to the highest standards of quality and accountability; and works collaboratively to achieve statewide goals.

Description:

The Arizona Board of Regents have outlined goals for the universities as part of the strategic plan through 2025. Goals for student success, educational attainment, research, and impact on local, state and global communities, provide a framework for the Board's strategic fiduciary oversight and planning.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,363.4	2,863.0	42,863.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	199,945.6	193,315.6	197,078.6
Total Funding	**202,309.0**	**196,178.6**	**239,941.6**
FTE Positions	**38.8**	**39.8**	**39.8**

◆ **Goal** 1 To drive student educational success and learning.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total Enrollment	178,487	185,316	186,398	192,637	199,591

◆ **Goal** 2 To advance educational achievement within Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Bachelor's degrees produced annually in the system.	29,893	31,447	31,447	32,959	35,056

Explanation: FY 2019 Actual is an estimated number. Final number is not yet available.

◆ **Goal** 3 To discover new knowledge and impact Arizona

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Public service activity (in thousands of dollars)	$164,243	$167,577	$167,577	$171,250	$175,011

Explanation: FY 2019 Actual is an estimated number. Final number is not yet available.

Total Research Activity (in thousands of dollars)	$1,221,540	$1,281,880	$1,281,880	$1,393,140	$1,433,160

Explanation: FY 2019 Actual is an estimated number. Final number is not yet available.

Invention Disclosures	584	599	31	33	35

Explanation: FY 2019 Actual is an estimated number. Final number is not yet available.

◆ **Goal** 4 To oversee the university internal audit process.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Audits scheduled	22	42	31	35	35

Explanation: FY2019: Universities were overly optimistic about the number of audits they would be able to initiate. Audit starts were negatively affected by prior FY carryovers and some FY2019 audits taking longer than estimated to complete due to complexity and staff turnover.

Audits performed on universities	22	43	22	32	32

Program Summary

STUDENT ASSISTANCE

Gale Tebeau, Director Financial Policies
Phone: (602) 229-2500
A.R.S. §§ 15-1642, 15-1742, 15-1746

Mission:

To provide student access to higher education and improve the demographic and academic profile of the public universities.

Description:

The Arizona Board of Regents administers three financial assistance programs, Western Interstate Commission on Higher Education (WICHE), Arizona Financial Aid Trust (AFAT) and Arizona Teacher Incentive Program.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,534.7	19,534.7	34,534.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.6	0.0	0.0
Total Funding	**4,535.3**	**19,534.7**	**34,534.7**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To deliver a high-quality university education

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total number of Western Interstate Commission for Higher Education awards	168	163	167	155	152
Number of first year Western Interstate Commission for Higher Education awards	46	38	36	37	32
Number of first year WICHE applications meeting eligibility requirements	161	144	119	121	118

Explanation: The elimination of funding for occupational therapy and physician assistant due to the fact that they are now available at NAU has reduced the applicant pool.

Number of first year WICHE applications processed	198	159	136	137	130
Percent of recipients returning to practice in Arizona	78	78	79	78	77
Number of Students Enrolled in the Arizona Teachers Academy	221	478	464	3,209	3,209
Six-Year Graduation Rate	61.9%	63.8%	63.3%	64.7%	67.2%

Agency Summary

ARIZONA STATE UNIVERSITY

Dr. Michael Crow, President
Phone: (480) 965-8972
A.R.S. § 15-1601

Mission:

To demonstrate leadership in academic excellence and accessibility; establish national standing in academic quality and impact of colleges and schools in every field; establish ASU as a leading global center for interdisciplinary research, discovery and development by 2025; and enhance our local impact and social embeddedness.

ASU is a comprehensive public research university measured not by whom it excludes, but by whom it includes and how they succeed; advancing research and discovery of public value; and assuming fundamental responsibility for the economic, social, cultural, and overall health of the communities it serves.

ASU has become the foundational model for the New American University, a new paradigm for the public research university that transforms higher education. ASU is committed to excellence, access, and impact in everything it does.

Description:

Arizona State University (ASU) is "one university in many places" - four distinctive campuses throughout metropolitan Phoenix that create a federation of unique colleges and schools. They are all ASU, providing access to all the university's strength and innovation, yet each offers attributes and focuses to meet the needs of any learner. ASU at the Tempe Campus, which includes the Downtown Phoenix campus, is a major public research university offering programs from the baccalaureate through the doctorate. ASU at the West Campus is a comprehensive campus that balances the traditions of liberal arts education with responsiveness to the dynamics of workforce requirements. ASU at the Polytechnic Campus is a nexus for studies in interdisciplinary sciences, engineering, management, technology, and education. Industry partnerships are key to the campus' distinctive course offerings, which provide opportunities for project-based learning within advanced laboratory spaces.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ INSTRUCTION	922,040.9	958,243.0	1,023,143.0
➢ ORGANIZED RESEARCH	349,230.1	404,245.1	404,245.1
➢ PUBLIC SERVICE	40,281.5	27,886.5	27,886.5
➢ ACADEMIC SUPPORT	254,355.0	205,230.9	205,230.9
➢ STUDENT SERVICES	547,350.4	564,466.5	652,773.0
➢ INSTITUTIONAL SUPPORT	1,127,531.7	1,286,250.6	1,286,250.6
➢ CAPITAL INFRASTRUCTURE	0.0	0.0	0.0
Agency Total:	**3,240,789.6**	**3,446,322.6**	**3,599,529.1**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	328,739.7	341,916.8	406,816.8
Other Appropriated Funds	667,276.2	658,196.6	658,196.6
Other Non Appropriated Funds	2,244,773.7	2,446,209.2	2,534,515.7
Total Funding	**3,240,789.6**	**3,446,322.6**	**3,599,529.1**
FTE Positions	**13,711.5**	**14,217.2**	**14,427.2**

5 Year Plan

Issue 1 Increase participation in postsecondary education and ultimately increase baccalaureate degree production

Description To broaden access to a quality education for all segments of the population, ASU must be positioned to accommodate the expected growth in high school graduates, particularly minority populations and a growing pool of older students requiring new job skills. Never in the history of Arizona has a university education been more important. Our knowledge-based economy and an ever-increasing trend toward globalization are changing the skills needed for success in the labor force. Yet, rising costs, need for financial aid, and years of underfunding of public investments in higher education place the idea of access at risk. Tuition rates approved by the Board of Regents in recent years and future changes consistent with Board policy will help to meet some of the increasing need for financial aid and improve affordability for a greater number of students.

ASU is strongly committed to providing access to college for all qualified students, and to providing them with the services, resources, and tools necessary to help them succeed through to graduation. Furtherance of these goals requires bold and sustained planning to provide the educational resources and services to meet the needs of the projected increases in students. Continued investment will be necessary to provide the infrastructure for the enrollment growth envisioned at each of the campuses.

Solutions:

Strategy 1: Increase efforts to enroll more Arizona high school graduates.

Strategy 2: Increase the diversity of the student population.

Strategy 3: Enhance services and resources to students that will lead to increased retention and graduation rates.

Strategy 4: Enhance partnerships with the community colleges to facilitate more effective transfer processes.

Strategy 5: Increase ASU Online program offerings to increase access for students seeking ASU degrees.

Strategy 6: Provide flexibility in course offerings and educational modalities.

Strategy 7: Increase financial assistance available to needy students.

Strategy 8: Establish Colleges@ASU sites that will provide an opportunity for students to complete baccalaureate degrees at lower costs.

Issue 2 Improve the quality of undergraduate and graduate education

Description Undergraduate and graduate education are the cornerstones of the university enterprise. Students seek a high quality education that prepares them to be successful in their careers, to contribute to society, and to become lifelong learners. Today's graduates must have strong communication, team building, and critical thinking skills as well as a global perspective to be successful.

A continued emphasis on providing a quality educational experience requires examining and evolving how the university designs and delivers its instructional programs to maximize the impact of education. Improvements can be accomplished through new pedagogical techniques, such as adaptive learning, collaborative learning, service learning, and other learner-centered approaches; through the appropriate use of technology to enhance the learning environment; through undergraduate education that focuses on the student as an individual; by providing seamless access to the services and resources required for learning and creative and intellectual inquiry; and by providing an environment that fosters student scholarship. ASU continues to conceptualize and create a wide range of new interdisciplinary schools, institutes, centers, and programs that will foster the development of new knowledge. In addition, ASU is enhancing learning environments that facilitate learner-centered delivery with improved instructional technologies and flexible room design. Necessary public investments will provide the resources needed to improve the learning environments, to accommodate the increased student population, and to hire the faculty necessary to establish national standing for colleges and schools in every field.

Solutions:

Strategy 1: Increase the number of tenured and tenure-track faculty.

Strategy 2: Enhance the technologies and tools that provide students with information to assist with their academic planning and progress.

Strategy 3: Emphasize learning experiences that are outcomes-focused.

Strategy 4: Expand the use of alternative instructional methodologies and delivery methods that improve the learning outcomes and success of students.

Issue 3 Recruit and retain faculty and staff in highly competitive national and local markets during a period of limited resources

Description Quality faculty members are fundamental to a quality university education. Without the best faculty members, providing Arizona citizens the superior quality higher education they deserve and the output of research innovations they expect is impossible, and Arizona will not be able to achieve the necessary cultural and economic vitality required for the state to thrive. At ASU, hiring and retaining outstanding faculty members continues to be a concern. Like the other Arizona universities, ASU struggles to consistently compete in the demanding marketplace of top institutions. With the public investment for salaries between FY05 and FY08, ASU made some progress in improving faculty salaries, enabling the University to recruit and retain highly recognized and respected academics in a variety of fields. But the average salary for faculty members continues to fall below most of its peer institutions. Staff salaries also continue to fall further behind comparable jobs in the relevant markets. Turnover among staff continues to be a significant problem, in part due to salaries that are not competitive with the local market.

Solutions:

Strategy 1: Close the gap on salaries as defined in the ABOR Annual Personnel Report through an ongoing commitment of performance salary adjustments. Public investment in faculty salaries is critical at this time to retain key faculty members as well as enabling ASU to continue attracting and successfully competing for the highest qualified new faculty members.

Strategy 2: Adopt and implement an ongoing commitment of salary improvement to address the significantly negative market position of staff (non-academic) salaries by targeting budgetary funds at a level anticipating salary movement of 3 - 4% per year, with allocations tied directly to outcome driven performance measures.

Strategy 3: Develop and maintain the laboratory facilities and the network and computational resources required by the research community. Maintaining competitiveness in research, faculty and student recruitment and retention requires well-equipped modern facilities as well as secure access to high capacity network connectivity; computational, data, and analytic resources required to support researchers; and the systems and application support staffing required by individual researchers, clusters, and research teams.

Strategy 4: Maintain the program to improve salary and benefits for graduate research and teaching assistants. Other universities with whom ASU competes for top-quality graduate students have better salary and benefits packages. Excellent graduate students are essential for improving the quality of both graduate programs and the broader research enterprise.

Issue 4 Expand research capabilities

Description ASU continues to vigorously pursue long-term initiatives in such areas as space exploration, health and biosciences, advanced materials, global security, renewable energy and sustainability, learning sciences, informatics and communications. Over the last decade, ASU is one of the fastest growing research enterprise among U.S. universities with research portfolios exceeding $100M in research expenditures [NSF Surveys]. ASU's goal is to establish itself as a global center for interdisciplinary research, discovery and development by growing its research expenditures to more than $815M annually by 2025. To support our aspirations, ASU has defined seven strategies and four key focus areas that will allow us to continue our exceptional growth, serve the surrounding community and increase the impact of the research and scholarly work of our faculty.

Solutions:

Strategy 1: Differentiate ASU from the competition through the procurement of large projects (> $10 million) in several key target areas; health and biosciences, global futures and sustainability, light-inspired energy, personalized learning, global security, and space exploration. This is done through active efforts to build faculty teams in order to seize new major research opportunities.

Strategy 2: Pursue one or more University Affiliated Research Center (UARC)-like entities (a research laboratory) on the scale of $20-$100 million per year, in space exploration, energy, sustainability, advanced materials, national security, or biosciences in collaboration with corporate and clinical partners.

Strategy 3: Continue to promote and support ASU's projects from across the university through the improvement of the Office for Research and Sponsored Project Administration infrastructure, reduction of faculty burden and providing assistance to the academic units for opportunity identification and development.

Strategy 4: Continue to expand philanthropic funding for our research programs by working closely with the Foundation to support its activities.

Strategy 5: Expand our collaborative research activities with industry to take advantage of their desire to shift basic and applied research requirements to university labs.

Strategy 6: Continue to pursue angel and venture investment in emerging companies. Activities will include developing a best-in-class intellectual property team and extension of Sky Song's entrepreneurship agenda.

Strategy 7: Develop and implement plans to provide the research facilities and infrastructure that are required to meet the research goals of the University.

Key Focus Area #1: Incorporate new approaches, including continued focus on interdisciplinary research

In keeping with the spirit of the New American University vision, we will continue to expand our research capabilities through an interdisciplinary approach. Interdisciplinary research involves not only drawing upon the expertise across the University but also includes partners such as industry, national laboratories, academia and clinical entities. We are focusing our efforts in bringing together researchers from disparate disciplines to tackle complex questions central to the areas of strategic interest. The Biodesign Institute and its research centers exemplify this approach. We are working on new industry-university consortium models that bring together industry and University researchers working collaboratively to address national challenges and result in significant educational and economic impact. We are increasingly focusing our research on global problems with local relevancy. We are also creating the ecosystems for promotion of innovation and entrepreneurship activities.

Key Focus Area #2: Increase participation in multi-institutional grants and consortiums

It is a strategic goal of ASU to be successful in securing several multi-institution, multi-disciplinary, multi-year, multi-million dollar (4M) research projects. A specific goal is to secure a national research laboratory or its equivalent by 2025. To achieve this objective, we will cultivate, identify, target and develop 4M research opportunities leveraging ASU strengths in strategic research areas. Competitive teams and consortia will be constructed by bringing in complementary strengths through partnerships with national laboratories, academia, industry and government partners to successfully secure these grants.

Key Focus Area #3: Accelerate technology transfer initiatives

As ASU's research enterprise has expanded over the past several years, Skysong Innovation has undertaken a variety of activities in

furtherance of its mission to facilitate advancement of University technology into the marketplace.
•Closely align Skysong Innovation functions and support with established and new research initiatives
•Continue focus and support of existing initiatives and programs
•Increase connectivity with investors and industry through conferences and other outreach activities
•Form a seed stage venture capital fund led by ASU to accelerate the number of faculty related spin-outs
•Increase technology exposure through cross marketing activities with other universities
•Increase faculty interaction and outreach, including the establishment of an Skysong Innovation office on campus to foster faculty relationships and commercialization activities

Key Focus Area #4: Improve infrastructure to support research

Achieving our research expenditure goals will require additional research space. The University must develop plans to repurpose existing space and construct new facilities. To develop these plans the University has undertaken an effort to survey unused and underused space, determine return on investment of allocated space and consistently revisit space allocation to respond to the dynamic research needs. Results will be shared with all stakeholders and plans to refurbish and repurpose will be developed to meet current and future needs. Funds for construction of new buildings will involve State, Federal and Philanthropic entities. The University will work with the State to clearly define research priorities and communicate current and future space requirements. Federal and Philanthropic funding opportunities will also be explored where appropriate to address the current and future space requirements.

The University's information technology infrastructure is continuously challenged to keep pace with the rapid increase in externally funded research. To meet the demands of research growth and to plan for future growth, new tools must be designed and implemented across the Research Enterprise in a way that leverages existing IT infrastructure and increases functionality for the entire Research community. Implementation of an end-to-end research administration system will allow for immediate process improvements and continued research expenditure growth. The improvement of the information technology infrastructure will be executed concurrently with the reorganization of research administration personnel and business processes.

Issue 5 Enhance our local impact and social embeddedness

Description Central to ASU's charter is a commitment to be fundamentally responsible for the economic, social, cultural and overall health of the communities we serve. To achieve this bold mission, ASU partners with the community in mutually beneficial ways – deeply rooted in our place as a vital anchor institution in the local community and beyond.

By leveraging ASU's vast range of intellectual and institutional resources and valuing the profound knowledge and expertise of our community partners, we can create powerful impact sufficient to drive change in the most complex of social challenges.

To achieve this, ASU empowers all faculty, staff, students and alumni to engage with the community. The six models of engagement -- community-based teaching and learning, civic engagement, community-engage research, knowledge mobilization, capacity building, and place-based partnerships – highlight some of the ways that ASU is socially embedded and striving to fulfill our role as an anchor institution.

Solutions:

Strategy 1: Strengthen Arizona's interactive network of teaching, learning and discovery resources that reflects the scope of ASU's comprehensive knowledge enterprise.

Strategy 2: Co-develop solutions to the critical social, technical, cultural and environmental issues facing 21st century Arizona.

Strategy 3: Meet the needs of 21st century learners by empowering families in the education of their children, increasing student success through personalized learning pathways, and promoting a college-going culture in Arizona's K-12 schools.

Strategy 4: Establish, with Mayo Clinic, innovative health solutions pathways capable of educating 200 million people about health care, engaging 20 million people in online health care delivery, and enhancing treatment for 2 million patients.

Issue 6 Contribute to increasing Arizona's competitiveness by responding to the increasing demands for a workforce prepared to succeed in the new economy

Description To have a competitive edge in the new, digital economy, Arizona must foster innovation through a highly skilled workforce, a dynamic business environment, and strong public universities. To achieve this position, Arizona must work hard to counteract a broad range of challenges, which include one of the country's lowest college-going and graduation rates, a very low in-migration to Arizona of college graduates under 30, and a high risk of future job replacement through automation in the state's relatively large service sector. The state's public universities play an essential role in developing the type of innovation ecosystem required to position Arizona for success in the new economy.

For fiscal year 2021, Arizona State University (ASU) is seeking public investment in a new and bold initiative aimed at enhancing Arizona's competitiveness in the new economy. This initiative is focused on laying the foundation for Arizona to be a leader among states as the country adapts to the forces of a digitally-driven industrial revolution. ASU's proposal is focused on two complementary efforts that will bolster college graduation rates for state residents and, concurrently, produce more graduates in fields that are essential to the workforce demands of the new economy.

The first component, for $46.0 million, will provide a workforce ready for success in the new economy. This includes growing enrollments in a broad range of high-demand fields and launching the largest center for engineering education and research in the United States. To do so, ASU must accelerate its faculty recruitment in a range of fields to keep pace with student demand as well as build and leverage the use of Science and Technology Centers (STCs), which rely upon close partnerships among government, industry, and the university.

The second component, making permanent the fiscal year 2020 one-time $18.9 million appropriation, will fund 130 existing tenure-track faculty positions in ABOR-designated STEM fields hired through the provision of one-time funding over the past three fiscal years. On ASU's campus, an ever growing amount of learning is taking place in STEM fields that are important to Arizona's success in the fourth industrial revolution that will fundamentally change the way we live, work, and relate to one another.

ASU's fiscal year 2020 budget includes $5.62 million of base funding, awarded by the state, to support the expansion of the Arizona Teachers Academy (ATA). The intended use of the appropriation is to reimburse postsecondary institutions for the awarding of tuition waiver scholarships, to provide support for National Board Certifications, to fund induction services for Teachers Academy graduates, and to support ATA administration and marketing costs. This is a critically important program that will bolster the supply of high-quality teachers who will prepare and encourage K-12 students to pursue higher education. For fiscal year 2021, through an ABOR-led request, ASU anticipates receiving additional funds that it will use to fully fund tuition scholarships, increase the number of teacher placements, and make additional investments in professional development services for teachers affiliated with the academy.

While ASU anticipates increased public investment in fiscal year 2021, it continues long-standing efforts to diversify its revenue base and identify ways to reduce and contain costs. In terms of revenue diversification, ASU's Campaign ASU 2020 has already exceeded its fund raising goal by 28 percent with nine months remaining until the campaign end. Additionally, fiscal year 2018 NSF HERD research expenditures of $617.7 million represent a 13 percent increase over the prior year. As for cost containment, closing the campus for the Thunderbird School of Global Management in Glendale and relocating its graduate and executive education programs to ASU's Downtown Phoenix campus will eliminate net operating expenses (net of operating the new location) of more than $3.2 million annually and avoid investment in aging facilities of $25 to $30 million over the next ten years. Furthermore, ASU's Office of Knowledge Enterprise Development will realize an estimated $1.8 million in savings by directly hiring technicians to maintain toxic and flammable gas systems at the Macro Technology Works (MTW) and by consolidating the management structure at MTW and at the Flexible Electronics and Display Center.

Solutions:

Strategy 1: Restructure current funding mechanisms to create a sustainable enterprise financial model that relies on the state as one of many investors.

Strategy 2: Continue to look for ways to reduce costs while supporting student retention and graduation, faculty research productivity, and the economic development of the State of Arizona.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	14,753.0	15,355.4	15,960.0
Other Appropriated Funds	32,729.8	39,275.8	41,632.3
Non-Appropriated Funds	64,887.1	66,833.7	68,838.7
Federal Funds	24,288.7	25,746.0	27,290.8

Program Summary

INSTRUCTION

Melinda Gebel, Director
Phone: (480) 965-2318
A.R.S. § 15-1601

Mission:

To offer high quality academic degrees, general studies, and honors programs that prepare graduates for personal growth, fulfilling careers, and lifelong contributions to the quality of intellectual life in the community, state, region, and nation.

Description:

Instruction is comprised of activities carried out during the academic year, summer sessions, and other periods outside the regular term and associated with degree credit and non-credit academic courses. This program also includes faculty departmental research and public service activities that are not separately budgeted and academic administration where instruction plays an important role, such as at the dean and department chair levels.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	328,739.7	341,916.8	406,816.8
Other Appropriated Funds	303,862.2	303,488.6	303,488.6
Other Non Appropriated Funds	289,439.0	312,837.6	312,837.6
Total Funding	**922,040.9**	**958,243.0**	**1,023,143.0**
FTE Positions	**5,936.0**	**5,976.5**	**6,186.5**

◆ **Goal** 1 To improve the quality of undergraduate education.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average years taken by freshman students to complete a baccalaureate degree program	4.3	4.2	4.3	4.3	4.3
Percentage of undergraduate degree recipients participating in research related or capstone (case study) experience	92	93	92	92	92
Percent of graduating seniors who rate their overall university experience as good or excellent	90	90	90	90	90
Percent of full-time undergraduate students enrolled per semester in three or more primary courses with ranked faculty	88	88	88	88	88
Number of courses enrollments in adaptive learning courses in each academic year	10,983	20,000	29,434	36,000	42,000

◆ **Goal** 2 To enhance the number and diversity of the most highly qualified students entering Arizona State University and the Barrett Honors College.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Honors undergraduate headcount students	7,500	7,800	7,428	7,500	7,550
BHC degree recipients (i.e., with honors)	1,010	1,125	1,110	1,200	1,300
Courses offered for honors credit	4,634	4,800	4,800	4,900	5,000

◆ **Goal** 3 To provide support services and courses that assist students in achieving academic success and planning programs of study within their chosen degree curricula.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of visits to academic support service areas	167,487	170,834	160,671	162,277	163,899
Participation in First Year Success programs	12,934	13,193	4,293	4,358	4,424
Number of students enrolled in UNI and ASU 101 Academic Success courses	9,629	9,725	9,773	9,919	10,067
Fall-to-Fall retention rate for College of Integrative Sciences and Arts Exploratory students	65.7	66.0	66.0	66.4	66.9
Number of degree program course audits run by students and staff	2,202,399	2,312,518	2,217,783	2,328,672	2,445,105
Number of eAdvisor tracking audits run by students and staff	2,377,617	2,853,140	3,642,799	4,007,078	4,407,786
Percent of graduating students who 'have done' or 'plan to do' a practicum, internship, co-op experience, or clinical assignment.	60	61	60	61	62
Number of students participating in LEAD each Fall semester	832	1,000	956	1,110	1,277

◆ **Goal** 4 To provide enriched educational opportunities to students by expanding accessibility and delivery of courses.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Summer sessions headcount students	39,788	43,438	43,438	48,026	52,829
Internet course registrations during the fall semester (duplicated enrollments)	152,273	173,996	173,525	197,113	222,738
Internet course sections offered during the fall semester	3,681	4,208	4,226	4,695	5,165
Fall semester enrollment (headcount)	103,567	111,029	111,291	119,589	130,422
Fall semester enrollment (full-time equivalent)	97,951	103,844	103,654	110,809	117,867

◆ **Goal** 5 To improve graduate education and promote growth by enhancing programs central to the University's mission and increasing the diversity of students.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Students enrolled in graduate degree programs	18,261	19,174	19,464	20,437	21,459
Minority graduate enrollment as percentage of total enrollment	27.2	27.8	27.8	28.6	29.4

◆ **Goal** 6 To promote retention and graduation for undergraduate and graduate students.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of full-time first-year students persisting after one year	85.2	85.5	85.5	86.8	87.5
Percent of first-time, full-time, upper-division, degree-seeking undergraduate students graduating in four years	73.4	71.0	71.1	69.8	71.0
Number of Bachelors degrees granted	18,178	19,000	19,340	20,500	21,700
Masters degrees granted	6,828	7,477	7,149	7,800	8,600
Doctorate degrees granted	692	707	714	740	770
First professional degrees granted	276	366	282	295	300
Number of degrees granted	25,974	27,550	27,485	29,335	31,370
Percent of full-time first-year students graduating in six years	63.1	67.7	67.7	66.9	70.0
Bachelor's degrees granted to Arizona community college transfer students	4,515	4,620	4,602	4,702	4,817

Program Summary

ORGANIZED RESEARCH

Melinda Gebel, Director
Phone: (480) 965-2318
A.R.S. § 15-1601

Mission:

To foster pre-eminent scholarship and creative activity that serves the citizens of Arizona through the development, application, and transfer of new knowledge especially beneficial to Arizona.

Description:

Organized Research includes research activities taking place within centers, divisions, bureaus, institutes and experiment stations formally approved by the Arizona Board of Regents. These activities are specifically created and organized to produce research, whether separately budgeted within the university or commissioned by an external agency, as with federal grants and contracts.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	14,591.7	13,030.8	13,030.8
Other Non Appropriated Funds	334,638.4	391,214.3	391,214.3
Total Funding	**349,230.1**	**404,245.1**	**404,245.1**
FTE Positions	**1,741.5**	**1,906.8**	**1,906.8**

◆ **Goal** 1 To maintain and enhance the University's status as a major research institution.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Dollar value of proposals submitted (in millions)	1,944.8	2,177.0	1,890.4	1,984.9	2,084.2
External dollars received for research and creative activity (in millions of dollars)	429.9	436.2	498.4	523.3	549.5
Dollar value of total research expenditures (in millions)	600.0	607.4	635.0	666.8	700.1
Dollar value of externally funded, non-research expenditures (in millions)	53.8	63.2	48.1	50.5	53.0

◆ **Goal** 2 To continue and improve University efforts to provide opportunities for undergraduate and graduate students to participate in research and creative activity.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Undergraduate students supported by sponsored funds	1,724	2,020	1,536	1,613	1,693
Graduate students supported by sponsored funds	1,945	1,854	2,075	2,100	2,100

Program Summary

PUBLIC SERVICE

Melinda Gebel, Director
Phone: (480) 965-2318
A.R.S. § 15-1601

Mission:

To serve the public by offering a public telecommunications system, by providing the finest available artists and productions in music, theater and dance, by establishing partnerships with local industry and educational institutions to foster community engagement, and by serving as a resource and focal point in providing information about various university services to the business community and economic development professionals.

Description:

Public Service includes those activities established primarily to provide services beneficial to individuals and groups external to the university to enhance corporate and community engagement. Public Service includes conferences, general advisory services, reference bureaus, public radio and television, consulting, continuing education and professional development programs, and similar services to particular sectors of the community.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	1,869.7	2,217.8	2,217.8
Other Non Appropriated Funds	38,411.8	25,668.7	25,668.7
Total Funding	**40,281.5**	**27,886.5**	**27,886.5**
FTE Positions	**279.1**	**225.6**	**225.6**

◆ **Goal** 1 To provide quality educational and informative television programs and improve services provided to the community, especially in rural areas.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Persons viewing KAET-TV on a weekly basis (in thousands)	996	1,015	1,074	1,095	1,117
Teachers served through educational support programming	71,854	74,009	66,197	68,182	70,228
Students served through educational support programming	1,365,226	1,406,171	1,257,743	1,295,475	1,334,339

◆ **Goal** 2 To continue to stage excellent cultural and other nonathletic special events for various diverse constituents.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Persons attending University sponsored cultural events (in thousands)	562	568	642	650	660
Special events coordinated	590	600	2,048	2,088	2,130

Program Summary

ACADEMIC SUPPORT

Melinda Gebel, Director
Phone: (480) 965-2318
A.R.S. § 15-1601

Mission:

To provide services and programs to faculty, staff and students in support of the instructional, research, and service mission of the university.

Description:

Academic Support services include the retention, preservation, and display of educational materials through libraries, museums and galleries; audio visual and other activities that aid in the transmission of information; separately budgeted course and curriculum development; and academic computing support.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	100,038.9	113,593.5	113,593.5
Other Non Appropriated Funds	154,316.1	91,637.4	91,637.4
Total Funding	**254,355.0**	**205,230.9**	**205,230.9**
FTE Positions	**2,659.9**	**2,765.5**	**2,765.5**

◆ **Goal** 1 To manage the number of books and periodical subscriptions owned by the university libraries for increased accessibility.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Periodical subscriptions	49,822	50,000	57,667	60,550	64,800
Virtual/remote reference transactions	11,128	11,150	7,380	7,400	7,450
Visits to Libraries web site	1,978,003	2,000,000	2,144,708	2,300,000	2,400,000
Online catalog use (pageviews)	2,440,602	2,540,000	2,471,697	2,571,697	2,671,697
Online databases use (searches)	10,250,423	10,300,000	10,871,756	10,900,000	10,950,000

◆ **Goal** 2 To increase impact and attendance by positioning the Museum as a center for research and discovery around new art forms and ideas for students and the public, utilizing strategies of presenting high quality exhibitions at ASU and international venues, international artist residencies, educational events for broad audiences including classes taught in the Museum, and transdisciplinary collaborative projects on and off campus.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Annual attendance at university art collections	29,660	35,592	26,068	29,000	32,000
Annual attendees of lectures and special events	5,875	7,050	5,206	6,000	6,500

◆ **Goal** 3 To provide students and faculty with the technological resources and services needed to support accomplishment of their academic goals.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of mediated classrooms	615	624	593	604	613
Percentage of classrooms with mediation	100	100	100	100	100
Number of common computing site seats	1,064	1,064	1,064	1,064	1,064
Percentage of site equipment out dated (>4 years old)	87	57	57	75	59

◆ **Goal** 4 To develop a cohesive integrated tiered reference/research support service.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Library volumes	4,883,933	5,055,000	5,007,120	5,133,050	5,210,050
Items checked out including renewals	144,493	146,000	110,215	110,250	110,275
Items borrowed from libraries outside ASU	29,660	29,760	29,749	29,860	29,960

◆ **Goal** 5 To provide Library Services as an integral and essential component in the academic success of students and faculty.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Library gate count	3,282,971	3,325,000	3,311,747	3,411,747	3,511,747
Workstations available for public use in library facilities	20	20	20	20	20

Program Summary

STUDENT SERVICES

Melinda Gebel, Director
Phone: (480) 965-2318
A.R.S. § 15-1601

Mission:

To foster the academic, social, emotional, and physical growth of learners by creating an inclusive holistic learning environment that offers services and opportunities for students to maximize their learning experience and become well-rounded productive citizens.

Description:

Student Services includes functions and other activities with the primary purpose of contributing to students' emotional and physical well-being and intellectual, cultural and social development outside the context of the formal instruction program. These other activities include cultural events, student newspapers, intramural athletics, student organizations, nonacademic counseling and career guidance, student health services, and the administration at the senior vice presidential level.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	48,295.5	50,962.3	50,962.3
Other Non Appropriated Funds	499,054.9	513,504.2	601,810.7
Total Funding	**547,350.4**	**564,466.5**	**652,773.0**
FTE Positions	**1,775.5**	**1,786.2**	**1,786.2**

◆ **Goal** 1 To promote the emotional and physical well-being of students by providing quality health care services.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Students receiving health care on campus	66,245	69,557	64,040	67,242	70,604
Disabled students served	4,535	4,762	5,636	5,918	6,214

◆ **Goal** 2 To enhance the quality of students' educational experience by providing programs and services which promote involvement in university activities and enhance opportunities for future employment.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Registered campus clubs and organizations	1,053	1,069	1,092	1,105	1,120
Student and alumni participation in advising services, workshops, career events, job fairs, mentoring, on-campus interviews, Handshake career management platform engagement and professional development events offered by Career Services.	132,356	136,327	405,034	417,175	429,701
Unique number of individual organizations recruiting on campus and virtually	12,776	13,149	10,069	10,371	10,682
Jobs and internships approved and posted in Handshake	29,840	31,337	56,952	61,118	64,174
Percent of graduating seniors who are satisfied with speakers, cultural offerings, and events on campus	92	92	91	92	92

◆ **Goal** 3 To provide services that enhance the likelihood of students' academic success

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Students participating in orientation	11,758	12,052	13,017	13,407	13,809
Students living in first-year residential communities	7,733	8,715	9,153	10,200	10,800
Students receiving financial assistance in an academic year	101,400	106,470	109,596	115,076	120,830
Dollar volume for all financial assistance programs (dollars in thousands)	1,576,671	1,655,505	1,678,520	1,762,446	1,850,568

◆ **Goal** 4 To provide opportunities for men and women by developing and sustaining programs which help student athletes achieve success, both academically and athletically.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average GPA of student athletes (4.0 highest)	3.16	3.18	3.21	3.23	3.24
Percent of student athletes graduating in six years based on NCAA Graduation Success Rate	87	88	88	88	89

Program Summary

INSTITUTIONAL SUPPORT

Melinda Gebel, Director
Phone: (480) 965-2318
A.R.S. § 15-1601

Mission:

To provide timely, efficient, and effective support for the university's mission of instruction, research, and public service goals through executive management, administrative information and services, adequate and well maintained facilities, and strong partnerships with alumni, community leaders, and State decision makers.

Description:

Institutional Support includes central executive level activities concerned with management and long-range planning for the entire university and the operation and maintenance of the physical plant. Administrative activities include planning and programming, legal services, fiscal operations, administrative data processing, space management, employee personnel and records, purchasing, stores, safety, security, printing, transportation services, community and alumni relations, and development and fundraising.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	198,618.2	174,903.6	174,903.6
Other Non Appropriated Funds	928,913.5	1,111,347.0	1,111,347.0
Total Funding	**1,127,531.7**	**1,286,250.6**	**1,286,250.6**
FTE Positions	**1,319.5**	**1,556.6**	**1,556.6**

◆ **Goal** 1 To provide efficient and comprehensive human resources programs and services to the university community in areas such as employment, training, employee relations, and other human resource activities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of employees trained through targeted institutional programs	3,357	3,600	3,731	4,000	4,200
Administration as a percentage of total cost	2.28	2.05	2.00	2.04	1.94
Job applications processed	45,981	50,000	50,614	56,000	62,000
Positions filled	2,616	2,850	2,989	3,300	3,600
Percent of agency staff turnover (classified staff only)	13.4	13.0	10.1	9.6	9.1

◆ **Goal** 2 To provide customer-focused, high quality facilities and services to enhance a safe and secure environment in support of the University's mission.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Maintenance work order staff-hours on buildings/tunnels/structures	1,179,072	1,238,026	1,259,072	1,322,026	1,388,127
Number of faculty, staff, and students participating in fire and safety training classes	16,791	18,450	18,337	19,800	21,400
Annual Parking Permit Sales to students and staff	27,000	27,500	30,040	31,000	31,000
Community-based police assignments and contacts	2,917	2,997	2,634	2,687	2,741
Crime reports	1,719	1,775	3,097	3,159	3,222
Calls for Service	18,480	18,905	17,638	17,903	18,172

◆ **Goal** 3 To maintain support for all telecommunications systems throughout the University.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Centrally supported Ethernet connections	144,000	152,000	180,000	243,000	328,050
Internet bandwidth available (in Gigabits)	40	40	40	54	73
Wireless hours (in millions)	89	105	110	149	200

Program Summary

CAPITAL INFRASTRUCTURE

Melinda Gebel, Director
Phone: (480) 965-2318
A.R.S. § 15-1601

Mission:

Description:

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**0.0**	**0.0**	**0.0**
FTE Positions	**0.0**	**0.0**	**0.0**

Agency Summary

NORTHERN ARIZONA UNIVERSITY

Dr. Rita Cheng, President
Phone: (928) 523-3232
A.R.S. §§ 15-1601 et seq.

Mission:

To lead the way to a better Arizona and a sustainable world through personalized attention to student success and scholarly excellence.

Description:

Founded in 1899, Northern Arizona University (NAU) is a vibrant university committed to teaching as learning, research as innovation, and service as shared leadership.

With an estimated enrollment in fall 2019 of approximately 31,000 students, NAU reaches out to students regionally with statewide campuses and opportunities for distance learning. From its inception, NAU has implemented innovative and accountable teaching practices, including the effective use of technology

Accredited by the Higher Learning Commission, the university embraces diversity and promotes inclusion across the university community as a means to prepare graduates to contribute to the social, economic, and environmental needs of a culturally rich society. It inspires students to become active citizens, leaders, visionaries, and problem solvers with an understanding of global issues. The reaffirmation of the university's accreditation occurred in 2017-2018, and the university celebrated its successful reaccreditation extension through 2027-2028.

In addition to integrating sustainability themes across curriculum, NAU's 683-acre campus models sustainable operations through multi-modal transportation, environmentally responsible waste disposal, energy-efficient green construction, and sustainability in food procurement. In March 2017, the University maintained a gold rating from the Sustainability, Tracking, Assessment and Rating System (STARS) of the Association for the Advancement of Sustainability in Higher Education, a rating initially achieved in 2014.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ INSTRUCTION	190,351.6	179,896.3	193,058.3
➢ ORGANIZED RESEARCH	56,542.1	57,573.9	58,768.9
➢ PUBLIC SERVICE	35,670.0	36,251.3	36,683.6
➢ ACADEMIC SUPPORT	32,810.0	35,261.8	38,441.2
➢ STUDENT SERVICES	158,642.0	183,842.0	185,443.7
➢ INSTITUTIONAL SUPPORT	125,096.8	137,999.2	129,774.6
➢ AUXILARY PROGRAM	101,479.4	114,454.2	110,281.2
➢ CAPITAL INFRASTRUCTURE	9,041.8	9,222.6	9,314.8
Agency Total:	**709,633.7**	**754,501.3**	**761,766.3**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	112,095.7	117,250.9	127,250.9
Other Appropriated Funds	160,958.9	156,154.5	156,154.5
Other Non Appropriated Funds	436,579.1	481,095.9	478,360.9
Total Funding	**709,633.7**	**754,501.3**	**761,766.3**
FTE Positions	**3,958.2**	**4,180.1**	**4,259.9**

5 Year Plan

Issue 1 Education Excellence

Description The core of the university mission is to provide outstanding education through high-engagement, high-impact instruction that provides the foundation for transformational student opportunities. Northern Arizona University serves a wide range of students reflecting the population of Arizona. With a high research activity residential campus, statewide campuses and online programs, NAU offers a variety of delivery models and tuition levels to meet student needs.

Solutions:

-Improve retention and student success and persistence to graduation through impactful practices and data driven analysis in alignment with ABOR Enterprise 2025 Metrics
-Invest in distinctive, high demand programs in healthcare fields, STEM and education
-Leverage technology to promote student success, degree quality and cost containment
-Serve and graduate an increasing number of Arizona students
-Offer and cultivate student use of effective academic resources, student services and co-curricular activities

Issue 2 Access

Description To help drive towards Arizona's educational attainment goals, students with competing priorities, or who are time-or-place-bound, find access to high quality degrees and credentials through NAU's partnerships with community colleges, including NAU Yuma and NAU Yavapai, as well as online programs.

Solutions:

-Expand transfer student pipeline through renewed relationships with community colleges, tribal colleges and universities, and streamlined university processes that support attainment of ABOR Enterprise 2025 Metrics
-Build out Personalized Learning, competency based education, with additional degree programs
-Maintain distributed learning options for baccalaureate degrees
-Leverage and optimize merit and need based financial aid
-Provide services that resonate with students' background and experiences
-Increase number of certificate and credential offerings

Issue 3 Research Capabilities

Description The university's research, funded mostly through federal and state grants and contracts, is nationally recognized in targeted areas of excellence. Both research and public service activities have deep regional roots and global impact ranging in areas from astronomy and health sciences to land management and environmental sciences. The university will build on these areas while developing additional strategic strengths in emerging technologies and big data, bioengineering, informatics and cybersystems.

Solutions:

-Increase research and scholarly activity in alignment with ABOR Enterprise 2025 Metrics
-Cultivate interdisciplinary collaboration among principal investigators
-Increase number of research-active faculty and post-doctoral scholars
-Incentivize participation in technology transfer and increase technology marketing efforts
-Foster biomedical research partnerships
-Support research centers and institutes focusing on regionally-relevant public service
-Provide sufficient research infrastructure
-Improve salary and benefits for research and teaching assistants
-Enhance opportunities for undergraduate research

Issue 4 Financial Stability

Description With a relatively young Foundation and lower overall endowment levels, the university is primarily dependent on tuition revenue and state funding to serve Arizona's higher education and workforce needs. With increasing enrollments and lower state funding to support each student, the university must carefully manage its resources to support the pursuit of the 2025 Enterprise metric targets.

Solutions:

-Promote a stable state investment funding strategy that will advance Arizona competitiveness in the new economy
-Balance tuition rates, financial aid and enrollment strategies in conjunction with the state investment model
-Develop and maintain an agile and efficient organizational structure with focus on continuous improvement
-Address priorities for capital projects and aging infrastructure through Arizona university infrastructure bonding initiative and annual allocations for deferred maintenance, while leveraging 3rd party partnerships
-Optimize revenue streams through grants and contracts, philanthropy and auxiliary services revenue
-Recruit, develop and retain a diverse, high quality, and motivated workforce
-Increase the percentage of engaged alumni

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	100.0	115.0	130.0
General Fund	10,000.0	12,500.0	15,000.0
Other Appropriated Funds	4,000.0	5,000.0	6,000.0
Non-Appropriated Funds	2,000.0	3,000.0	4,000.0
Federal Funds	4,000.0	4,500.0	5,000.0

Program Summary

INSTRUCTION

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To increase the educational attainment of Arizona citizens by producing enough high-quality university degrees for the state to be nationally competitive by the year 2025.

Description:

Northern Arizona University, a public, high research activity university, serves over 22,000 (fall 2019, preliminary) students at its main campus in Flagstaff and at more than 21 sites across the state and online.

With its solid reputation as a university with all the features of a large institution, but with a personalized touch, NAU carefully balances teaching, scholarship and service with a faculty and staff dedicated to each student's success.

NAU combines outstanding undergraduate education with a wide range of graduate programs and research opportunities that are offered that extend to such national concerns as forest health and bioterrorism. NAU has carefully integrated on-campus education with educational opportunities online and at campuses and sites throughout Arizona, forming seamless avenues for students to earn degrees.

This Program Contains the following Subprograms:

- Flagstaff and Statewide Instruction
- Yuma Instruction

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	92,423.1	91,525.6	104,723.6
Other Appropriated Funds	44,289.9	39,162.2	39,162.2
Other Non Appropriated Funds	53,638.6	49,208.5	49,172.5
Total Funding	**190,351.6**	**179,896.3**	**193,058.3**
FTE Positions	**1,618.5**	**1,709.9**	**1,763.3**

Subprogram Summary

FLAGSTAFF AND STATEWIDE INSTRUCTION

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To increase the educational attainment of Arizona citizens by producing enough high-quality university degrees for the state to be nationally competitive by the year 2025.

Description:

Improving student learning environment and college experience, focusing on student success, involving students in research opportunities, and promoting interdisciplinary pedagogy are key initiatives supporting the university's strategic goal of being a learning-centered university. Additionally, enhancing technology-enabled learning environment, accelerating graduation time, and providing new access initiatives are important toward achieving student access, learning, persistence, and affordability.

NAU was among only five universities across the nation designated in the 2018 Class of Excellence in Assessment. This national program recognizes universities conducting a comprehensive assessment of student learning outcomes as a means to drive internal improvement and advance student success. Designated institutions have successfully integrated assessment practices across campus, provided evidence of student learning, and used assessment results to guide institutional decision-making and improve student performance.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	89,904.0	89,054.0	102,252.0
Other Appropriated Funds	44,289.9	39,162.2	39,162.2
Other Non Appropriated Funds	53,638.6	49,208.5	49,172.5
Total Funding	**187,832.5**	**177,424.7**	**190,586.7**
FTE Positions	**1,599.6**	**1,691.0**	**1,744.4**

◆ **Goal** 1 To provide access to educational opportunities for undergraduate and graduate students.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of students enrolling in study abroad programs	2	2	2	3	3
Increase the number of historically underrepresented ethnic minority students	12,163	12,771	12,431	12,742	13,099
Increase the number of international students	1,476	1,491	1,526	1,572	1,619
Increase the number of Native American students	1,812	1,830	1,807	1,816	1,825
Bachelor degrees granted to statewide students, (includes community campuses and online only).	1,855	1,911	1,749	1,801	1,856
Total degrees and certificates granted (includes all campuses).	7,763	7,996	7,918	8,156	8,400
Percentage of full-time, undergraduate students enrolled per semester in three or more primary courses with ranked faculty	84	84	86	87	88
Number of Bachelor degrees granted	5,733	5,905	5,829	6,004	6,184
Percent of graduating seniors who rate their overall university experience as good or excellent	91	92	89	90	91
Average number of years taken to graduate for students who began as first-time, full-time freshmen.	4.4	4.4	4.4	4.4	4.4
Graduate degrees awarded at the master's level	1,174	1,197	1,231	1,268	1,306
Graduate degrees awarded at the doctoral level	86	90	110	116	121
Doctorate degrees awarded in the DPT category.	88	91	84	87	89
Graduate degrees granted (Statewide and Online only)	839	847	893	902	911
Doctorate degrees awarded in professional practice fields	116	119	126	130	134
Freshman retention rate (percentage) (all campuses)	75.8	74.0	73.5	77.2	78.0
Explanation: ABOR Metric; as of January 2019					
Six-year graduation rate (percentage) (all campuses)	55.3	52.4	52.4	52.9	54.0
Explanation: ABOR Metric; as of January 2019					
Research doctoral degrees awarded	58	61	68	71	75
Explanation: As of 8/27/2019					
Number of degrees awarded in high demand fields (all campuses)	0	0	3,931	4,046	4,146
Explanation: ABOR Metric; as of January 2019					
Education and related expenses per degree awarded (all campuses)	0	0	49,312	50,306	51,480
Explanation: ABOR Metric; as of January 2019					

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Arizona community college transfers with bahelor's degree (all campuses)	0	0	2,175	2,235	2,280

Explanation: ABOR Metric; as of January 2019

Subprogram Summary

YUMA INSTRUCTION

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To serve the higher educational learning needs of Yuma and the lower Colorado River Region.

Description:

NAU-Yuma offers a variety of degrees and programs. Areas of study include biological and natural resource sciences, business and administration, education, human relations, justice studies, logistics and supply chain management, nursing, psychology, social work, sociology, Spanish, and technology management. Select NAU-Yuma degrees and programs are also available online and at NAU statewide sites.

NAU-Yuma was designated as a regional branch campus of Northern Arizona University in 2006 and as a Hispanic Serving Institution (HSI) by the U. S. Department of Education in 2007. The campus provides NAU faculty with opportunities for research areas such as trans-border studies, economic development, public safety and health, multicultural education, and environmental sustainability as well as opportunities to work with faculty and staff in educational institutions aross the border in Mexico. With a Hispanic population of 31% in Arizona, this ties to our effort to meet the goal of increasing the number of Arizona residents with a bachelor's degree.

Co-located on the beautiful campus with Arizona Western College, NAU-Yuma is a student-oriented educational community, offering schedules designed for working students, smaller classes and individualized academic advising. NAU-Yuma has a free Writing Center available to students, and services include: consultation on writing issues, classroom visits, writing workshops, writing materials, and online resources.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,519.1	2,471.6	2,471.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**2,519.1**	**2,471.6**	**2,471.6**
FTE Positions	**18.9**	**18.9**	**18.9**

◆ **Goal** 1 To provide access to higher education learning experiences for Yuma Arizona students.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Arizona residents enrolled in undergraduate programs	526	531	514	519	524
Bachelor degrees/certificates granted to Yuma students	185	189	174	177	181
Explanation: as of 8/27/2019					
Undergraduate degree programs offered, per ABOR Academic Program Inventory	14	14	14	13	13
Graduate degree programs offered, per ABOR Academic Program Inventory	5	5	5	6	6
Percent of students graduating (6-year for first time, freshmen)	33	50	50	50	71
Explanation: Cohorts are very small, so graduation rates can fluctuate substantially. 3 students in FY12 cohort. as of 8/27/2019					
Percent of students graduating (5 year rate for lower-division, full-time transfer students)	68	69	63	79	80
Explanation: as of 8/27/2019					
Percent of students graduating (4 year rate for upper division, full-time transfer students)	76	78	74	84	85
Explanation: as of 8/27/2019					
Graduate degrees granted at NAU-Yuma	13	14	7	8	9
Explanation: As of 8/27/2019					

◆ **Goal** 2 To provide a rich learning environment with exposure to diverse populations and cultures for all Yuma students.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent Hispanic graduate students enrolled at the Yuma campus	51	52	61	62	63
Hispanic student degrees/certificates awarded at Yuma	159	162	144	147	150
Explanation: as of 8/27/2019					
Percent of Hispanic undergraduate students at the Yuma campus	76	77	74	75	76

Program Summary

ORGANIZED RESEARCH

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To foster opportunities for research, scholarship, and creative activity, and increase the prominence of the university's research enterprise so that it can contribute to the knowledge economy and improve the quality of life in Arizona.

Description:

Faculty, students, and staff at Northern Arizona University are actively engaged in their disciplines and in scholarly work, and NAU is known and recognized as a major research university producing basic and applied knowledge addressing complex challenges facing Arizona, the nation and the world. NAU graduates understand the nature of research, investigation, and original work and are prepared to contribute such work to their communities and employers.

This Program Contains the following Subprograms:

- Flagstaff and Statewide Organized Research
- Yuma Organized Research

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,000.0	3,000.0	3,000.0
Other Appropriated Funds	6,054.5	4,736.0	4,736.0
Other Non Appropriated Funds	47,487.6	49,837.9	51,032.9
Total Funding	**56,542.1**	**57,573.9**	**58,768.9**
FTE Positions	**382.3**	**440.1**	**445.2**

Subprogram Summary

FLAGSTAFF AND STATEWIDE ORGANIZED RESEARCH

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To advance knowledge and economic development through integrated, intentional research and scholarship on the Flagstaff campus and throughout Arizona communities.

Description:

Northern Arizona University's research and creative activities result in new knowledge and innovation that:

-strengthens the outstanding education provided by the university;
-fosters the continued learning of faculty, staff and students;
-and benefits the environmental, economic, and cultural vitality of our region and society.

Research and graduate education at NAU are tightly linked. NAU offers over 70 master's and doctoral degree and certificate programs that provide students outstanding opportunities to work with, and be mentored by, top scholars in the disciplines. NAU offers strong master's degree programming with a clear professional and applied focus and outstanding doctoral progams in NAU's foundational research strengths: environmental sciences, forest restoration, biological sciences, appplied linguistics, and Native American programs. NAU has also grown important new research areas that connect and expand strengths in informatics, health equity research, and astronomy and planetary sciences, mechanical engineering, bioengineering and material science. Graduate programs have been established in all of these areas, where world class research teams are shaping these critical disciplines.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,000.0	3,000.0	3,000.0
Other Appropriated Funds	6,054.5	4,736.0	4,736.0
Other Non Appropriated Funds	47,487.6	49,837.0	51,032.0
Total Funding	**56,542.1**	**57,573.0**	**58,768.0**
FTE Positions	**382.3**	**440.1**	**445.2**

◆ **Goal** 1 To offer graduate programs contributing to research and innovation in Arizona

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Graduate students enrolled in Flagstaff Master's level programs	1,230	1,242	1,306	1,332	1,359
Graduate students enrolled in Flagstaff Doctoral level programs	434	447	486	501	516
Graduate degrees granted to Flagstaff students (masters and doctorates)	509	514	532	537	543
Explanation: as of 8/27/2019					
Value of total research expenditures	53 Million	56 Million	58 Million	62 Million	66 Million
Explanation: ABOR Metric					
Number of invention disclosures	50	31	50	50	50
Explanation: ABOR Metric					

◆ **Goal** 2 To offer graduate programs which meet needs for graduate level instruction, such as teacher education or advanced professional training.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Graduate students enrolled in statewide Master's level programs (includes community campuses and online only)	2,648	2,674	2,740	2,767	2,795
Graduate students enrolled in statewide Doctoral level programs (includes community campuses and online only)	457	471	486	501	516

Subprogram Summary

YUMA ORGANIZED RESEARCH

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To advance knowledge through integrated, intentional research and scholarship at NAU-Yuma.

Description:

NAU-Yuma, a branch campus, is committed to developing resources related to its mission to provide baccalaureate and graduate programming for Yuma students and to growing knowledge that contributes to the growth and development of Yuma students and the southwestern Arizona economy and quality of life.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.9	0.9
Total Funding	**0.0**	**0.9**	**0.9**
FTE Positions	**0.0**	**0.0**	**0.0**

◆ **Goal** 1 To offer graduate programs which meet needs for graduate level instruction, and expand integrated, intentional research and scholarship.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Yuma Graduate students enrolled in Master's level programs.	46	48	30	32	33

Program Summary

PUBLIC SERVICE

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To elevate the environmental, economic, social, and cultural vitality of our communities through collaborative stewardship of place.

Description:

Northern Arizona University engages in a significant level of applied research and public service focused on the peoples and areas served in Arizona. Examples of public service programs include the Arizona K-12 Center, KNAU-FM radio, the Institute for Human Development, the Civic Service Institute, the Institute for Tribal Environmental Professionals, the Art Museum and other programs benefiting Arizona.

This Program Contains the following Subprograms:

- Flagstaff and Statewide Public Service
- Yuma Public Service

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,791.7	3,026.2	3,026.2
Other Appropriated Funds	2,963.5	2,686.2	2,686.2
Other Non Appropriated Funds	29,914.8	30,538.9	30,971.2
Total Funding	**35,670.0**	**36,251.3**	**36,683.6**
FTE Positions	**180.3**	**184.7**	**186.2**

Subprogram Summary

FLAGSTAFF AND STATEWIDE PUBLIC SERVICE

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To support innovation, volunteerism, and engagement in our communities and to use the university's abundant artistic and civic service resources to enhance our engagement with the community and the world.

Description:

Northern Arizona University promotes scholarship that increases engagement with local communities and addresses key global challenges and partners with individuals, institutions, and communities to advance sustainable practices. Northern Arizona University also serves as the cultural center for northern Arizona by providing public access to theatrical, musical, and artistic events through its public radio station KNAU with two distinct program streams broadcasting to all of northern Arizona via 13 transmitters.

The Civic Service Institute (CSI) enhances the quality of life in Arizona and the Southwest Region by engaging volunteers who contribute by serving others with needs and by helping non-profit organizations meet critical community needs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,791.7	3,026.2	3,026.2
Other Appropriated Funds	2,963.5	2,686.2	2,686.2
Other Non Appropriated Funds	29,914.8	30,538.9	30,971.2
Total Funding	**35,670.0**	**36,251.3**	**36,683.6**
FTE Positions	**180.3**	**184.7**	**186.2**

◆ **Goal** 1 To increase the cultural vitality of Arizona and the Southwest region.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Theater, Art Shows and various season performances	40	42	65	67	69
Music concerts and film series scheduled	105	86	103	105	107
Value of expenditures related to service and engagement activities (in thousands)	34,500	32,750	34,900	32,250	32,800

Explanation: ABOR Metric; as of September 2019

◆ **Goal** 2 To enhance the quality of life in Arizona and the Southwest region.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total Civic Service Institute Volunteer Hours Inspiring people of all ages throughout Arizona to volunteer and connect them with service opportunities to make positive impacts in our communities.	321,412	397,600	286,172	300,000	300,000
Explanation: Staff turnover and vacancies impacted FY 2019 actuals. Senior Corps Programs being impacted by increasing number of volunteers with reduced minimum hours of service per week.					
Collaborating Agencies under the Civic Service Institute To strengthen public and private community agencies throughout Arizona by increasing volunteer capacity in the following focus areas: disaster services, economic opportunity, education, environmental stewardship, healthy futures, and veterans and military families.	212	265	234	250	250
Explanation: Staff turnover and vacancies impacted FY 2019 actuals. Senior Corps Programs being impacted by increasing number of volunteers with reduced minimum hours of service per week.					
Number of participating volunteers Inspiring people to volunteer for positive change.	1,147	1,471	1,581	1,600	1,600
Explanation: Staff turnover and vacancies impacted FY 2019 actuals. Senior Corps Programs being impacted by increasing number of volunteers with reduced minimum hours of service per week.					
Number of individuals benefited by CSI services To make a difference in the lives of others by mobilizing volunteers to assist individuals via community agencies throughout Arizona.	48,102	54,550	29,255	40,000	40,000
Explanation: Staff turnover and vacancies impacted FY 2019 actuals. Senior Corps Programs being impacted by increasing number of volunteers with reduced minimum hours of service per week.					

Subprogram Summary

YUMA PUBLIC SERVICE

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To develop structures and practices that promote ties between NAU-Yuma and local business, industry, and cultural connections.

Description:

NAU-Yuma is highly engaged in the community. The campus is continually developing undergraduate research projects that address issues relative to the region, as well as internships and service learning opportunities with local companies and agencies. NAU-Yuma works in collaboration with other institutions of higher education and the community to ensure that workforce and civic educational needs of the community are met.

NAU is a sponsor of the One Book Yuma program, a community effort that began in November 2006. The One Book Yuma program chose "Where Have All the Sheep Gone? Sheep Herders and Ranchers in Arizona - A Disappearing Inudstry" by Dr. Barbara Jaquay for 2018-2019.

◆ **Goal** 1 To increase the workforce development with local business and NAU-Yuma.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Arizona Town Hall Meetings held in Yuma	2	2	3	3	3
Number of Arizona Western College transfer students who attend NAU	216	220	234	239	243

Program Summary

ACADEMIC SUPPORT

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To support quality student learning and to foster excellence in educational practices that promote persistence to graduation.

Description:

The primary goals of academic support services are to ensure a commitment to student success and high expectations for student learning by all faculty, staff, and students. Academic support services support instruction through functions such as:

(1) effective instructional design and pedagogy;
(2) coordinating, assessing, and supporting academic programs to ensure close articulation of the offerings from various colleges and departments to ensure students fulfill general education and program learning expectations;
(3) providing access to scholarly materials and other learning tools developed by the library; and
(4) providing for technology enhanced learning.

NAU has several grant-funded initiatives in place to enhance academic support services for students.

In 2015, NAU was awarded the Integrated Planning and Advising Services (iPASS) grant funded by Educause/Gates Foundation. As a result, NAU transformed student advising and mentoring via unification of student information streams into a single system that informs and coordinates faculty and staff interactions with students.

Historically, NAU has had several independent student information systems including academic advising notes, student affairs records, faculty alerts, a curriculum planner and student risk scores. The university implemented Salesforce, a customer relations management software, to host all of this information in a single system. The transformational aims of this project will be reinforced by project leadership, modeling a team approach to student support.

Additionally, this student success initiative facilitated the developent of an improved "early alert" faculty-to-student communication system and supported the adoption of predictive tools for student support units.

Further, in 2016, NAU was awarded two additional grants to focus on: 1) continual improvements to the new approach to advising and degree planning, along with new technologies and 2) implementing adaptive courseware in targeted courses to eliminate achievement gaps. These grants are sponsored by leading national higher education organizations, specifically the American Association of State Colleges and Universities and the Association of Public and Land-Grant Universities, respectively.

Finally, beginning in 2017, the university is participating in grant-funded efforts sponsored by the American Association of State Colleges and Universities to integrate and extend existing student success initiatives and to build a case study and model of success for other institutions throughout the nation.

This Program Contains the following Subprograms:

- Flagstaff and Statewide Academic Support
- Yuma Academic Support

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	360.0	390.6	3,842.6
Other Appropriated Funds	29,165.7	31,671.1	31,671.1
Other Non Appropriated Funds	3,284.3	3,200.1	2,927.5
Total Funding	**32,810.0**	**35,261.8**	**38,441.2**
FTE Positions	**390.4**	**402.6**	**413.6**

Subprogram Summary

FLAGSTAFF AND STATEWIDE ACADEMIC SUPPORT

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To offer exemplary academic support services to the Flagstaff campus and statewide communities.

Description:

In order to respond effectively to the expected growth in the number of both traditional and nontraditional prospective Arizona students, Northern Arizona University is committed to providing support for Flagstaff students and students throughout the state.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.5	0.0	3,452.0
Other Appropriated Funds	29,165.7	31,671.1	31,671.1
Other Non Appropriated Funds	3,284.3	3,200.1	2,927.5
Total Funding	**32,450.5**	**34,871.2**	**38,050.6**
FTE Positions	**386.4**	**398.6**	**409.6**

◆ **Goal** 1 To provide a physical and online environment that supports student and faculty learning, teaching and research.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of users in the library	500,391	525,410	525,650	551,933	579,529
Number of electronic journal titles available	106,974	109,700	152,078	155,879	159,776
Explanation: New library systems platform provides increased title level access					
Number of items provided for NAU students, faculty and staff via Document Delivery Services	31,590	33,957	25,229	26,742	28,346
Explanation: New Primo discovery layer supports easier search for and access to full text resources (old note)					
Number of research consultations completed by library staff	613	650	689	730	786
Number of laptop check outs by students	27,497	28,871	17,269	16,406	15,586
Explanation: Circulation policy change allows a longer checkout period as well as renewals					
Number of digital items available to end users in the Colorado Plateau Archives	124,800	128,544	114,842	121,835	125,490
Questions answered by Cline Library staff	4,057	3,681	5,978	6,534	7,142
Electronic books supplied by Cline Library	312,223	330,840	233,285	236,682	250,882
Explanation: Latest actual reflects data cleanup with system migration, eliminating duplicate and incorrect holding records					
Study room and studio uses	35,701	37,486	32,817	34,457	36,180
Explanation: Policy change eliminated the requirement for students to reserve study rooms; rooms are frequently used without being tracked					
Cline Library hours open per week	116.5	116.5	150	150	150

Subprogram Summary

YUMA ACADEMIC SUPPORT

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To provide leadership in the development, use, and assessment of technologies in administrative systems and educational programs.

Description:

NAU – Yuma maintains partnerships with Arizona Western College (Yuma and La Paz Counties) and Imperial Valley College (Imperial County) to provide students an innovative, direct pathways to complete four-year programs. Under the Good Neighbor Policy of the Arizona Board of Regents, students may be eligible for the resident tuition rate for a maximum of 6 credit hours if they live within seventy-five miles of the Arizona border in certain counties in California, Nevada, Utah, and New Mexico; and if they are enrolled in courses offered at an approved NAU statewide location in certain Arizona counties.

In 2011, the Accreditation Council for Business Schools and Programs Baccalaureate/Graduate Degree board of commissioners awarded the Yuma Branch Campus of Northern Arizona accreditation of its Bachelor of Business Administration (BBA) program.

The accreditation certifies that the teaching and learning processes within the business program meet the rigorous educational standards established by the council.

Funding:	**FY 2019 Actual**	**FY 2020 Estimate**	**FY 2021 Estimate**
General Funds	359.5	390.6	390.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**359.5**	**390.6**	**390.6**
FTE Positions	**4.0**	**4.0**	**4.0**

◆ **Goal** 1 To improve statewide access to network services, general computing resources, and instructional technology for NAU YUMA faculty and students.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Academic Complex Computer Lab Workstations The Academic Complex Computer Lab is the central, open-access computer lab on the Arizona Western College and NAU-Yuma Branch Campus. It is located in the NAU-Yuma Academic Complex building. There are 125+ computer workstations, the majority of which run Microsoft Windows. Macintosh computers are also available. The computer lab is available to all NAU and AWC students and is open more than 80 hours a week during the Fall and Spring semesters.	130	129	129	129	129
NAU-YUMA and AWC academic libraries As an NAU-Yuma student, you have access to two libraries for research resources and services. The AWC/NAU-Yuma Academic Library offers numerous class resources, as well as personal assistance from the NAU-Yuma Librarian. The NAU Cline Library also provides NAU-Yuma students with electronic research resources.	2	2	2	2	2
Amount raised from the Yuma Chapter of the NAU Alumni Association for Scholarships	41,822	17,000	23,215	25,000	20,000

Program Summary

STUDENT SERVICES

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To create a culture of inclusion that contributes to a rich learning experience and helps prepare students for an engaged social responsiveness in a global environment.

Description:

A variety of innovative programs are attractive to students and help them persist to receiving their degrees at NAU. Student services are primarily provided by the division of Enrollment Management and Student Affairs (EMSA) which includes the following campus service programs and activities: Student Affairs, Housing and Residence Life, Campus Health Services, EMSA Communications, EMSA Analytics and Assessment, Undergraduate Admissions and Orientation, Scholarships and Financial Aid, Campus Recreation, and Campus Services and Activities.

The following student service programs are aimed at improving student success: Academic Success Centers, First Generation Programs and Initiatives such as First Scholars, Peer Jacks Mentoring, Native American Student Services, Inclusion: Multicultural and LGBTQA Student Services, Veteran and Military Services, Transfer and Commuter Connections, and Enrollment and Student Services among others.

This Program Contains the following Subprograms:

- Flagstaff and Statewide Student Services
- Yuma Student Services

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,518.8	1,535.2	1,535.2
Other Appropriated Funds	21,918.0	21,729.6	21,729.6
Other Non Appropriated Funds	135,205.2	160,577.2	162,178.9
Total Funding	**158,642.0**	**183,842.0**	**185,443.7**
FTE Positions	**482.9**	**494.2**	**496.8**

Subprogram Summary

FLAGSTAFF AND STATEWIDE STUDENT SERVICES

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To recruit and retain students and provide services leading to student success and higher persistence to degree.

Description:

A variety of innovative programs have been designed to attract students and help them persist to degree at NAU. Housing and Residence Life collaborated to streamline business processes by combining housing and dining contracts. Univesity Admissions and Orientation provides orientation sessions for new students and, for prospective students, hosts daily campus visits as well as represents NAU at thousands of high school events, college fairs, and open houses throughout the year. Enrollment and Student Services supports students online, at statewide sites, and on the Flagstaff campus by providing a one-stop shop for admissions, registrar, student accounts, and financial aid questions and processes. Additionally ESS's Student Success Coordinators located at statewide sites are uniquely positioned to serve 2NAU transfer students as they transition to NAU and assist statewide campus students navigate through to graduation.

Unions and Student Activities strive to offer the finest services, conveniences, and amenities for the students of NAU, while providing cultural, social, leisure and recreational opportunities as part of a well-considered plan for the campus community. In addition, several units provide valuable experiential learning opportunities and leadership development opportunities through student employment.

Career Development and Student Employment offer a wide array of online resources for students to support their career and professional development. Services also include internships and employer engagement programs.

Students studying at statewide campus sites or online have access to a broad array of student services, such as online orientation, access to Cline Library, tutoring and study skills, tools for exploring degree programs, tracking degree progress, and planning a career in addition to one-on-one support from professional staff on site or remotely to meet a variety of other student needs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,326.0	1,326.0	1,326.0
Other Appropriated Funds	21,918.0	21,729.6	21,729.6
Other Non Appropriated Funds	135,205.2	160,577.2	162,178.9
Total Funding	**158,449.2**	**183,632.8**	**185,234.5**
FTE Positions	**479.9**	**491.2**	**493.8**

◆ **Goal** 1 To assist Flagstaff students in cultural, physical, and social development/wellness by providing services, activities, and events.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Students use/participation: Counseling Services visits	6,301	6,500	6,888	7,700	7,777
Inclusion and Multicultural Services (IMS) and Native American Student Services (NASS) participants	2,072	2,398	2,542	2,567	2,643
Total unique count of student participation in Student Affairs mentoring programs (including but not limited to SSS, TEAM, Peer Jacks, NASS Scholars)	37,426	40,529	45,553	46,008	47,375
Explanation: Reflects comprehensive participation data					
Number of Student Life registered organizations	403	415	386	400	405

◆ **Goal** 2 To support Flagstaff student learning by providing financial support services to qualified students within the specific limitations of the financial aid system.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Students receiving financial aid by categories: Scholarships	12,164	13,078	14,095	14,100	14,100
Students receiving financial aid by categories: Waivers	757	760	675	704	686
Students receiving financial aid by categories: Grants	8,881	9,021	8,996	9,287	9,566
Students receiving financial aid by categories: Employment	4,466	4,475	4,412	4,500	4,500
Students receiving financial aid by categories: Loans	10,349	10,310	9,971	10,311	10,358

◆ **Goal** 3 To support Statewide student learning by providing financial support services to qualified students within the specific limitations of the financial aid system.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Students receiving financial aid by categories: Scholarships	888	950	1,117	1,146	1,255
Students receiving financial aid by categories: Waivers	156	157	147	151	150
Students receiving financial aid by categories: Grants	3,234	3,295	2,960	3,245	3,282
Students receiving financial aid by categories: Employment	51	50	73	67	71
Students receiving financial aid by categories: Loans	3,285	3,185	3,068	3,301	3,295

Subprogram Summary

YUMA STUDENT SERVICES

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To recruit and retain students and provide services leading to student success and higher persistence to degree.

Description:

NAU-Yuma is highly student-centered and works with students to help them achieve educational and career goals. Student services staff are committed to making the learning experience accessible and successful. Recently, NAU-Yuma has approved four student clubs/organizations: Bien Hecho, NAU Yuma Branch Science Club, Social Work Student Association and the Student Nurses' Association of NAU Yuma.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	192.8	209.2	209.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**192.8**	**209.2**	**209.2**
FTE Positions	**3.0**	**3.0**	**3.0**

◆ **Goal** 1 To support NAU-Yuma student learning by providing financial support services to qualified students.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Students receiving financial aid by categories: Scholarships	149	157	266	233	253
Students receiving financial aid by categories: Waivers	6	6	8	8	8
Students receiving financial aid by categories: Grants	382	390	399	410	419
Students receiving financial aid by categories: Employment	22	23	23	24	25
Students receiving financial aid by categories: Loans	221	209	196	188	174

Program Summary

INSTITUTIONAL SUPPORT

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To continuously improve institutional effectiveness and organizational performance in support of the university's mission and strategic goals.

Description:

NAU-Yuma was designated as a regional branch campus of Northern Arizona University in 2006 and as a Hispanic Serving Institution (HSI) by the U.S. Department of Education in 2007. NAU-Yuma provides NAU faculty in Flagstaff and across the state with applied research opportunities in areas such as trans-border studies, economic development, public safety and health, multicultural education, and environmental sustainability. With a Hispanic population of 31% in Arizona, NAU-Yuma is important in our effort to meet the goal of increasing the number of Arizona residents with a bachelor degree.

This Program Contains the following Subprograms:

- Flagstaff and Statewide Institutional Support
- Yuma Institutional Support

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,481.2	13,162.0	6,512.0
Other Appropriated Funds	56,567.3	56,169.4	56,169.4
Other Non Appropriated Funds	61,048.3	68,667.8	67,093.2
Total Funding	**125,096.8**	**137,999.2**	**129,774.6**
FTE Positions	**474.4**	**498.4**	**500.1**

Subprogram Summary

FLAGSTAFF AND STATEWIDE INSTITUTIONAL SUPPORT

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To maximize faculty and staff commitment through workforce practices and services that contribute to the long-term viability of the university and to advance NAU's mission by anticipating and providing exceptional services to the Flagstaff campus and statewide communities.

Description:

Institutional Support services include the Equity and Access Office (which includes Disability Resources), Facility Services, the Comptroller's Office, Human Resources, the Budget Office and many other offices committed to ensuring the university functions effectively and efficiently.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	7,481.2	13,162.0	6,512.0
Other Appropriated Funds	56,567.3	56,169.4	56,169.4
Other Non Appropriated Funds	61,048.3	68,667.8	67,093.2
Total Funding	**125,096.8**	**137,999.2**	**129,774.6**
FTE Positions	**474.4**	**498.4**	**500.1**

◆ **Goal** 1 To enhance the safety and the learning/working environment.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
NAU numbers of: Equity and Access formal and informal complaints, consultations and ADA issue contacts Updates now include data on Disability Resources.	1,392	1,400	1,919	1,925	1,950
People trained proactively by the Office of Equity and Access, on-line and in person	9,044	9,500	11,101	11,100	11,150
People served by the Office of Employee Assistance and Wellness	8,027	7,500	7,038	8,000	8,300
Programs offered by the Office of Employee Assistance and Wellness	334	300	487	535	560
Internal audits conducted	8	10	9	8	10
Percent of agency staff turnover	17	15	18	16	15

◆ **Goal** 2 To improve the physical living, working, and learning environment.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
State appropriations for building renewal (in millions)	0	19.1	0	21.2	24.5
Operation and maintenance of plant expenditures (in millions)	33.5	34	39.9	41	42

Subprogram Summary

YUMA INSTITUTIONAL SUPPORT

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

To extend the reach of Northern Arizona University by providing educational programs, developing student services, and fostering intellectual, cultural, and scholarly activity in a collaborative manner that meets the unique needs of the diverse and growing communities of the lower Colorado River region.

Description:

NAU-Yuma is designated as a branch campus of Northern Arizona University. Institutional support functions are primarily provided by central offices on the Flagstaff campus, including Human Resources and the Comptroller's Office.

◆ **Goal** 1 To improve the physical living, working, and learning environment.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Calculated building renewal need	0	201,000	0	231,200	266,500

Program Summary

AUXILARY PROGRAM

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. §§ 15-1601 et seq.

Mission:

To promote operations of substantially self-supporting activities such as student housing, student unions, and intercollegiate athletics.

Description:

Between the two Academic Success Centers-north and south, the ASC supplies various forms of tutoring: One on One, Drop-In tutoring and Subject-Based tutoring in numerous academic areas. The ASC also offers Supplemental Instruction in various areas and Academic Success Workshops covering nine topics. In addition, the ASC offers Academic Mentoring, test taking strategies and other academic resources for students.

In August 2011, the 270,603 square foot Health and Learning Center (HLC) opened its doors to engage students in holistic learning by integrating recreation, health services, athletics, and academics into one central location.

NAU, a member of the Big Sky Conference and Western Athletic Conference (WAC) for swimming and diving, sponsors 15 NCAA Division I level athletic programs. The Northern Arizona University athletics department recorded a cumulative grade point average of 3.12 among its approximately 330 student-athletes during the 2017-2018 academic year. In addition, 136 student athletes earned Big Sky/WAC All-Academic honors achieving a minimum of 3.20 cumulative grade point average or higher.

This Program Contains the following Subprograms:

- Flagstaff and Statewide Auxiliary Program
- Yuma Auxiliary Program

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	101,479.4	114,454.2	110,281.2
Total Funding	**101,479.4**	**114,454.2**	**110,281.2**
FTE Positions	**429.4**	**450.2**	**454.7**

Subprogram Summary

FLAGSTAFF AND STATEWIDE AUXILIARY PROGRAM

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. §§ 15-1601 et seq.

Mission:

To promote operations of substantially self-supporting activities such as student housing, student unions, and intercollegiate athletics.

Description:

Auxiliary Programs includes expenses of organizational units that furnish services to students, faculty and staff, and the general public for a fee directly related to the cost of the service and are managed as essentially self-supporting activities.

Campus Services and Activities updated the duBois South Union through a major renovation project to increase the space dedicated to student services and to modernize the look and feel of this university center. The space is able to host a wide range of campus events and support academic and social initiatives throughout the year.

Campus Recreation Services strengthened partnerships with academic departments to add new programs, enhance existing programs, and increase opportunities for student participation. In addition, Campus Dining now supports a total of 28 restaurants throughout campus, including two all-you-care-to-eat establishments, a food truck, and fine dining. Food waste from these dining locations is being converted into compost for use across campus, which in turn significantly reduced materials sent to the landfill in favor of providing premier growing medium for campus gardens and turf.

NAU hosts a variety of options for both freshmen and upper division students including traditional freshman residence halls (11), upper division suites (2), upper division apartments (8), Family Housing (1), partner housing by American Campus Communities (3) and the Honors College which opened Fall 2018 in partnership with American Campus Communities.

All freshmen students are assigned housing according to their academic college. The newly constructed Honors College Living and Learning Facility opened Fall 2018 and houses 634 Honors students along with all college faculty, advisors, and other administrative staff. Each residential college is supported by college faculty, peer college ambassadors and academically related programming designed to promote persistence and connections to the faculty and the college.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	101,479.4	114,454.2	110,281.2
Total Funding	**101,479.4**	**114,454.2**	**110,281.2**
FTE Positions	**429.4**	**450.2**	**454.7**

◆ **Goal** 1 To provide an excellent residential living experience for students choosing to live on the Flagstaff Mountain Campus.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of new, first time, full-time students living in residence halls	90	90	90	90	90
Percent of new first time, full time, freshmen utilizing one of the Student Learning Centers (tutoring, SI, and academic mentoring) one or more times	59	64	50	50	50
Total number of students who were housed on campus Estimates include new Honors Living and Learning Community facility.	10,433	10,700	10,787	10,700	10,700
Total number of students utilizing the Student Learning Centers (tutoring)	9,080	9,342	9,183	9,210	9,274

◆ **Goal** 2 To provide diverse and quality recreational programs, services and events to promote health and wellness for students and community.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total use/participation: Recreation Center visits	583,346	600,000	533,570	550,000	570,000
Total use/participation: Outdoor Recreation	14,155	16,000	28,518	28,000	28,000
Total use/participation: Aquatic Center	128,576	130,000	120,049	130,000	120,000
Explanation: Excludes Tennis Center as that data are not tracked by Campus Recreation					
Students use/participation: Intramural participants	17,741	18,000	14,753	18,000	18,000
Students use/participation: Campus Health Services/Medical Services visits	78,672	79,000	61,662	42,137	42,137
Explanation: FY 2019 data reflect removal and separate reporting of health promotion; FY 2020 and FY 2021 estimates also reflect pharmacy closure					
Total use/participation: Fitness & Wellness	38,101	41,000	35,387	38,000	40,000
Student use/participation: Sport Clubs	22,440	25,000	33,258	33,000	33,000
Student use/participation in Campus Health Services/Health Promotion - In Person	0	0	-	13,000	13,000
Explanation: New performance measure					
Student use/participation in Campus Health Services/Health Promotion - Online	0	0	-	5,000	5,000
Explanation: New performance measure					

Subprogram Summary

YUMA AUXILIARY PROGRAM

Bjorn Flugstad, Planning & Institutional Research
Phone: (928) 523-4240
A.R.S. §§ 15-1601 et seq.

Mission:

To strategically partner with Arizona Western College to offer students dining, health care and other auxiliary services.

Description:

NAU-Yuma offers students auxiliary services such as dining, child care and off-campus referrals/resources for healthcare through its partner Arizona Western College. Some auxiliary services are offered through the NAU Flagstaff campus.

◆ **Goal** 1 To provide a support system for students at the Yuma Campus.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Auxiliary operations provided by Arizona Western College (AWC) includes: bookstore, dining services, childcare and transportation	Yes	Yes	Yes	Yes	Yes

Program Summary

CAPITAL INFRASTRUCTURE

Bjorn Flugstad, Vice President
Phone: (928) 523-4240
A.R.S. § 15-1601

Mission:

Description:

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	4,520.9	4,611.3	4,611.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	4,520.9	4,611.3	4,703.5
Total Funding	**9,041.8**	**9,222.6**	**9,314.8**
FTE Positions	**0.0**	**0.0**	**0.0**

Agency Summary

UNIVERSITY OF ARIZONA - MAIN CAMPUS

Dr. Robert C. Robbins, President
Phone: (520) 621-5511
A.R.S. § 15-1601

Mission:

To improve the prospects and enrich the lives of the people of Arizona and the world through education, research, creative expression, and community and business partnerships.

Description:

The University of Arizona in Tucson, including branch campuses in Sierra Vista and downtown Phoenix, is a land-grant, doctoral research university. Its research and development expenditures place it among the nation's top public universities and it is a member of the Association of American Universities. It offers a broad array of programs leading to degrees from baccalaureate through the doctorate. It has a total student body enrollment of over 42,000 full-time and part-time students. As a land-grant university, it maintains programs in production agriculture, mining, and engineering and serves the State through its cooperative extension services, technology transfer, economic development assistance, distributed education, and cultural programming. The University provides distinguished undergraduate, graduate, and professional education; excels in basic and applied research and creative achievement; and promotes the integration of these activities and outcomes into advancement of Arizona's economy.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ INSTRUCTION	279,265.9	354,846.2	354,846.2
➢ ORGANIZED RESEARCH	321,105.6	294,692.7	301,400.7
➢ PUBLIC SERVICE	13,571.9	30,387.2	30,387.2
➢ ACADEMIC SUPPORT	149,558.1	139,425.7	140,801.7
➢ STUDENT SERVICES	156,325.9	142,781.1	142,781.1
➢ INSTITUTIONAL SUPPORT	612,793.3	550,371.9	550,887.9
➢ AUXILIARY PROGRAM	289,349.8	321,815.0	321,815.0
➢ COLLEGE OF AGRICULTURE AND LIFE SCIENCES	135,979.7	144,664.9	144,664.9
➢ UNIVERSITY OF ARIZONA SOUTH	10,637.3	11,698.5	11,698.5
➢ CAPITAL INFRASTRUCTURE	11,548.7	10,762.7	10,762.7
Agency Total:	**1,980,136.2**	**2,001,445.9**	**2,010,045.9**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	209,066.9	215,808.9	224,408.9
Other Appropriated Funds	423,435.0	353,430.1	353,430.1
Other Non Appropriated Funds	1,347,634.3	1,432,206.9	1,432,206.9
Total Funding	**1,980,136.2**	**2,001,445.9**	**2,010,045.9**
FTE Positions	**12,416.5**	**12,635.7**	**12,702.7**

5 Year Plan

Issue 1 Engaging

Description Design the Arizona experience so that 100 percent of our students have the opportunity to engage in integrating and applying their
knowledge through real-world experiential learning.
Goal: Through a learning experience tailored to individual students' needs, the UA will graduate future leaders who have the skills to
apply their knowledge and solve the world's grand challenges.

Solutions:

Strategies, Actions, and Initiatives:
E1. Recruit and retain a diverse student body of undergraduate, transfer, and graduate degree-seeking students who represent the state, national and
global demographic landscape.
E1.1 Leverage merit- and need-based aid.
E2. Optimize student access and success.
E2.1 Enhance partnerships with high schools and community colleges nationally and internationally.
E2.2 Identify students early in their careers who can benefit from programmatic intervention and increase opportunities for academic recovery.
E2.3 Improve retention with greater support in advising, learning specialists, coordination, hardware, and software.
E2.4 Decrease graduate-level time to degree.
E3. Provide students with a dynamic educational experience.
E3.1 Promote actions that help us ensure 100 percent student engagement, including the addition of targeted program coordinators, evaluations, and
operational support.
E3.2 Expand study-abroad options to contribute to the 100 percent student engagement goal.
E3.3 Support online course and program development.
E4. Graduate individuals who will be sought out by the best employers and postgraduate programs.
E4.1 Redesign courses incorporating workshops, new uses of information technology, specialized equipment, and facilities.
E4.2 Update classroom facilities to better support an active learning environment.
E4.3 Emphasize graduate workforce development in selected master's programs.
E5. Graduate individuals ready to engage in productive lives and personally satisfying work.
E5.1 Establish engagement credits in the areas of global, civic, and research activities.

Issue 2 Innovating

Description Expand our research and creative inquire to not only discover new knowledge and create new ideas, but also to innovate new ways of
knowing and seeing that will ensure our continued leadership in interdisciplinary scholarship.
Goal: While supporting our values, invite new resources into the University in support of innovative scholarship and research. Prioritize
our scholarly and research activities to reflect both the grand challenges we face, and the expectations of our partners for integration
and application.

Solutions:

Strategies, Actions, and Initiatives
I1. Promote core strengths to address grand challenges.
I1.1 Capitalize on existing and growing research and clinical strengths in the UA's health sciences colleges in Tucson and Phoenix, other clinical entities
across the state, and relevant UA colleges.
I2. Expand opportunities for interdisciplinary collaboration.
I2.1 Increase institutional capacity for interdisciplinary and interprofessional community-engaged scholarship addressing the most urgent needs of
Arizona's diverse citizenry and generating solutions for the public good with global applications.
I2.2 Increase large multi-investigator, multi-site proposal submissions and awards.
I3. Hire, nurture, and retain a diverse, outstanding faculty.
I3.1 Create diverse new faculty candidate pools that approximate the national availability of talent.
I3.2 Improve faculty retention rates, with a particular emphasis on reducing retention disparities among assistant professors from underrepresented
groups.
I4. Attract, educate, and engage first-rate doctoral students.
I5. Diversity external sources of research support.
I5.1 Develop industry expertise to expand public-private partnerships.
I5.2 Increase research expenditures.
I6. Improve support for the development of major proposals and new initiatives.
I6.1 Provide optimum shared research instrumentation infrastructure to advance our capabilities and competitiveness for external research support.
I6.2 Create a world-class informatics infrastructure and research program that will revolutionize the capability to extract useful information from
massively large sets of data.
I6.3 Stabilize and increase the number of research-active faculty in key focus areas.
I6.4 Ensure that the capacity of central and college-based research support functions keeps pace with the growing volume and complexity of research,
thereby ensuring high-quality grants support as well as critically important compliance with federal and other regulations.
I7. Expand strategic external partnerships.
I7.1 Attract funding for and investment in start-up companies in Arizona, including University start-ups.
I8. Decrease pre-award preparation time and speed post-award access to funds.
I9. Improve recognition for interdisciplinary research in promotion and tenure process.
I9.1 Enhance our institutional infrastructure base to support research advancement.

Issue 3 Partnering

Description Create novel, substantive, and entrepreneurial partnerships with businesses, community groups, and governments to support and
enhance our impact on the local and global community.
Goal: The University will share our knowledge, research, and creativity and become a more active partner in creative enterprises and
innovation to enhance the quality of life for the people of Arizona and the world.

Solutions:

Strategies, Actions, and Initiatives:
P1. Better adapt our land-grant mission for the 21st century, including a global strategy.
P1.1 Modify promotion and tenure guidelines and criteria to recognize engagement and community-based research and knowledge application to align University, College and Departmental critieria.
P1.2 Develop more and better service-learning and applied-research opportunities for students in Arizona and abroad.
P1.3 Position the UA to serve as a preferred consultant in innovating, developing, executing, and assessing critical knowledge-based and capacity
development projects worldwide.
P2. Expand, develop, and sustain community and industry partnerships, locally and globally, via innovative programs.
P2.1 Improve internal business processes to facilitate and leverage community and industry relationships with the University.
P2.2 Expand the roles of community and business partners in Academic Program Reviews.
P2.3 Provide more opportunities for employers, educators, and families to become more deeply engaged with the University through events,
roundtables, and boards.
P2.4 Encourage and support more partnerships among internal academic programs and with key external partners.
P3. Increase capacity in critical and emerging fields such as education, health sciences, STEM, and cultural competence.
P3.1 Better engage business and community partners to expand internship opportunities.
P3.2 Define and develop appropriate pathways for competency-based evaluation and credit.
P3.3 Determine the best use of technology and other modes of delivering educational and informational content to best engage with learners and
communities locally and abroad.
P3.4 Significantly grow our educational offerings face-to-face, online, and hybrid, to better address growing needs in crucial and emerging fields and to
better define the UA's role in connecting learners to knowledge and to each other.
P4. Align output with workforce and knowledge needs, in our region and around the world.
P4.1 Expand opportunities to collaborate with schools, agencies, and industry on professional development and certificate programs statewide,
nationally, and abroad.
P4.2 Coordinate with K-12 school districts to ensure that a curriculum adequately prepares students for postsecondary work and that students have
clear and preferred pathways to the UA.
P4.3 Work with business and community leaders to develop integrated workforce and economic development plans.

Issue 4 Synergy

Description Build an infrastructure for change that cuts across all elements of our mission and all aspects of our plan, advancing our distinctiveness
in interdisciplinarity, diversity, and sense of place while implementing business practices that are effective, efficient, and entrepreneurial.
Goal: Embedded in the University's fundamental commitment to knowledge, culture, art, and diverse disciplinary work, we will:
- Redesign the University to avoid isolation and specialization in ever-narrowing disciplines.
- Optimize our campus resources and virtual reach to engage students more fully.
- Create engaged University citizens who can apply our resources in pursuit of collective goals.
- Emphasize diversity as part of our institutional culture, at all levels.
- Adopt transparent practices that reward productivity, effectiveness, and entrepreneurship.

Solutions:

Strategies, Actions, and Initiatives:
S1. Elevate interdisciplinary collaborations.
S1.1 Develop promotion and tenure guidelines that ensure that collaborative efforts are identified and valued.
S2. Build on and strengthen the diversity of our community.
S2.1 Improve campus infrastructure for diversity at all levels, focusing on accountability.
S3. Expand global connections and deepen regional roots.
S3.1 Invest in interdisciplinary centers that address local issues with global applications.
S4. Optimize our physical resources and virtual reach.
S4.1 Expand and align IT capacity to meet instructional, research, outreach, and administrative requirements.
S4.2 Enhance the UA's reach through improved and cohesive branding and marketing.
S4.3 Develop programs for improving online teaching and course-building skills.
S5. Implement a business model that rewards productivity, effectiveness, and entrepreneurship.
S5.1 Align priorities with opportunities.
S5.2 Integrate RCM into the university's budgeting model to enhance research and instructional performance.
S5.3 Align the administrative structure to better support undergraduate and master's level programs.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

INSTRUCTION

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To maximize the delivery of academically sound instruction in a coordinated manner with the University's academic colleges, schools, departments, and centers.

Description:

This program coordinates the delivery of instruction throughout the University. Its other responsibilities include oversight of: academic support programs; transfer articulation; advising; major-exploration programs for undecided and transitional students; and the University's interdisciplinary degree programs.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	133,968.0	141,097.9	141,097.9
Other Appropriated Funds	117,930.8	113,180.9	113,180.9
Other Non Appropriated Funds	27,367.1	100,567.4	100,567.4
Total Funding	**279,265.9**	**354,846.2**	**354,846.2**
FTE Positions	**3,770.5**	**3,736.5**	**3,736.5**

◆ **Goal** 1 To increase productivity, efficiency, and effectiveness

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Graduating seniors who rate their overall experience as good or excellent (percent)	93	94	93	94	93
Full-time undergraduate students enrolled per semester in three or more primary courses with ranked faculty (percentage)	89	92	0	0	0
Total number of degrees granted	8,063	9,108	8,658	8,917	9,185
Bachelors degrees granted	6,375	6,705	6,765	6,968	7,177
Masters degrees granted	1,109	1,646	1,094	1,675	1,700
First Professional degrees granted	351	138	338	348	359
Explanation: This measure reflects the ABOR Enterprise Metrics Non-PhD Other Doctoral Degrees					
Doctorate degrees granted	228	431	241	246	251
Explanation: This measure reflects the ABOR Enterprise Metrics PhD Doctoral degrees.					
Average number of years taken to graduate for students who began as freshmen	4.2	4.3	4.1	4.1	4
Administration as a percent of total cost	2.6	2.7	2.5	2.9	2.8
Agency staff turnover (percent)	12.3	13.3	11.7	11.5	11.2
Gifts, grants, and contracts (millions)	319,104	322,295	379,828	389,324	399,057
Grants and contracts expenditures (millions)	251717	254234	169,217	173,447	177,784

◆ **Goal** 2 To improve student persistence and graduation rates over time

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Freshmen returning for the second year (percent)	83.3	80.7	81.2	82.4	83.7
Four year graduation rate of Arizona community college transfers (percent)	60.8	66.1	60.1	60.5	60.8
Six-Year graduation rate (percent)	63.5	63.1	64.5	64.9	65.3

Program Summary

ORGANIZED RESEARCH

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To provide effective and transparent promotion and support for the research and graduate-education efforts of University of Arizona faculty and staff and to encourage practices that minimize risks to our investigator-scholars, to human and animal research subjects, and to the University.

Description:

The University of Arizona through its organized research unit provides critical world-class research and discovery, intensive and relevant graduate education, and connects its activities with the community's needs especially as we aspire to become one of the ten best public research universities. The University's organized research unit also fosters technology transfer and connection to the business community, with a particular emphasis on promoting a thriving economy and high quality of life for Arizona. The organized research unit also serves as the administrative home for most of the University's public museums.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	6,708.0
Other Appropriated Funds	40,422.9	27,720.7	27,720.7
Other Non Appropriated Funds	280,682.7	266,972.0	266,972.0
Total Funding	**321,105.6**	**294,692.7**	**301,400.7**
FTE Positions	**2,131.4**	**2,056.0**	**2,102.0**

◆ **Goal** 1 To increase external funding for organized research programs relative to peer institutions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total Research & Development Expenditures in thousands	400624	404630	449,804	463,298	477,197
National Science Foundation Research ranking (publics)	21	21	23	21	22

◆ **Goal** 2 To form a bridge connecting the University with the private sector and expand its engagement with regional, national, and international business communities, and build philanthropic support for the University and its partners.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
New Companies Started	16	15	11	14	15

Program Summary

PUBLIC SERVICE

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To make knowledge generated at the University of Arizona more accessible and more relevant to Arizona's citizens, to the nation at large and to the global community, and to inspire in each of these connections the parallel desires to learn and to create beneficial change, both in partnership with the University of Arizona.

Description:

Global Initiatives and the College of Agriculture and Life Sciences through their extensive Cooperative Extension programs and Experiment Stations facilitate the efforts of University of Arizona faculty in integrating their teaching, research, and service missions, and in translating and advancing those efforts to broader audiences. Our outreach efforts facilitate programs and services that meet the academic access, economic, and regional development needs for communities throughtout Arizona-a major tenet of the land grant mission. In addition to offering youth and senior programs, incubating programs and facilitating UA credit courses and continuing education, outreach collaborates with academic initiatives and student success and academic departments to aid and promote collaborations with partners around the world.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,259.2	1,369.3	1,369.3
Other Appropriated Funds	3,111.4	1,788.1	1,788.1
Other Non Appropriated Funds	9,201.3	27,229.8	27,229.8
Total Funding	**13,571.9**	**30,387.2**	**30,387.2**
FTE Positions	**221.0**	**209.7**	**209.7**

◆ **Goal** 1 To leverage the strengths of international affairs programs and the efforts of our faculty by strategically enhancing efforts abroad in target geographies most relevant to the University.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of students in Study Abroad and Exchange programs	1942	1280	1,928	1,986	2,045
Number of undergraduate international students	2239	1620	2,177	2,242	2,310
Number of graduate international students	1689	1620	1,491	1,536	1,582

◆ **Goal** 2 To facilitate and assure the University's mandate of service, partnership, and the sharing of knowledge which most clearly expresses the distinguishing nature of land grant universities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of people served by Cooperative Extension (in thousands)	0	745680	571,929	595,000	620,000
Number of volunteer hours generated in Agriculture	0	170907	152,301	159,000	165,000

Program Summary

ACADEMIC SUPPORT

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To support and enhance a contemporary learning environment with tools that permit innovation in all learning spaces and assist students in bridging the relationship between research and teaching.

Description:

The units that comprise Academic Support represent all of the ways the University supports its academic mission.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	1,376.0
Other Appropriated Funds	80,952.0	75,887.6	75,887.6
Other Non Appropriated Funds	68,606.1	63,538.1	63,538.1
Total Funding	**149,558.1**	**139,425.7**	**140,801.7**
FTE Positions	**958.6**	**992.0**	**1,007.0**

◆ **Goal** 1 To enhance the academic quality and effectiveness of the institution through planning and budgeting, program review, personnel review, and data collection and analysis.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Academic programs reviewed for quality and effectiveness	15	15	15	15	21
Dollars internally reallocated to priority academic units (in thousands of dollars)	22513	29084	24,047	21,022	22,105

◆ **Goal** 2 To acquire and/or provide access to information resources and services appropriate to research university users via the most cost-effective means.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Resources (print and non-print) circulated from the collection	132994	130300	142,262	139,417	136,629
Resources (print and non-print) used in the library	30200	28700	25,200	23,900	22,700
Electronic Resources used on-site and remotely (in millions)	12926708	13185236	14,246,032	14,530,952	14,821,571

◆ **Goal** 3 To support alternative delivery modes of education for Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Online Undergraduate Degrees	126	262	193	270	280
Number of Online Graduate Degrees	404	201	393	425	450
Number of Online Graduate Certificates	52	26	47	55	60

Program Summary

STUDENT SERVICES

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To recruit and retain a diverse and talented student body; to assist students in their efforts to achieve access, academic success, and efficient degree completion in conformance with prevailing regulation; to promote student development in a safe environment in which diversity is valued and embedded in daily operations; and to provide opportunities for personal and educational enrichment through the development of student, faculty, staff, and community partnerships.

Description:

This program includes enrollment services and other student related programs and services designed to promote student success, by supporting students' personal, intellectual, cultural, and social development outside the context of the formal instructional program. Programming extends to the entire campus community to meet disability needs and to promote a healthy, diverse, engaged, and civil community. The activities include: early outreach, admissions, orientation, financial aid, registration, campus recreation, and health services, cultural events, student programs/organizations, bookstore, newspaper, housing and food service, academic support, career services, programs designed to promote faculty/student interaction outside the classroom, and programs dedicated to special needs, such as disability related services and the cultural resource centers.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,729.4	2,729.4	2,729.4
Other Appropriated Funds	5,660.6	4,109.9	4,109.9
Other Non Appropriated Funds	147,935.9	135,941.8	135,941.8
Total Funding	**156,325.9**	**142,781.1**	**142,781.1**
FTE Positions	**740.4**	**801.1**	**801.1**

◆ **Goal** 1 To admit a freshman class well-prepared for University work.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Quality of freshman class based on: High school grade point average	3.42	3.3	3.48	3.4	3.46
Quality of freshman class based on: SAT scores	1136	1122	1265	1230	1230

◆ **Goal** 2 To decrease, through education, media campaigns, and other programs, the use of alcohol and other drugs that put students at risk of accidents, violence, injuries, and unsafe sexual practices.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Students reporting binge drinking in last year (survey done biannually) (percent)	42	38	41	38	38
Students reporting tobacco use in the last 30 days (percent)	16	17	14	13	12

Program Summary

INSTITUTIONAL SUPPORT

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To provide the University of Arizona with the support services necessary to enable it to effectively pursue the institutional mission of teaching, research, and outreach.

Description:

Institutional support includes central executive-level activities concerned with management and long-range planning for the entire University, and the operation and maintenance of the physical plant. Administrative activities include planning and programming, legal services, fiscal operations, administrative data processing, telecommunications, space management, human resources including employee personnel and records, purchasing, stores, safety, security, printing, transportation services, community and alumni relations, and development and fund-raising.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	13,962.2	14,250.2	14,766.2
Other Appropriated Funds	150,364.7	110,517.4	110,517.4
Other Non Appropriated Funds	448,466.4	425,604.3	425,604.3
Total Funding	**612,793.3**	**550,371.9**	**550,887.9**
FTE Positions	**1,474.2**	**1,472.4**	**1,478.4**

◆ **Goal** 1 To enhance community support for the work of the University in the larger community.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Endowment Assets (in thousands)	650501	570387	671,123	690,116	711,994
Annual Giving (in thousands)	231519	177730	184,776	183,062	196,029

◆ **Goal** 2 To attract and engage a diverse and high quality workforce

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Minority employees in administrative, faculty, professional and classified positions (percent)	0	33	32	34	35
UA Life & Work Connections contacts per year	12367	13000	45,804	48,094	50,499

Program Summary

AUXILIARY PROGRAM

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To provide quality goods and services at the least possible cost to faculty, staff, students and University departments.

Description:

Auxiliary units are most closely related to "real world" businesses in that they are expected to be self-supporting and charge fees that are related to the costs of providing goods or services. Major retail and service activities include the U of A Bookstore, Student Union food services, Residence Life student dormitories and family housing, Parking and Transportation parking permits and Sun Tran passes, UA Presents performances, U of A Press publications, and Intercollegiate Athletics events. Internal service departments that provide wholesale services to other departments on campus include Facilities Management's repair, maintenance, and custodial services; Printing and Publishing Support Services; Telecommunication's telephone services; and the University Research and Instrumentation Center's design and fabrication service.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	289,349.8	321,815.0	321,815.0
Total Funding	**289,349.8**	**321,815.0**	**321,815.0**
FTE Positions	**1,293.9**	**1,390.5**	**1,390.5**

◆ **Goal** 1 To provide affordable housing and a residential living experience conducive to academic success and social well-being.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of new freshmen living in residence halls	72	71	72	72	72
Total number of students living in residence halls	5311	4800	5,626	5,400	5,600

◆ **Goal** 2 To promote health, wellness and safety by providing quality medical, mental health care, and health education to the student community.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of visits to Campus Health's Main and McKale clinics (medical and counseling and psychological services)	68645	70000	69,104	70,000	71,000
Percent who indicate they would refer a friend to Campus Health	99	99	99	99	99
Overall rating of Campus Health (0-10, with 10 high)	9.0	9.0	8.9	9.0	9.0

◆ **Goal** 3 To serve students with learning disabilities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of students served by the Strategic Alternative Learning Techniques (SALT) Center	732	720	727	720	720

Program Summary

COLLEGE OF AGRICULTURE AND LIFE SCIENCES

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To educate students and communities in ways that enable their future success in the regional and global economies and to develop new knowledge and new technologies to benefit society

Description:

The College of Agriculture and Life Sciences coordinates undergraduate and professional education for a wide range of career opportunities within six general subject areas: animal systems; environment and natural resources; family, youth, and community; human nutrition; food safety and health; marketing, trade, and economics; and plant systems. Education in the professional knowledge area is combined with foundation courses in the natural and social sciences, communications, and the humanities to develop a well-rounded academic experience offering majors leading to careers associated with the college subject areas. Programs include on-campus instruction and distance education in cooperation with other institutions. The college awards B.S., M.S., and Ph.D. degrees. Though separate entities by Federal statute, the Arizona Cooperative Extension System and the Arizona Experiment Station are affiliated with and share senior administration with the college.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	42,855.6	42,855.6	42,855.6
Other Appropriated Funds	19,316.3	15,234.5	15,234.5
Other Non Appropriated Funds	73,807.8	86,574.8	86,574.8
Total Funding	**135,979.7**	**144,664.9**	**144,664.9**
FTE Positions	**1,734.2**	**1,883.6**	**1,883.6**

◆ **Goal** 1 To attain a level of tenure/tenure eligible faculty that is effective in providing students with the high quality faculty they deserve and the college with the research productivity essential to premier research university.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Degrees/FTE faculty (T/TE)	5.8	7.2	5.5	6.3	6.3
External funding obtained/FTE Faculty (T/TE)	463647	352884	454,793	445,390	433,778
SCH/Faculty FTE (T/TE)	938	654	604	593	575

◆ **Goal** 2 To graduate as many well qualified students as possible.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Undergraduate Degrees granted (Bachelors)	633	778	599	700	710
Number of Graduate degrees granted (Masters, Specialist, Ph.D)	72	78	59	60	61

◆ **Goal** 3 To partner with and serve the people of Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of volunteer hours generated in Agriculture	0	170907	152,301	159,000	165,000
Number of people served by Cooperative Extension	0	745680	571,929	595,000	620,000

Program Summary

UNIVERSITY OF ARIZONA SOUTH

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To provide high quality, accessible educational opportunities to communities throughout Southern Arizona.

Description:

UA South addresses the needs of individual who are place bound or who desire to fulfill their higher education goals in an atmosphere different than the Main Campus. UA South provides quality upper-division and graduate programs designed to fulfill the educational and career goals of its students. UA South offers undergraduate degree programs through "2 + 2" partnerships with Arizona community colleges, primarily Cochise College and Pima Community College. Two Masters Degree programs are available. Programs are offered at several locations in southeast Arizona. Specific community-based classes may be offered at other locations throughout southeastern Arizona. The Faculty at UA South has incorporated distance learning into the curriculum, offering courses via interactive television and through the Internet.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,743.8	2,743.8	2,743.8
Other Appropriated Funds	5,676.3	4,991.0	4,991.0
Other Non Appropriated Funds	2,217.2	3,963.7	3,963.7
Total Funding	**10,637.3**	**11,698.5**	**11,698.5**
FTE Positions	**92.3**	**93.9**	**93.9**

◆ **Goal** 1 To increase student FTE and retention.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Student FTE	465	573	377	396	416

◆ **Goal** 2 To attain a level of tenure/tenure eligible faculty that is effective in providing students with the high quality facutly they deserve and the college with the research productivity essential to premier research university.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Degrees/FTE faculty (T/TE)	15.7	18.9	17.8	18.0	18.3
SCH/Faculty FTE (T/TE)	2691	1737	2,230	2,266	2,302

◆ **Goal** 3 To graduate as many well-qualified students as possible.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Undergraduate Degrees granted (Bachelors)	116	117	128	132	136
Number of Graduate degrees granted (Masters, Specialist, Ph.D)	17	49	10	10	11

Program Summary

CAPITAL INFRASTRUCTURE

Melinda Gebel, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

Description:

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	11,548.7	10,762.7	10,762.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**11,548.7**	**10,762.7**	**10,762.7**
FTE Positions	**0.0**	**0.0**	**0.0**

Agency Summary

UNIVERSITY OF ARIZONA - HEALTH SCIENCES CENTER

Dr. Robert C. Robbins, President
Phone: (520) 621-5511
A.R.S. § 15-601

Mission:

To improve the prospects and enrich the lives of the people of Arizona and the world through education, research, creative expression, and community and business partnerships.

Description:

The Arizona Health Sciences Center (AHSC) in Tucson is the State's only academic health sciences center. It provides the state and its people with education, research, patient care, and services through its Colleges of Medicine, Nursing, Pharmacy, Public Health, Phoenix Bio-Medical Campus, University Medical Center, and University Physicians. AHSC serves as the core of a broad network of statewide health services, health education, health restoration, health promotion, and illness prevention.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ INSTRUCTION	139,052.0	148,118.5	160,471.7
➢ ORGANIZED RESEARCH	174,973.8	181,901.6	186,489.4
➢ PUBLIC SERVICE	29,795.3	33,198.3	33,940.7
➢ ACADEMIC SUPPORT	154,114.2	153,405.3	165,655.2
➢ STUDENT SERVICES	5,143.1	4,746.8	5,406.1
➢ INSTITUTIONAL SUPPORT	63,804.1	5,140.8	6,553.1
➢ AUXILIARY PROGRAM	8,255.3	8,361.6	8,528.8
➢ COLLEGE OF MEDICINE, PHOENIX CAMPUS	112,391.5	121,569.9	123,189.9
Agency Total:	**687,529.3**	**656,442.8**	**690,234.9**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	68,667.2	76,897.7	100,212.7
Other Appropriated Funds	51,395.8	55,697.4	55,697.4
Other Non Appropriated Funds	567,466.3	523,847.7	534,324.8
Total Funding	**687,529.3**	**656,442.8**	**690,234.9**
FTE Positions	**4,508.1**	**4,677.1**	**4,913.6**

5 Year Plan

Issue 1 Engaging

Description Design the Arizona experience so that 100 percent of our students have the opportunity to engage in integrating and applying their
knowledge through real-world experiential learning.
Goal: Through a learning experience tailored to individual students' needs, the UA will graduate future leaders who have the skills to
apply their knowledge and solve the world's grand challenges.

Solutions:

Strategies, Actions, and Initiatives:
E1. Recruit and retain a diverse student body of undergraduate, transfer, and graduate degree-seeking students who represent the state, national and
global demographic landscape.
E1.1 Leverage merit- and need-based aid.
E2. Optimize student access and success.
E2.1 Enhance partnerships with high schools and community colleges nationally and internationally.
E2.2 Identify students early in their careers who can benefit from programmatic intervention and increase opportunities for academic recovery.
E2.3 Improve retention with greater support in advising, learning specialists, coordination, hardware, and software.
E2.4 Decrease graduate-level time to degree.
E3. Provide students with a dynamic educational experience.
E3.1 Promote actions that help us ensure 100 percent student engagement, including the addition of targeted program coordinators, evaluations, and
operational support.
E3.2 Expand study-abroad options to contribute to the 100 percent student engagement goal.
E3.3 Support online course and program development.
E4. Graduate individuals who will be sought out by the best employers and postgraduate programs.
E4.1 Redesign courses incorporating workshops, new uses of information technology, specialized equipment, and facilities.
E4.2 Update classroom facilities to better support an active learning environment.
E4.3 Emphasize graduate workforce development in selected master's programs.
E5. Graduate individuals ready to engage in productive lives and personally satisfying work.
E5.1 Establish engagement credits in the areas of global, civic, and research activities.

Issue 2 Innovating

Description Expand our research and creative inquire to not only discover new knowledge and create new ideas, but also to innovate new ways of
knowing and seeing that will ensure our continued leadership in interdisciplinary scholarship.
Goal: While supporting our values, invite new resources into the University in support of innovative scholarship and research. Prioritize
our scholarly and research activities to reflect both the grand challenges we face, and the expectations of our partners for integration
and application.

Solutions:

Strategies, Actions, and Initiatives
I1. Promote core strengths to address grand challenges.
I1.1 Capitalize on existing and growing research and clinical strengths in the UA's health sciences colleges in Tucson and Phoenix, other clinical entities
across the state, and relevant UA colleges.
I2. Expand opportunities for interdisciplinary collaboration.
I2.1 Increase institutional capacity for interdisciplinary and interprofessional community-engaged scholarship addressing the most urgent needs of
Arizona's diverse citizenry and generating solutions for the public good with global applications.
I2.2 Increase large multi-investigator, multi-site proposal submissions and awards.
I3. Hire, nurture, and retain a diverse, outstanding faculty.
I3.1 Create diverse new faculty candidate pools that approximate the national availability of talent.
I3.2 Improve faculty retention rates, with a particular emphasis on reducing retention disparities among assistant professors from underrepresented
groups.
I4. Attract, educate, and engage first-rate doctoral students.
I5. Diversity external sources of research support.
I5.1 Develop industry expertise to expand public-private partnerships.
I5.2 Increase research expenditures.
I6. Improve support for the development of major proposals and new initiatives.
I6.1 Provide optimum shared research instrumentation infrastructure to advance our capabilities and competitiveness for external research support.
I6.2 Create a world-class informatics infrastructure and research program that will revolutionize the capability to extract useful information from
massively large sets of data.
I6.3 Stabilize and increase the number of research-active faculty in key focus areas.
I6.4 Ensure that the capacity of central and college-based research support functions keeps pace with the growing volume and complexity of research,
thereby ensuring high-quality grants support as well as critically important compliance with federal and other regulations.
I7. Expand strategic external partnerships.
I7.1 Attract funding for and investment in start-up companies in Arizona, including University start-ups.
I8. Decrease pre-award preparation time and speed post-award access to funds.
I9. Improve recognition for interdisciplinary research in promotion and tenure process.
I9.1 Enhance our institutional infrastructure base to support research advancement.

Issue 3 Partnering

Description Create novel, substantive, and entrepreneurial partnerships with businesses, community groups, and governments to support and
enhance our impact on the local and global community.
Goal: The University will share our knowledge, research, and creativity and become a more active partner in creative enterprises and
innovation to enhance the quality of life for the people of Arizona and the world.

Solutions:

Strategies, Actions, and Initiatives:
P1. Better adapt our land-grant mission for the 21st century, including a global strategy.
P1.1 Modify promotion and tenure guidelines and criteria to recognize engagement and community-based research and knowledge application to align University, College and Departmental critieria.
P1.2 Develop more and better service-learning and applied-research opportunities for students in Arizona and abroad.
P1.3 Position the UA to serve as a preferred consultant in innovating, developing, executing, and assessing critical knowledge-based and capacity
development projects worldwide.
P2. Expand, develop, and sustain community and industry partnerships, locally and globally, via innovative programs.
P2.1 Improve internal business processes to facilitate and leverage community and industry relationships with the University.
P2.2 Expand the roles of community and business partners in Academic Program Reviews.
P2.3 Provide more opportunities for employers, educators, and families to become more deeply engaged with the University through events,
roundtables, and boards.
P2.4 Encourage and support more partnerships among internal academic programs and with key external partners.
P3. Increase capacity in critical and emerging fields such as education, health sciences, STEM, and cultural competence.
P3.1 Better engage business and community partners to expand internship opportunities.
P3.2 Define and develop appropriate pathways for competency-based evaluation and credit.
P3.3 Determine the best use of technology and other modes of delivering educational and informational content to best engage with learners and
communities locally and abroad.
P3.4 Significantly grow our educational offerings face-to-face, online, and hybrid, to better address growing needs in crucial and emerging fields and to
better define the UA's role in connecting learners to knowledge and to each other.
P4. Align output with workforce and knowledge needs, in our region and around the world.
P4.1 Expand opportunities to collaborate with schools, agencies, and industry on professional development and certificate programs statewide,
nationally, and abroad.
P4.2 Coordinate with K-12 school districts to ensure that a curriculum adequately prepares students for postsecondary work and that students have
clear and preferred pathways to the UA.
P4.3 Work with business and community leaders to develop integrated workforce and economic development plans.

Issue 4 Synergy

Description Build an infrastructure for change that cuts across all elements of our mission and all aspects of our plan, advancing our distinctiveness
in interdisciplinarity, diversity, and sense of place while implementing business practices that are effective, efficient, and entrepreneurial.
Goal: Embedded in the University's fundamental commitment to knowledge, culture, art, and diverse disciplinary work, we will:
- Redesign the University to avoid isolation and specialization in ever-narrowing disciplines.
- Optimize our campus resources and virtual reach to engage students more fully.
- Create engaged University citizens who can apply our resources in pursuit of collective goals.
- Emphasize diversity as part of our institutional culture, at all levels.
- Adopt transparent practices that reward productivity, effectiveness, and entrepreneurship.

Solutions:

Strategies, Actions, and Initiatives:
S1. Elevate interdisciplinary collaborations.
S1.1 Develop promotion and tenure guidelines that ensure that collaborative efforts are identified and valued.
S2. Build on and strengthen the diversity of our community.
S2.1 Improve campus infrastructure for diversity at all levels, focusing on accountability.
S3. Expand global connections and deepen regional roots.
S3.1 Invest in interdisciplinary centers that address local issues with global applications.
S4. Optimize our physical resources and virtual reach.
S4.1 Expand and align IT capacity to meet instructional, research, outreach, and administrative requirements.
S4.2 Enhance the UA's reach through improved and cohesive branding and marketing.
S4.3 Develop programs for improving online teaching and course-building skills.
S5. Implement a business model that rewards productivity, effectiveness, and entrepreneurship.
S5.1 Align priorities with opportunities.
S5.2 Integrate RCM into the university's budgeting model to enhance research and instructional performance.
S5.3 Align the administrative structure to better support undergraduate and master's level programs.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

Program Summary

INSTRUCTION

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To provide top-quality health sciences educational programs at the undergraduate, graduate, and professional levels that will attract and graduate an excellent and diverse student body.

Description:

The Arizona Health Sciences Center (AHSC) offers professional programs leading to the M.D., graduate degrees in many of the medical sciences, B.S.N., M.S., Ph.D., ADN-MS, Pharm.D., Masters in Public Health (MPH), DrPH, and B.S. with a major in health education. The AHSC provides students with the knowledge, skills, and attitudes basic to the provision of health services. It also provides education and training programs for undergraduate students, graduate students, residents, fellows, and other health professionals.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	34,248.5	34,593.9	44,909.6
Other Appropriated Funds	8,956.5	11,654.7	11,654.7
Other Non Appropriated Funds	95,847.0	101,869.9	103,907.4
Total Funding	**139,052.0**	**148,118.5**	**160,471.7**
FTE Positions	**1,076.7**	**1,076.8**	**1,149.3**

◆ **Goal** 1 To attain a level of tenured/tenure eligible faculty that is effective in providing students with the high quality of instruction they deserve. (We're unable to delete measures 1 & 2. They are duplicates of Goal 2 measures 1,5,6)

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Degrees Granted BA/BS and MA/MS	849	1,128	784	808	832
Number of degrees granted-PhD	27	43	25	25	26
SCH/Faculty FTE (T/TE)	447	382	352	366	381
External funding obtained/FTE Faculty (T/TE)	782065	524785	726,079	733,339	740,673
Degrees/FTE faculty (T/TE)	3.6	4.6	3.51	4	4

◆ **Goal** 2 To increase productivity, efficiency, and effectiveness.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of degrees granted MA/MS	133	463	221	232	244
Full-time undergraduate students enrolled per semester in three or more primary courses with ranked faculty (percentage)	0	91	90	85	90
Total number of degrees granted	1278	1597	1216	1240	1265
Bachelor degrees granted	581	710	563	580	597
First Professional Degrees granted (Non-PhD Other Doctoral Degrees)	375	293	386	398	410
Explanation: The measure reflects ABOR Enterprise Metrics Non-PhD Doctoral degrees					
Doctoral Degrees granted (PhD Doctoral)	21	43	25	26	26
Explanation: This measure reflects ABOR Enterprise Metrics PhD Doctoral degrees					
Average number of years taken to graduate for students who began as freshman	4.1	4.1	4	4	4
Administration as a percent of total cost	2.6	2.7	2.5	2.9	2.8
Agency staff turnover	15	19	16	15	15
Gifts, grants, and contracts (millions)	286616	289482	264,519	271,132	277,910
Grants and contracts expenditures (millions)	181077	18288	211,405	216,690	222,107

Program Summary

ORGANIZED RESEARCH

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To provide high quality multidisciplinary biomedical research in areas important to the health care community and public; to promote the application of economics and socio-behavioral sciences to pharmaceutical research, education and service; to make available to trainees leading edge knowledge and the most modern technology; to promote healthier lifestyles through education of the public; and to provide service to state and federal agencies and the private sector.

Description:

The organized research centers are specifically organized to produce interdisciplinary clinical and basic biomedical research and to provide support for the undergraduate, graduate, and outreach educational programs. They are supported almost entirely by external federal and private sector funding. Their major areas of emphasis include: interdisciplinary research; education of the public, training of health professionals and scientists; patient services; provision of regional resources for research, disease diagnosis, patient care, education, and disease prevention and control; and technology development.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	452.9	438.2	1,468.3
Other Appropriated Funds	3,970.5	3,577.8	3,577.8
Other Non Appropriated Funds	170,550.4	177,885.6	181,443.3
Total Funding	**174,973.8**	**181,901.6**	**186,489.4**
FTE Positions	**1,045.0**	**1,056.1**	**1,073.1**

◆ **Goal** 1 To promote excellence in basic and clinical research, patient care, education, and training.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Regional, national, and international awards, honors, and prizes received by students, alumni, faculty, and staff	619	888	0	632	0
Patients rating physician skill as excellent in satisfaction survey (percent)	86	77	84	90	87

◆ **Goal** 2 To establish a stable funding base to support research, education, and service activities

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Total Research & Development Expenditures in thousands	257643	260219	276,966	285,275	293,833

◆ **Goal** 3 To provide education and training programs for regional, national, and international health care professionals, health care industry personnel, and the public.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Training programs/ workshops/lectures	3188	0	0	3612	0

Program Summary

PUBLIC SERVICE

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To provide the citizens of the State of Arizona access to poison and medication-related emergency treatment assistance and to develop a rural telemedicine network that can improve rural health care.

Description:

The Arizona Poison and Drug Information Center serves as a repository of comprehensive information, knowledge and expertise regarding poisons and toxic exposures. A high priority is to provide access for rural and medically underserved Arizona residents and health care professionals who are without ready access to medical facilities. Telemedicine is the use of computers, video imaging, and telecommunications for diagnosis and treatment of persons in rural, geographically isolated communities and State institutions.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,048.4	2,022.4	2,150.1
Other Appropriated Funds	562.1	443.6	443.6
Other Non Appropriated Funds	27,184.8	30,732.3	31,347.0
Total Funding	**29,795.3**	**33,198.3**	**33,940.7**
FTE Positions	**153.1**	**153.4**	**156.7**

◆ **Goal** 1 To provide quality, accessible poison and medication-related emergency treatment assistance 24 hours a day.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Poison Control call volume per year (in thousands)	28	0	23	20	21
Accredited by the American Association for Poison Control Center Certification as a Regional Poison Control Center.	Yes	0	Yes	Yes	Yes

◆ **Goal** 2 To provide specialty patient care in rural communities and secure State institutions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number served through Telemedicine (clinical consultations)	25000	25000	25000	25000	25000

Program Summary

ACADEMIC SUPPORT

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To support and enhance a contemporary learning environment with tools that permit innovation in all learning spaces and assist students in bridging the relationship between research and teaching.

Description:

The units that comprise Academic Support represent all of the ways the University of Arizona Health Sciences Center supports its academic mission.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	8,661.2	8,587.0	18,414.8
Other Appropriated Funds	18,704.1	23,714.4	23,714.4
Other Non Appropriated Funds	126,748.9	121,103.9	123,526.0
Total Funding	**154,114.2**	**153,405.3**	**165,655.2**
FTE Positions	**1,341.8**	**1,416.2**	**1,532.2**

◆ **Goal** 1 To offer education programs that meet standards of excellence

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of students passing Step I of the US Medical Licensing Exam on the first try	96	95	99	98	96
Percent of Students passing Step II of the US Medical Licensing Exam on the first try.	95	98	99	97	98

◆ **Goal** 2 To assure access to information resources in the health sciences on-site and off-site.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Resources (print and non-print) circulated from the collection.	2338	2268	2181	2200	2052
Resources (print and non-print) used in the library (in thousands)	1.75	.93	0.83	0.87	0.78

◆ **Goal** 3 To teach students and faculty the most effective methods of accessing and managing health sciences information

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Classes/workshops taught	0	160	162	190	220
Number of participants classes/workshops	0	4077	4431	4800	5200

◆ **Goal** 4 To support alternative delivery modes of education for Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Online Graduate Degrees	233	250	214	255	260
Number of Online Graduate Certificates	14	7	37	40	45

Program Summary

STUDENT SERVICES

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-601

Mission:

To recruit and retain a diverse and talented student body; to assist students in their efforts to achieve access, academic success, and efficient degree completion in conformance with prevailing regulation; to promote student development in a safe environment in which diversity is valued and embedded in daily operations; and to provide opportunities for personal and educational enrichment through the development of student, faculty, staff, and community partnerships.

Description:

This program includes enrollment services and other student related programs and services designed to promote student success, by supporting students' personal, intellectual, cultural, and social development outside the context of the formal instructional program. Programming extends to the entire campus community to meet disability needs and to promote a healthy, diverse, engaged, and civil community. The activities include: early outreach, admissions, orientation, financial aid, registration, campus recreation, and health services, cultural events, student programs/organizations, bookstore, newspaper, housing and food service, academic support, career services, programs designed to promote faculty/student interaction outside the classroom, and programs dedicated to special needs, such as disability related services and the cultural resource centers.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	606.4
Other Appropriated Funds	2,597.0	2,106.0	2,106.0
Other Non Appropriated Funds	2,546.1	2,640.8	2,693.7
Total Funding	**5,143.1**	**4,746.8**	**5,406.1**
FTE Positions	**35.1**	**28.4**	**35.5**

◆ **Goal** 1 To enroll students well prepared for UAHS work.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of students enrolled in pre-pharmacy	114	51	264	120	125
Number of students enrolled in pre-nursing	449	450	531	500	550

◆ **Goal** 2 To enroll diverse students using the diverse in its broadest meaning.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
% Undergraduate Minority Students	52	51	51	52	53
% Graduate & First Professional Minority Students	44	50	46	45	50

Program Summary

INSTITUTIONAL SUPPORT

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-601

Mission:

To provide the University of Arizona with the support services necessary to enable it to effectively pursue the institutional mission of teaching, research, and outreach.

Description:

Institutional support includes central executive-level activities concerned with management and long-range planning for the entire University, and the operation and maintenance of the physical plant. Administrative activities include planning and programming, legal services, fiscal operations, administrative data processing, telecommunications, space management, human resources including employee personnel and records, purchasing, stores, safety, security, printing, transportation services, community and alumni relations, and development and fund-raising.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	1,407.3
Other Appropriated Funds	6,688.8	4,888.0	4,888.0
Other Non Appropriated Funds	57,115.3	252.8	257.8
Total Funding	**63,804.1**	**5,140.8**	**6,553.1**
FTE Positions	**145.6**	**130.0**	**145.8**

◆ **Goal** 1 To enhance community support for the work of the University in the larger community.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Endowment Assets (in thousands)	215337	209704	254,011	228,451	269,480
Annual Giving (in thousands)	45113	55592	49,919	57,260	52,958

◆ **Goal** 2 To attract and engage a diverse and high quality workforce

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Minority employees in administrative, faculty, professional and classified positions (percent)	31	30	32	33	35

Program Summary

AUXILIARY PROGRAM

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To provide quality goods and services at the least possible cost to faculty, staff, students and University departments.

Description:

Auxiliary units are most closely related to "real world" businesses in that they are expected to be self-supporting and charge fees that are related to the costs of providing goods or services. Major retail and service activities include the U of A Bookstore, Student Union food services, Residence Life student dormitories and family housing, Parking and Transportation parking permits and Sun Tran passes, UA Presents performances, U of A Press publications, and Intercollegiate Athletics events. Internal service departments that provide wholesale services to other departments on campus include Facilities Management's repair, maintenance, and custodial services; Printing and Publishing Support Services; Telecommunication's telephone services; and the University Research and Instrumentation Center's design and fabrication service. While many of the retail and service activity centers are located on Main Campus, they service AHSC as well. The College of Medicine has auxiliary units including Arizona Telemedicine and Biomedical Communications as well.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	8,255.3	8,361.6	8,528.8
Total Funding	**8,255.3**	**8,361.6**	**8,528.8**
FTE Positions	**85.7**	**82.6**	**83.4**

◆ **Goal** 1 To provide affordable housing and a residential living experience conducive to academic success and social well-being.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of new freshmen living in residence halls	69	72	69	70	69
Total number of students living in residence halls	500	650	646	500	650

◆ **Goal** 2 To promote health, wellness and safety by providing quality medical care to rural Arizona.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number served through Telemedicine (clinical & educational consultations)	60000	30000	70,000	100,000	100,000

◆ **Goal** 3 To serve students with learning disabilities.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of students served by the Strategic Alternative Learning Techniques (SALT) Center	11	15	16	15	15

Program Summary

COLLEGE OF MEDICINE, PHOENIX CAMPUS

Ravneet Chadha, Director
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

To provide medical students with the knowledge, skills, and attitudes basic to the practices of medicine; to provide education and training programs for residents, graduate students, fellows, and other health professionals and practicing physicians; to work with clinical affiliates to teach and model interprofessional health care delivery; to make contributions to biomedical research; to model and promote innovations in patient care and disease prevention and cure, including utilization of the multidiscipline health care team approach; and to use biomedical informatics and work with industry to address quality and cost of health care.

Description:

The College of Medicine-Phoenix offers a professional program leading to the M.D. degree and graduate degree programs. The COM-PHX also supports the education of other health professionals and the public. The educational program leading to the M.D. degree is conducted at the Phoenix Biomedical Campus and at clinical sites located in Phoenix, Tucson, and throughout the State. The faculty members conduct research programs in molecular biology, clinical translational science, medical education, therapeutics, prevention, and clinical outcomes. It is a rapidly evolving leader in biomedical informatics and health care education and this will translate into a high quality education program regarding health care issues for all in the State and critically enhancing and improving on delivery of care to our citizens.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	23,256.2	31,256.2	31,256.2
Other Appropriated Funds	9,916.8	9,312.9	9,312.9
Other Non Appropriated Funds	79,218.5	81,000.8	82,620.8
Total Funding	**112,391.5**	**121,569.9**	**123,189.9**
FTE Positions	**625.1**	**733.6**	**737.6**

◆ **Goal** 1 To develop, maintain, and continuously evaluate the educational program leading to the M.D. degree.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of students passing Step I of the United States Medical Licensing Exam on the first try	97	97	97	97	97
Percent of students passing Step II of the United States Medical Licensing Exam on the first try	99	99	100	99	99

◆ **Goal** 2 To provide educational experiences that promote lifelong learning, critical thinking skills, and career decisions for the breadth of disciplines needed throughout our State, emphasizing cultural competency and diversity.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Regional, national, and international awards, honors, and prizes received by students, alumni, faculty, and staff	120	118	157	128	265

◆ **Goal** 3 To attract and maintain a diverse, highly qualified faculty that understands and delivers the complex training necessary for our next generation of physicians in addition to functioning as excellent leaders and collaborators with the diverse and excellent infrastructure of investigative research presently ongoing within the State and region.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Minority employees in administrative, faculty, professional and classified positions (percent)	34	25.5	32	33	35

◆ **Goal** 4 To be the leader for the State's citizens in designing, mentoring, and monitoring all facets of health care delivery in society and to offer an education milieu to share this information with the populace

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Training programs/ workshops/lectures	350	425	485	500	690

Agency Summary

ARIZONA DEPARTMENT OF VETERANS' SERVICES

Wanda A. Wright, Director
Phone: (602) 255-3373
A.R.S. § 41-601 et seq.

Mission:

To be the catalyst in response to the evolving needs of Arizona's veterans and their families.

Description:

The Arizona Department of Veterans' Services (ADVS) helps veterans and their dependents obtain state and federal entitlements. ADVS operates the State Veteran Homes in Phoenix and Tucson. Both homes are self-funded, skilled nursing facilities that provide short and long term care services to veterans and their spouses. ADVS also operates three state veterans cemeteries which are located in Sierra Vista, Marana, and Camp Navajo. ADVS serves as the state approving agency that qualifies schools to offer curriculum to veterans under the GI Bill, administers the Military Family Relief Fund, and coordinates statewide services to eliminate homelessness, decrease veteran suicides, and increase employment opportunities for Arizona veterans.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ ADMINISTRATION	3,947.1	3,810.7	3,810.7
➢ VETERANS' SERVICES	4,327.6	7,261.9	7,736.1
➢ STATE VETERANS' HOMES	36,426.0	53,995.3	53,995.3
➢ STATE VETERANS' CEMETERIES	1,235.8	1,193.6	1,193.6
Agency Total:	**45,936.5**	**66,261.5**	**66,735.7**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	5,698.5	7,792.9	8,267.1
Other Appropriated Funds	34,525.5	35,607.9	35,607.9
Other Non Appropriated Funds	5,712.5	22,860.7	22,860.7
Total Funding	**45,936.5**	**66,261.5**	**66,735.7**
FTE Positions	**503.8**	**503.8**	**503.8**

Department of Veterans' Services

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Wanda A. Wright
Strategic Planner: Scott Kurish
Last modified: 06/21/2019

Vision:

To be recognized as the best advocate honoring those who served in the Armed Forces and those who support them

Mission:

To be the catalyst in response to the evolving needs of Arizona veterans and their families.

Agency Description:
The Arizona Department of Veterans' Services assists veterans and their dependents, obtain state and federal entitlements. The Department operates the State Veteran Homes in Phoenix and Tucson. Both homes are self-funded, skilled nursing facilities that provide short and long term care services to veterans and their spouses. The Department operates three state veterans cemeteries which are located in Sierra Vista, Marana, and Camp Navajo. The Department operates the State Approving Agency that qualifies schools to offer curriculum to veterans under the GI Bill. The Department also administers the Military Family Relief Fund, coordinates statewide services to eliminate homelessness, decrease veteran suicides and increase employment opportunities for Arizona veterans

Executive Summary:
Fiscal Year 2019 was again a year of great success for the Arizona Department of Veterans' Services. Our Veterans' homes continue to excel. ASVH-T has been a 5-Star facility for the entire year and ASVH-P raised from 1-Star to 3-Star. Two of our Cemeteries completed NCA audits and were rated 92% and 98%. Our Be Connected program which is at the center of our initiative to reduce Veteran suicide out performed our estimates for volume and engagements and is looked at as the national best practice in this area. We have also connected better with our teams. We had over 92% of our staff participate in the Employee Engagement Survey. At the same time we reduced the need for temporary help in our homes by over 33%. We have reduced our time to pay invoices to under 10 days allowing us to take every possible discount. AMS is at the heart of our achievements. We have made large strides in our understanding and deployment that allows us to reduce waste and help more veterans.

FY20 will see us get even better. We will break ground on two new Veterans homes. We will add new programs that will attract more residents in our current homes. We will expand Be Connected and make a bigger dent in the population of high risk veterans not just in Arizona but across the nation. We have set more challenging targets in all of our divisions to "serve more veterans better".

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Lowest Veterans Suicide rate in the United States	2018	The kickoff of Be Connected has seen a 66% rise in engagements. ADVS has been invited to participate on a national scale to join the "Governor's Challenge" to reduce Veteran suicide nationwide.
2	Operate four long term care facilities that all carry 5 Star ratings	2018	ASVH-T has carried the 5 Star rating for two years while ASVH-P has risen from 1 Star to 3 Star in the past year. ASVH-F and ASVH-Y have broken ground this year and will be fully operational in FY 23.
3	Support significant increases in Veterans' services through management of staff, funding and effective communication	2019	Reduced process time for paying invoices to nine days and reduced employee recruitment time to under 40 days. Both all time best for the Agency. Our IT Risk score has risen to 843 which is in the top 1% in the state. Payroll errors have be reduced by over 95%. ADVS will research the growth of State Veteran Home beds to increase by 25% in rural areas.
4	To be Arizona's proven top choice for Veterans services	2017	Arizona Veterans currently draw nearly $50 million a month in VA benefits, an increase of 26% over two years. ADVS has seen a 21% increase in clients seen over the past two years. With innovative technology driven solutions, ADVS is providing a better life more veterans and their families.

Department of Veterans' Services Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
#1	Increase the number of pre-crisis interventions.	• % of cases resolved at BeConnected • # of crisis calls	• Increase outreach events with our VSO partners • Develop and deploy a plan to reach Veterans in rural areas • Lead the effort to reduce Veterans suicides by participating in the Governor's Challenge initiative • Launch BeConnected Roadshow, a year long initiative to increase awareness amongst communities
#2a	Increase combined rating to an average of 4.5 Stars.	• Monthly CMS reporting • Monthly census reporting • # of criterion met for US News and World Report rankings for nursing homes • # of nursing hours per resident • # of health inspection findings	• Develop a restorative care program at ASVH-P • Increase advanced training opportunities for clinical staff • Deploy a plan that promotes teamwork and reduces the need for temporary help • Identify criteria for US News and World Report rankings for nursing homes
#2b	Meet construction milestones at both ASVH-F and ASVH-T.	• % of construction milestones met	• Create a visual that gives status of construction progress
#3	Bring staffing to desired levels. Use our budget more efficiently.	• Vacancy Rate • Dollar value of discounts taken	• Develop staffing plan for two new Veterans' homes • Provide training for each Assistant Deputy Director to manage their own budget • Develop an inventory control system for the homes
#4	Eliminate barriers to quality service.	• Vacancy rate for VBCs • Federal VA dollars leveraged • Agency complaints • Number of direct services provided	• Redesign the MFRF process to get applicants help faster • Initiate headstone alignment projects in all three State Veterans' cemeteries • Amend the Road Map to Veteran employment • Develop standard work for measuring direct services and incoming Federal dollars • Develop and deploy an Agency complaint process

5 Year Plan

Issue 1 Achieve Lowest Veterans Suicide Rate in the United States

Description Arizona is home to over 500,000 veterans and their families. Arizona's overall general population risk of suicide is higher than the national average to begin with. We know from the Arizona Violent Death Reporting System that the risk of suicide is 3x higher for veterans and 4x higher for older veterans. The impacts of suicide and suicide attempts are far reaching on the individual, the family, our workplaces, our schools and our communities. Nationally, suicide and suicide attempts cost society $70 billion per year in combined medical and work loss costs (https://www.cdc.gov/violenceprevention/suicide/consequences.html).

According to the 2017 Arizona Veteran Survey of almost 5,000 individuals, conducted by the Arizona Department of Veterans' Services and the Arizona Coalition for Military Families:
•5% of service members and veterans had experienced moderate to severe stress in the week prior to the survey.
•41% of veterans have had thoughts of suicide.
•1 in 3 respondents know a service member or veteran who needs mental health care but is not getting it.
•Arizona's rural counties have a significantly larger percentage of veterans experiencing mental health conditions.
•1 in 3 veterans have had traumatic experiences that put them at risk for elevated chronic physical and mental health conditions.
•1 in 10 veterans are using substances to cope with trauma, depression and anxiety.

Solutions:
While the increased risk is alarming, Arizona has strengths as a state that we can build upon to address this important issue.

1. Veterans are a specific sub-population of the state that can be targeted for prevention, intervention and postvention strategies to address suicide risk.

2. Arizona has a strong military and veteran public/private partnership that has been actively working to connect people, organizations, systems and communities across the state since 2010 when the first Governor-appointed team started convening to focus on how we can best support all those who serve and their families. This provides a strong foundation upon which we can implement strategies.

3. Arizona partners have a track record of successfully decreasing suicide risk in the military community. In 2010, the Arizona National Guard experienced the highest rate of suicide ever within the organization. The “Be Resilient” program was implemented. The program focused on culture change, training and equipping, 24/7 support and increased access to resources. Throughout the three years the “Be Resilient” program was in operation at the Arizona National Guard, there were zero suicides and an increased utilization of the available resources.

4. Over the past two years, the key stakeholders in Arizona have developed the “Be Connected” program, a statewide suicide prevention effort focused on service members, veterans and their families. “Be Connected” builds upon the successful “Be Resilient” model and expands the reach to the entire military and veteran community statewide. “Be Connected” includes three components: Call - a 24/7 support line for everyone; Match - navigation to the right resources at the right time; Learn - in-person and online training to equip everyone in our community to help. “Be Connected” is being implemented in alignment with principles from the Arizona Management System.

5. “Be Connected” is being looked at as a best practice model for state-level suicide prevention with the military and veteran community. The key stakeholders continue to strengthen and evolve the program to benefit our community and for potential replication in other states.

6. Arizona appropriated $1,225,500 for suicide prevention in FY20; this apropriation will allow the Department to continue to partner with non-governmental organizations and the Federal VA to expand the services described above. This is a critical time and opportunity to address this issue. The public and private sector partners have aligned efforts. The infrastructure to grow and expand “Be Connected” is in place. It is key to fully resource this effort now in order to reach and impact the hundreds of thousands of Arizonans who have served and now need support to fulfill their potential and continue to be thriving members of our community.

This proposal is directly related to the Department’s Goal to “Lowest Veterans Suicide Rate in the United States” and to the Department’s Objective to “Increase the number of pre-crisis interventions.”

Issue 2 Operate Four Long Term Care Facilities that All Carry 5-Star Ratings

Description The Arizona Department of Veterans' Services (ADVS) currently operates two State Homes for Veterans; a 200-bed facility in Phoenix and a 120-bed facility in Tucson. Additionally, ADVS has begun construction of two new 80-bed skilled nursing homes for Veterans in Flagstaff and Yuma. ADVS broke ground and began construction of both facilities in June 2019 and expects to complete them by June 2021. After these new facilities are certified and begin operation, Arizona will have four State Homes for Veterans distributed throughout the State with a total of 480 beds available to serve Veterans and their families.

Arizona has been very supportive of Veterans needing this type of services and has allocated $27.2 million (19.2 million from the General Fund and $8 million from the State Homes for Veterans Trust Fund) to pay for its share of the cost to build and establish these new facilities in Flagstaff and Yuma. Although the Federal VA formula for determining State long-term care needs indicates that Arizona will require 1,520 long-term care beds in order to serve its veteran population in the year 2020 (38 CFR 59.40), Arizona has been able to secure the funding to build and establish new, modern facilities totalling 480 beds in the year 2021.

In order to serve Veterans and their families requiring skilled nursing facilities with dignity and respect, ADVS will continue to improve all its quality and customer service measures to ensure a 5-Star rating for all four Homes. The State Home for Veterans in Tucson, which began operations in 2012, has held a 5-Star rating for two years and is in route to maintaining it for a third year. The Phoenix facility, which was rated as a 1-Star facility, has recently seen its rating raised to a 4-Star facility, an incredible acheivement in less than one year. ADVS is implementing various strategies to be able to maintain Tucson's rating as a 5-Star, increase Phoenix from 4-Star to 5-Star and operate the new facilities in Flagstaff and Yuma as 5-Star facilities from their opening and certification forward.

Solutions:

Building on ADVS's recent success, operating the State Home for Veterans in Tucson as a 5-Star facility for two years and increaseing the State Home for Veterans in Phoenix from 1-Star rating to 4-Star, ADVS will develop a restorative care program for Phoenix and the new facilities in Flagstaff and Yuma. Additionally, ADVS will continue to increase advanced training opportunities for clinical staff, deploy a plan that promotes teamwork and reduces need for temporary help and identify specific areas for which resources may be leveraged most effectively to increase quality of care and customer service for residents and be able to attract prospective residents while providing a dignified enviroment for residents, employees and visitors.

This proposal is directly related to the Department's Goals to "Operate four long-term care facilities that all carry 5-Star ratings." ADVS believes that by expanding the number of long-term care beds in the State, it will impact the following objective: "Increase the combined rating to an average of 4.5-Star."

Issue 3 Support Increased Veterans' Services

Description The Arizona Department of Veterans' Services (ADVS) received additional General Fund monies in FY20 for its suicide prevention program ($1.2 million) and for a new trauma treatment services training program ($450,000); additionally, ADVS broke ground and began cosntruction of two new 80-bed skilled nursing facilities in Flagstaff and Yuma. ADVS requested funding to fill six additional VBC positions to serve approximately another 10,500 veterans and their families througout the State. These new programs and new facilities require additional resources and result in additional transactions in every area of Administration.

The suicide prevention program (Be Connected) included funding for a coordinator to facilitate work between ADVS, non-governmental organizations working in this initiative and the Federal VA to ensure the successful continuation and expansion of Be Connected; ADVS will contract with a non-profit organization to provide direct services to the veteran population. The trauma treatment services training program will operate as a grants program making the entire appropriation ($450,000) available to uniquely qualified service providors; ADVS will absorb the cost to operate this program.

The establishment of the 80-bed facilities in Flagstaff and Yuma will require the creation and subsequent hiring of 263 FTEs (127 FTEs at each facility plus nine FTEs for oversight and support services). ADVS is currently authorized for 497.3 FTEs and is requesting the addition of 263 FTEs or a 52% increase to operate the two new facilities. In terms of the number of residents, ADVS is increasing the number of beds offered from 320 beds (200 beds in Phoenix and 120 beds in Tucson) to 480 beds (an additional 80 beds in Flagstaff and 80 beds in Yuma) or a 50% increase. Currently, ADVS serves approximately 280 residents (162 residents in Phoenix and 118 residents in Tucson) or 87% occupancy, but ADVS is working to increase its occupancy rate to at least 93% (446 out of 480 beds), which means a 59% increase in the number of residents served. Independently of how the data is analyzed, ADVS must prepare for a significant increase (at least 50%) in the volume of transactions, personnel and services provided to residents of the State Homes for Veterans.

ADVS is also requesting funding to fill six currently unfunded, unfilled VBC positions; ADVS has 30 VBC positions filled, which means a 20% increase in the number of VBCs serving veterans and their families throughout the State. These VBCs will also require support services from Administration and will also generate a proportionate increase in the number of transactions processed by each section in Administration.

Solutions:

ADVS developed staffing plans for the two new State Homes for Veterans in Flagstaff and Yuma to create and fill all needed positions in a timely basis, ensuring that positions are not filled too early either. ADVS will stagger hiring of the various positions needed to enhance all its policies, procedures and guidelines for new employees in new locations before those employees begin. Since managers and hiring supervisors should be able to select their teams and plan for their hiring as each location serves more veterans, ADVS will select those hiring managers following a hiring plan to ensure success according to the hiring plan.

Added transactions result from increased resources, including higher budgets and responsibilities for managing those budgtes; therefore, ADVS has begun a training program for Assistant Deputy Directors in each Division including each State Home for Veterans Administrator to ensure that accurate financial information, interpreted correctly, is made available to each Division Head promptly. In that manner, decisions can be made more effectively and individuals can be held accountable for those decisions while promoting an agency enterprise approach to the administration of available resources.

This proposal is directly related to the Department’s goals to “Support significant increases in veterans' services through management of staff, funding and effective communication.”

Issue 4 Become Arizona's Proven Top Choice for Veterans' Services

Description Approximately 13% of Arizona's population is veterans (around 500,000); this number does not include service members or families. The Arizona Department of Veterans' Services (ADVS) has 42 VBC positions, but only 30 of them are funded and filled. These employees serve over 52,900 veterans and their families each year (seven appointments per work-day, each VBC). However, many veterans and their families encounter barriers to accessing VBC services. The barriers include: distance, lack of transportation, lack of internet access for Virtual VBC appointments, long wait-times for an appointment (in some locations, as much as three weeks), VBCs having to turn away walk-in clients because they are already seeing other clients (appointments are offered), socioeconomic status and unawareness of VBC services.

VBCs are essential to carry out ADVS's mission by providing critical information, counsel, advocacy and assistance to Arizona veterans, their dependents and survivors. VBCs develop and file veterans' claims for benefits in the areas of disability, pension, insurance, education, home loans, social security, burial and other social services. VBCs, in fulfilling their responsibilities successfully, are able to generate Federal VA payments into the Arizona economy that may not be claimed otherwise. VBCs assistance to veterans bring over $50 million each month or over $600 million each year.

Solutions:

ADVS is requesting funding to fill six additional VBC positions. These VBCs will be able to serve an additional 10,500 veterans and families each year (seven appointments per work-day, each VBC). ADVS will place the additional VBCs in strategic locations throughout the State, reducing the barriers veterans encounter to receive services from ADVS. The six new VBCs will be probably located in: Anthem, Chinle, Davis Monthan, Holbrook, Quartzite and Tuba City. Additionally, based on needs or requests, VBCs provide services at itinerate locations throughout the State on a less than daily basis (one or two days per week, monthly or as needed). The additional VBCs will bring into Arizona's economy around $10 million each month or $120 million each year for a total $720 million annually when combined with the monies currently brought by the 30 VBCs working for ADVS.

Additionally, ADVS redesigned its Military Family Relief Fund processes to expedite applicants' emergency payments, ADVS will amend the Road Map to Veteran employment, ADVS will develop and deploy an improved complaint process and initiate headstone alignment projects in all three State Veterans' cemeteries.

This proposal is directly related to the Department’s Goal to “Become Arizona's Proven Top Choice for Veterans Services” and to the Department’s Objective to “Eliminate Barriers to Quality Service.”

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	760.3	760.3	760.3
General Fund	8,267.1	8,267.1	8,267.1
Other Appropriated Funds	61,192.3	61,192.3	61,192.3
Non-Appropriated Funds	4,093.3	4,093.3	4,093.3
Federal Funds	789.5	789.5	789.5

Program Summary

ADMINISTRATION

Luis A. Marquez, Assistant Deputy Director
Phone: (602) 234-8419
A.R.S. §§ 41-601 et. seq.

Mission:

To provide effective and accurate services to those with whom we partner and support.

Description:

Administration includes the Director's office, Financial Services (including Grants Administration and Compliance Auditing), Information Technology, Human Resources, Loss Prevention, Capital Projects Management and Purchasing which provide administrative support services and oversight for Veterans' Benefits Counselors, State Homes for Veterans, State Veterans' Cemeteries and all other Department services to Veterans and their families.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,175.4	2,343.7	2,343.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,771.7	1,467.0	1,467.0
Total Funding	**3,947.1**	**3,810.7**	**3,810.7**
FTE Positions	**46.8**	**46.8**	**46.8**

◆ **Goal** 1 To Establish Two New State Homes for Veterans

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of construction milestones met. Contruction began in FY 2020	0	0	n/a	50.0	100.0

◆ **Goal** 2 To Bring Staffing to Desired Levels

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Agency vacancy rate expressed as a percentage	0	0	17.1	10.0	8.0

◆ **Goal** 3 To Utilize Budget more Effectively

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Dollar value of discounts taken.	0	0	34,000	40,000	45,000

Program Summary

VETERANS' SERVICES

R. Scott Fincher, Assistant Deputy Director
Phone: (602) 234-8432
A.R.S. §§ 41-603 et. seq.

Mission:

To serve Arizona veterans and their families with information and assistance in securing their rightful benefits provided by state and federal law.

Description:

The Veterans' Services Division provides a network of Veterans Benefits Counselors (VBCs) who give information, counsel, and assistance to veterans, their dependents, and survivors. There are 15 offices in Arizona providing information on federal and state benefits, which have been earned by honorable service in the armed forces of the United States. VBCs develop and file claims for federal and state benefits in areas of disability, pension, insurance, burial, education, home loan, social security, and other social services.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,722.0	4,517.9	4,992.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,605.7	2,744.0	2,744.0
Total Funding	**4,327.6**	**7,261.9**	**7,736.1**
FTE Positions	**57.0**	**57.0**	**57.0**

◆ **Goal** 1 To Increase Federal VA Dollars Leveraged by ADVS.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Federal VA Compensation & Pension Benefits Paid Monthly in Millions of Dollars to Veterans & Families Utilizing ADVS.	43.6	45.0	49.7	50.0	52.0

Explanation: Monthly dollar amount in millions as reported by Federal VA and sent to Arizona Veterans and/or Spouses and families with ADVS or American Legion Power of Attorney.

◆ **Goal** 2 To Eliminate Barriers to Quality Service.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Veterans and Families Provided Direct Service from ADVS	3,468	3,500	16,585	17,000	17,500

Explanation: Number of (clients) Veteran/Spouse/family member directly benefiting from agency services. (Veteran Benefits Counselors (VBC), State Veteran Cemeteries, Veterans Donation Fund (VDF), Military Family Relief Fund (MFRF), Emails responded to via website).

Vacancy rate for VBC's presented as a percentage.	0	0	0	0	0
Agency complaints (not tracked until FY 2020)	0	0	n/a	TBD	TBD

◆ **Goal** 3 To Increase the Number of Pre-Crisis Interventions.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of cases resolved at Be Connected (tracking began in FY 2020)	0	0	n/a	80	80
Number of crisis calls for the year	0	0	9,110	TBD	TBD

Program Summary

STATE VETERANS' HOMES

John F. Scott, II, Deputy Director
Phone: (602) 234-8416
A.R.S. § 41-608.01

Mission:

To serve America's heroes by providing compassionate, professional care in a comfortable home-like environment.

Description:

The first Arizona State Veteran Home (ASVH) was opened in 1995 in Phoenix. The mission is to provide integrated health services that maximize the quality of life for each resident and allow residents to function at their highest level. That facility has designated 150 beds as skilled nursing care and 50 beds for a specialized wandering/dementia unit. The Tucson Home was opened in 2012 and provides 120 additional skilled nursing care beds to veterans in southern Arizona. The final critically needed approval by the U.S. Department of Veterans Affairs (VA) for the Tucson Home was received June 12, 2012. Arizona Department of Veterans' Services received an award from the US Department of Veterans' Affairs to establish two new State Homes for Veterans' facilities of 80 beds each in Flagstaff and Yuma. The Department broke ground for both facilities in June 2019 and expects their completion by June 2021.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	34,525.5	35,607.9	35,607.9
Other Non Appropriated Funds	1,900.5	18,387.4	18,387.4
Total Funding	**36,426.0**	**53,995.3**	**53,995.3**
FTE Positions	**381.0**	**381.0**	**381.0**

◆ **Goal** 1 To Increase Combined Rating of all State Veteran Homes to an Average of 4.5 Stars

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent Combined Occupancy Rate at State Veteran Homes	90.0	93.0	83.8	93.0	93.0

Explanation: Combined average monthly census expressed as a percentage for each home; Phoenix 200 beds & Tucson 120 beds

Monthly CMS Reporting (began tracking in FY 2020)	0	0	n/a	0	0
Number of criterion met for US News and World Reporting rankings for Nursing Home Facilities (Began tracking in FY 2020)	0	0	n/a	TBD	TBD
Number of nursing hours per resident (began tracking in FY 2020)	0	0	n/a	4.24	4.24
Number of health inspection findings (Began tracking in FY 2020)	0	0	n/a	TBD	TBD

Program Summary

STATE VETERANS' CEMETERIES

R. Scott Fincher, Assitant Deputy Director
Phone: (602) 234-8432
A.R.S. § 41-601.D

Mission:

To provide a final resting place that honors the memory of Arizona veterans and their dependents.

Description:

The Arizona Department of Veterans' Services (ADVS) operates three cemeteries; Southern Arizona Veterans' Memorial Cemetery (SAVMC) in Sierra Vista, State Veterans' Memorial Cemetery (SVMC) in Marana and SVMC in Camp Navajo. SAVMC in Sierra Vista opened in 2002 and was designed to meet the needs of southern Arizona veterans for the next 40 years. SVMC in Marana and SVMC in Camp Navajo were completed and began operations in the later part of FY16.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	801.2	931.3	931.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	434.6	262.3	262.3
Total Funding	**1,235.8**	**1,193.6**	**1,193.6**
FTE Positions	**19.0**	**19.0**	**19.0**

◆ **Goal** 1 To Achieve "Best in Class" Rating in Dignified Burials

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Install Engraved Markers at State Veterans' Cemeteries.	5	3	1.19	3	3

Explanation: Average number of days to install from the time of receipt to installation

Agency Summary

VETERINARY MEDICAL EXAMINING BOARD

Victoria Whitmore, Executive Director
Phone: (602) 542-8150
A.R.S. § 32-2201

Mission:

To protect the health, safety, and welfare of Arizona citizens as well as the welfare of animals by the regulation of veterinarians, veterinary technicians, veterinary premises, and animal crematories.

Description:

The Veterinary Medical Examining Board is responsible for licensing veterinarians, certifying veterinary technicians, licensing veterinary medical premises, and licensing animal crematories. The Board administers examinations for veterinarians and veterinary technicians, inspects all fixed locations for veterinary medical premises and animal crematories, investigates complaints and violations, and takes appropriate regulatory disciplinary action to ensure the public's protection.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	0.0	0.0	0.0
Other Appropriated Funds	448.5	600.0	615.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	**448.5**	**600.0**	**615.0**
FTE Positions	**6.0**	**6.0**	**6.0**

5 Year Plan

Issue 1 To continue to streamline internal processes and offer customers more online options, the agency needs to invest in careful planning and take steps to identify, develop, and launch an e-licensing system that includes improvements for customers and staff users.

Description The agency continually strives to increase efficiency, cost-effectiveness, and customer satisfaction. By providing an online solution for license applications and other needs, all these are expected to be enhanced.

Adding web-based capabilities for licensees to track their continuing education credits, notify the Board of address and employment changes, request license verifications, etc. would significantly improve customer satisfaction and save funds and staff resources. As well, the ability to apply for licenses online and provide payment is a critically needed improvement. As more of our licensees and applicants embrace online activities, the Board wants to be able to address their needs with the most time-efficient and cost effective methods available.

Solutions:

Research on e-licensing systems began in FY16. There are various possibilities open to the agency, including partnering with the American Association of Veterinary State Boards, expanding on the online license renewal system currently under development, and/or procuring e-licensing software. In FY19, the agency began a detailed study of e-licensing/customer management software system options. This includes reviewing costs, successes, and risks of systems used by other states' health care licensing boards and State of Arizona boards. This process is expected to continue in FY20 moving to FY21 for the first needed step of documenting workflows, current systems and agency needs, prior to developing a RFP for an e-licensing system. Besides accepting new applications online with payment, the vision is to offer more online customer services, such as allowing licensees to update their address/employment information online, request license verifications, etc. As well, the back-end of such a system would have a customer (licensee) management component, capability to send group emails (such as renewal reminders), and generate form letters and licenses.

While the Board had planned to create an online license verification ordering/payment option, the Board is now exploring other options partnering with the American Association of Veterinary State Boards (AAVSB) that would provide more economical options. As well, the Board is working with other states' boards to develop a more uniform nationwide system of providing license verifications, to speed the process for licensees wishing to work across state lines.

The agency is working with the American Association of Veterinary State Boards to develop electronic methods for licensees to easily track and maintain records of continuing education completed that is necessary for license renewal.

Issue 2 Veterinary license applicants are required to appear in person to take the required State Veterinary Exam.

Description All veterinary license applicants must pass the State Veterinary Exam, which focuses on jurisprudence and diseases/hazards to animals in Arizona, prior to licensure. The exams are held once per month in Phoenix; many states offer their state exams only quarterly, or less. Many applicants do not reside in Arizona at the time of application; thus, they are required to travel to Phoenix for the exam, creating additional time and financial requirements on the applicant.

Solutions:

In FY17, the Board completed a research project focused on offering State exams at testing centers across the country. This was rejected as being too expensive; thus, other options have been being explored.

The Board recently adopted the plan to partner with the American Association of Veterinary State Boards (AAVSB) where the AAVSB will administer an online exam to applicants. In FY19, Board staff will be developing the process and documentation for use of the new testing system. This new exam method may require Administrative Rule changes that are projected to occur in FY20. The online examinations are projected to be available in FY20-FY21.

Issue 3 To operate more efficiently and cost-effectively, while improving customer service, the transition away from paper documents is critical.

Description The agency has limited space for storing paper documents that must be kept for long timeframes. Keeping those documents safe from fire, flood, etc. is also a concern. The public and licensees increasingly expect instant access to public records via the website and other methods. Electronic management and easy retrieval of documents by staff will increase productivity, allowing more time for direct program-related activities. A project to procure and implement a document imaging/storage system is proposed.

Obtaining a high-quality document imaging/management system would provide many solutions. Retrieving and organizing records would be simplified, creating more efficient internal operations as well as enhanced customer satisfaction, as it is expected that more public records could be provided electronically or posted on the agency's website. Currently, most public records requests involve staff manually pulling a record file, photocopying needed pages, then mailing to the requestor.

Depending on the system obtained, it is possible that record retention management could also be automated by use of an electronic system with storage/destruction capabilities.

Solutions:

Procuring and implementing a document imaging/management system is planned to solve the issues noted and enhance the agency's capability to more quickly respond to public record and Board requests. As most organizations move to electronic documents as the norm, we expect that additional uses would follow in the next few years as well.

The document imaging/management system planning is expected to be developed in FY19-21. Part of the research prior to procuring a vendor involves study of state laws and best practices pertaining to digital records and how such a system could synchronize with an E-licensing system. An enterprise solution offered by the State, if available, will also be considered.

Issue 4 Few resources exist for licensees to seek support and treatment when challeged with substance abuse issues. Currently, Board staff implements and monitors Board Orders for individuals who have been ordered into treatment/monitoring.

Description As part of the Board's mission to ensure that veterinary professionals provide competent care to animals, taking action to assist a professional struggling with substance abuse issues is sometimes necessary. The Board has the statutory authority to develop a monitored treatment program specifically for the agency's licensees and certificate holders, in which they may confidentially enter if no other Board action is pending.

Solutions:

Efforts have been underway to research best practices in regulatory board diversion programs and consider partnerships with other boards to develop a treatment/monitoring program. Upon review, the agency determined that a program specific to each profession was more desirable to licensees. Efforts are underway to launch the new program by mid FY-21 or FY22, depending on funding availability. While costs for treatment, testing, and monitoring will be paid by the licensee, the agency will have expenses related to assistance needed from the program's medical director and staff for expert witness duties and other consultations.

Once implemented, the Board's resources to direct treatment and monitor licensees will be decreased, as the treatment/monitoring program's administrator will take on the majority of that role.

Resource Assumptions

	FY2022 Estimate	FY2023 Estimate	FY2024 Estimate
Full-Time Equivalent Positions	6.0	6.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	638,600.0	650,000.0	650,000.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal** 1 To license veterinarians, veterinary technicians, and premises in accordance with mandated timeframes.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Premises licensed	190	150	207	150	150
Veterinary applications processed	222	200	246	275	295
Veterinary technicians certified	87	70	117	125	125
Administration as a % of total cost	8	8	8	7.5	8
Total number of premise renewals	0	850	852	850	850
Total number of veterinarians licensed annually, including renewals	2,596	2,400	2598	2,675	2420
Total number of veterinary renewals in biennial renewal process. Reinstatements included.	7	2300	2416	10	2500
Total number of technician renewals in biennial process. Reinstatements included.	9	935	1015	5	1000
Total certified technicians	1101	940	1127	1250	1065

◆ **Goal** 2 To rapidly investigate complaints and provide enforcement to protect the public from incompetent service and unprofessional and unethical conduct.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of complaints docketed	125	135	96	125	125
Number of complaints resolved	107	100	114	100	100
Disciplinary actions	12	15	17	15	15
Average number of calendar days from receipt of complaint to resolution	142	160	140	160	160
Number of annual investigations conducted	110	125	114	115	115
Number of investigations resulting in enforcement action	12	15	17	15	15

◆ **Goal** 3 To ensure that licenses are granted to competent professionals with high standards of professional and ethical conduct.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percent of disciplinary actions to number of licensed veterinarians	.5	1	.7	1	1
Total licenses, permits, and certificates issued (excluding renewals)	539	450	612	550	550
Percent of customers responding excellent or good on customer satisfaction survey	99	98	99	98	98

◆ **Goal** 4 To ensure that the rules developed to license pet crematory facilities are met when licensing and thereafter.

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of licenses issued for pet crematory facilities	2	1	2	1	1

Agency Summary

DEPARTMENT OF WATER RESOURCES

Thomas Buschatzke, Director
Phone: (602) 771-8500
A.R.S. §§ 45-101 et seq.

Mission:

To protect, conserve, and enhance Arizona's water supplies by confronting water management challenges in a bold, thoughtful, and innovative manner.

Description:

The Department of Water Resources (DWR) administers the State's water laws through the compilation and analysis of water supply and demand data, coordination of research to augment water supplies for future demand and development of policies that promote conservation and water availability.

DWR defends the integrity of the state water supply by overseeing surface water, groundwater, and Colorado River water supplies. As the technical experts for the state, DWR represents and supports the General Stream Adjudication proceedings and negotiates with national and international partners.

DWR protects Arizona against the loss of life and property through the implementation of the dam safety, flood warning, and floodplain management programs.

Agency Summary: ($ Thousands)

Program	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
➢ AGENCY SUPPORT	7,046.7	6,232.0	6,232.0
➢ WATER RESOURCES AND STATEWIDE PLANNING	21,620.3	86,426.4	96,126.4
➢ DAM SAFETY AND FLOOD WARNING	1,221.8	1,495.3	1,495.3
Agency Total:	**29,888.7**	**94,153.7**	**103,853.7**

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	14,029.8	66,937.7	66,937.7
Other Appropriated Funds	1,131.7	2,444.5	2,444.5
Other Non Appropriated Funds	14,727.3	24,771.5	34,471.5
Total Funding	**29,888.7**	**94,153.7**	**103,853.7**
FTE Positions	**143.0**	**165.0**	**165.0**

Department of Water Resources

Fiscal Year 2020 Strategic Plan 2-pager

Agency Director: Thomas Buschatzke
Strategic Planner: Scott Selin
Last modified: August 12, 2019

ADWR's Vision: Reliable Water Supplies to Meet the Needs of Current and Future Arizonans

Mission: To protect, conserve, and enhance Arizona's water supplies by confronting water management challenges in a bold, thoughtful, and innovative manner

Agency Description: ADWR administers the State's water laws through the compilation and analysis of water supply data, coordination of research to augment water supplies for future demand and development of policies that promote conservation and water availability.

ADWR defends the integrity of the state water supply by overseeing surface water, groundwater, and Colorado River water supplies. As the technical experts for the state, ADWR represents and supports the adjudications proceedings and negotiates with national and international partners.

ADWR protects Arizona against the loss of life and property through the implementation of the dam safety, flood warning, and floodplain management programs.

Executive Summary:

ADWR has identified six priorities to accomplish our mission:
Protect the Colorado River System by taking action to fully implement the Drought Contingency Plan and preparing for the renegotiation of the 2007 interim guidelines.
Support General Streams Adjudication by aligning staffing and resources internally to meet all Court deadlines.
Protect the Life and Property of Arizonans by regularly inspecting those dams that present a potential hazard to life and property.
Improve the Accessibility and Accuracy of Arizona's Water Data by implementing internal processes to ensure both abundant and accurate water data for public and internal use.
Advance Water Planning Priorities by advancing critical groundwater modeling and water conservation priorities.
Recruit, Retain, and Develop Highly Skilled Personnel by evaluating new strategies to enhance our workforce and attract highly skilled candidates needed to achieve our mission.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Protect the Colorado River System	2017	The Drought Contingency Plan (DCP) passed the US Congress and signed by the President. The Arizona State Legislature passed DCP and was signed by the Governor.
2	Support General Streams Adjudication	2017	ADWR recruited additional GIS staff, leveraged outside contractual resources, and is implementing new field technologies to address increasing court assignments and workload.
3	Protect the Life and Property of Arizonans	2017	Inspected 100% of high-hazard dams each year since FY 2017.
4	Improve the Accessibility and Accuracy of Arizona's Water Data	2018	ADWR implemented 7 new data quality milestones, which advanced our data maturity score. Additionally, ADWR exceeded it's target of 85% measurement of index wells by completing 89.8% of planned index well measurements.
5	Advance Water Planning Priorities	2019	ADWR expedited the Executive Order to establish the Governor's Water Augmentation, Innovation, and Conservation Council. Additionally ADWR established new positions to further completion of management plans pursuant to an Auditor General recommendation.
6	Recruit, Retain, and Develop Highly Skilled Personnel	2018	ADWR performed an internal employee engagement initiatives to determine potential issues facing its employees and has begun addressing these issues where possible in hopes that it will alleviate recruiting and retention challenges that ADWR continues to face.

Department of Water Resources

Fiscal Year 2020 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY20 Annual Objectives	Objective Metrics	Annual Initiatives
1	Reduce the risk of Lake Mead falling to critical levels	**% probability of arriving at a critically low Lake Mead elevation of 1,025 feet or lower**	1) Implement components of the DCP, including starting distribution of funding for well infrastructure ($29M), system conservation ($30M), grants for conservation ($2M) 2) Gather data from stakeholders to craft strategy for renegotiation of 2007 Interim Guidelines
2	Meet all court-imposed deadlines	**% of assignments from the Adjudications Court completed by the deadline**	1) Develop visual and project management tools to ensure Adjudications projects are completed before court deadlines 2) Align staffing and resources to prepare for the anticipated Adjudications court assignments
3	Minimize potential loss of life and property due to dam failure	**# of high hazard dams with safety deficiencies**	1) Develop and test a process to address safety deficiencies at unsafe high-hazard potential dams
4	Increase public ability to query and retrieve quality data	**Level of Maturity as rated by a comprehensive model for data management practices**	1) Upgrade ADWR's internal data management and data governance site in accordance with state best practices 2) Load 3 new critical data sets into the Enterprise Data Warehouse
4	Obtain 85% of planned well water level measurements	**% of actual vs planned water level measurements of index wells**	1) Develop and execute training to aid less experienced staff in minimizing well measurement failures 2) Update Standard Work regarding water level measurement
5	Expand and update coverage of groundwater models	**# of Arizona's 42 groundwater basins that are included in an updated groundwater model**	1) Initiate development of 6 new multiyear modeling efforts 2) Initiate multiyear update of 3 outdated models
5	Make progress toward adoption of the 4th Management Plans (MP) for the 5 Active Management Areas	**% of 4th Management Plans adopted**	1) Adopt the Phoenix AMA 4th MP 2) Present draft of Pinal AMA 4th MP to Pinal Groundwater Users Advisory Council and make available for public comment
6	Provide a more competitive classification structure for targeted positions	**% Employee Turnover** **% of ADWR offers accepted by applicants**	1) Rework classification structure for the Hydrologist, Water Resource Specialists, and Engineer classifications 2) Develop strategy for more effective hiring in Legal and IT

Program Summary

AGENCY SUPPORT

Lynne Smith, Deputy Director
Phone: (602) 771-8500
A.R.S. §§ 45-103, 45-105

Mission:

To provide the Department with efficient and cost effective centralized services to assist the Department in meeting its goals.

Description:

Agency Support provides the management support necessary to manage the Department efficiently. This program includes the following functional areas: budget, personnel, fiscal services, payroll, purchasing, mail delivery, copying, facilities, motor pool and information technology.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	5,193.5	4,915.3	4,915.3
Other Appropriated Funds	848.6	1,313.7	1,313.7
Other Non Appropriated Funds	1,004.6	3.0	3.0
Total Funding	**7,046.7**	**6,232.0**	**6,232.0**
FTE Positions	**38.0**	**45.0**	**45.0**

◆ **Goal** 1 To recruit, retain, and develop highly skilled staff

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of ADWR employment offers accepted by applicants	0	0	0	TBD	0
Employee turnover percentage	11.6	0	13.48	10.00	0

◆ **Goal** 2 To increase public ability to query and retrieve quality data

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of new critical data sets loaded into the Enterprise Data Warehouse	0	0	0	3	0
Level of maturity as rated by a comprehensive model for data management practices.	0	0	2.03	2.25	0

◆ **Goal** 3 To evaluate agency performance

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of transactions completed online	17.19	24.00	17.19	25.00	0
Number of accurate media hits about Arizona water sustainability per month	53	24	44	30	0
Number of ADWR newsletter subscribers	6,026	TBD	8,827	12,000	0
Arizona Management System Deployment Percentage	100	100	86	100	0
Arizona Management System implementation score	2	3	2.58	3.40	0

Program Summary

WATER RESOURCES AND STATEWIDE PLANNING

Clint Chandler, Assistant Director
Phone: (602) 771-8500
A.R.S. Title 45

Mission:

To ensure a long-term, safe, sufficient and secure water supply for the state; to develop public policies which promote the efficient use and equitable distribution of water in an environmentally and economically sound manner.

Description:

This program is responsible for managing all surface water rights and groundwater rights. This program develops and implements water management plans, regulates water use, collects data necessary to assess water supplies, and provides technical and administrative support to the Arizona courts presiding over the General Stream Adjudication in Arizona. The program represents the State on Colorado River and interstate water issues and provides technical assistance to water users.

This Program Contains the following Subprograms:

- Groundwater Management
- Surface Water Administration and Adjudication
- Colorado River Management
- Statewide Planning
- Hydrology

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	8,404.6	61,484.0	61,484.0
Other Appropriated Funds	283.0	1,130.8	1,130.8
Other Non Appropriated Funds	12,932.7	23,811.6	33,511.6
Total Funding	**21,620.3**	**86,426.4**	**96,126.4**
FTE Positions	**96.0**	**111.0**	**111.0**

◆ **Goal** 1 To reduce the lead time for processing applications

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Average lead time (in days) for an application for Notice of Intent to Drill a Well	3.66	6	4.27	6	6

◆ **Goal** 2 To track the volume of water deliveries stored by the Water Banking Authority for future use

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Cumulative volume (in acre feet) of water deliveries stored for future use by the Arizona Water Banking Authority	18,817	N/A	38,000	N/A	N/A

Explanation: 2020 target will not be available until December.

Subprogram Summary

GROUNDWATER MANAGEMENT

Clint Chandler, Assistant Director
Phone: (602) 771-8500
A.R.S. §§ 45-104, 45-401 et. seq.

Mission:

To achieve a long-term balance of water supply and demand on behalf of the citizens of Arizona by comprehensively managing, preserving and enhancing the groundwater supplies of the state.

Description:

This subprogram is responsible for developing and implementing groundwater management plans, regulations and grant programs which are designed to reduce groundwater use to meet the goals of the Active Management Areas. This subprogram includes groundwater rights management, well driller licensing and permitting, well construction and registries, and the measurement and monitoring of groundwater use and supplies throughout the state.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	1,645.3	53,739.0	53,739.0
Other Appropriated Funds	374.7	862.2	862.2
Other Non Appropriated Funds	912.6	1,199.9	1,199.9
Total Funding	**2,932.7**	**55,801.1**	**55,801.1**
FTE Positions	**20.0**	**24.0**	**24.0**

◆ **Goal** 1 To improve the accessibiltiy and accuracy of Arizona's water data

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of Phoenix AMA 4th Management Plan Adopted	0	0	0	100.00	0
Present draft of Pinal AMA 4th Management Plan to Pinal Groundwater Users Advisory Council and make available for public comment	0	0	0	100.00	0

Subprogram Summary

SURFACE WATER ADMINISTRATION AND ADJUDICATION

Clint Chandler, Assistant Director
Phone: (602) 771-8500
A.R.S. §§ 45-104, 45-151 et. seq.

Mission:

To ensure a long-term, sufficient and secure water supply for the state by promoting, allocating and comprehensively managing the rights and interests of the state's surface water resources for the citizens of Arizona.

Description:

This subprogram is responsible for issuing permits for the right to use surface water (excluding the Colorado River). This subprogram also maintains accurate water rights registries and records of hydrologic conditions to aid in effective management and planning of surface water supplies. This subprogram provides technical and administrative support to the Arizona courts presiding over the General Streams Adjudication in Arizona.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	2,074.8	2,967.8	2,967.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	12.2	13.5	13.5
Total Funding	**2,087.1**	**2,981.3**	**2,981.3**
FTE Positions	**24.0**	**30.0**	**30.0**

◆ **Goal** 1 To support the General Streams Adjudication

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of assignments from the Adjudications Court completed prior to deadline	100	100	96.00	100.00	0

Subprogram Summary

COLORADO RIVER MANAGEMENT

Clint Chandler, Assistant Director
Phone: (602) 771-8500
A.R.S. §§ 45-104, 45-105(A)(2), 45-107

Mission:

To promote, allocate, protect and comprehensively manage the rights to Colorado River water resources for the citizens of Arizona.

Description:

This subprogram is responsible for negotiating with other states, Native American tribes and the federal government on issues relating to the allocation, uses and protection of Arizona's entitlement of Colorado River water. This subprogram collects and evaluates data and information to support the preparation of recommendations regarding the protection and allocation of Colorado River water. This subprogram monitors and participates in the resolution of environmental issues arising out of Endangered Species Act designations within the Lower Colorado River Basin.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	455.2	489.0	489.0
Other Appropriated Funds	9.7	0.0	0.0
Other Non Appropriated Funds	29.4	14,200.0	23,900.0
Total Funding	**494.3**	**14,689.0**	**24,389.0**
FTE Positions	**5.0**	**5.0**	**5.0**

◆ **Goal** 1 To advocate for policies that lead to conservation of water

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Projected number of feet above shortage declaration for Lake Mead	2.68	0	10.88	TBD	0
Percent probability of a shortage declaration caused by Lake Mead falling below 1,025 feet	0	0	0	0	0

◆ **Goal** 2 To implement the provisions of the Drought Contingency Plan

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Anticipated amount of System Conservation Monies distributed (in millions)	0	0	0	TBD	TBD
Anticipated amount of monies from the Temporary Groundwater Infrastructure Fund distributed pursuant to the Drought Contingency Plan (in millions)	0	0	0	TBD	TBD

Subprogram Summary

STATEWIDE PLANNING

Carol Ward, Deputy Assistant Director
Phone: (602) 771-8500
A.R.S. §§ 45-104, 45-105

Mission:

To propose water management strategies to preserve and enhance water supplies of the state on behalf of, and in partnership with, the citizens of Arizona.

Description:

This subprogram includes data collection and analysis to describe water supply and demand conditions throughout Arizona. Planning investigations performed in this subprogram help to develop, protect and preserve the water supplies for the state.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	3,615.6	3,380.1	3,380.1
Other Appropriated Funds	-101.5	268.6	268.6
Other Non Appropriated Funds	11,810.2	8,334.3	8,334.3
Total Funding	**15,324.4**	**11,983.0**	**11,983.0**
FTE Positions	**40.0**	**43.0**	**43.0**

◆ **Goal** 1 To support the Governor's Water Augmentation, Innovation and Conservation Council

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of meetings supported	0	0	0	TBD	0

Subprogram Summary

HYDROLOGY

Jeffrey Inwood, Assistant Director
Phone: (602) 771-8500
A.R.S. §§ 45-104, 45-105

Mission:

To provide the Agency and citizens with timely and accurate hydrologic data collection and data analysis. The Division serves as the Agency's technical advisor on hydrologic and water resource issues to ensure that public policy is based on sound technical analysis.

Description:

This subdivision collects groundwater, surface water, microgravity and land subsidence data from thousands of wells and monitoring locations throughout the state. This subdivision develops, maintains and updates numerical groundwater flow models for the Active Management Areas and other areas of significant groundwater use. The collected hydrologic data and models are used by the agency to study past and present groundwater conditions: and to project future conditions in many of the major aquifers in the state. The hydrologic data and models assist water managers and other water information-users with both complex and everyday water resource planning and decision making. Hydrologic data, groundwater models and reports are published and available on the agency's website to the general public and water industry professionals.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	613.7	908.1	908.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	168.2	63.9	63.9
Total Funding	**781.9**	**972.0**	**972.0**
FTE Positions	**7.0**	**9.0**	**9.0**

◆ **Goal** 1 To improve the Accessibility and Accuracy of Arizona's Water Data

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Percentage of actual vs planned water level measurements of index wells	0	0	91	93	0

◆ **Goal** 2 To advance water planning priorities

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of Arizona's groundwater basins that are included in an updated groundwater model	0	0	9	TBD	0

Explanation: FY 2020 estimate is still being determined.

Number of multiyear updates initiated for outdated groundwater models	0	0	0	3	0
Number of new multiyear modeling efforts initiated	0	0	0	6	0

Program Summary

DAM SAFETY AND FLOOD WARNING

Ravi Murthy, Chief Engineer
Phone: (602) 771-8500
A.R.S. §§ 45-1401 et. seq., 45-1501 et. seq.

Mission:

To promote the management of floodplains and dams to reduce loss of life and damage to property.

Description:

This program is responsible for inspection and review of non-federal jurisdictional dams for compliance with safety standards, providing assistance to local flood management programs in the administration of the federal National Flood Insurance Program and designing statewide flood warning systems.

Funding:	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
General Funds	431.7	538.4	538.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	790.1	956.9	956.9
Total Funding	**1,221.8**	**1,495.3**	**1,495.3**
FTE Positions	**9.0**	**9.0**	**9.0**

◆ **Goal** 1 To protect the life and property of Arizonans

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of high-hazard dams inspected	108	108	108	108	0

Explanation: The Department's goal is to inspect 100% of its high-hazard dams every fiscal year.

Number of high hazard dams with safety deficiencies	0	0	32	TBD	0

◆ **Goal** 2 To evaluate agency performance

Performance Measures	FY 2018 Actual	FY 2019 Estimate	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
Number of communities assisted with floodplain management programs	39	22	39	22	0

Glossary

Part 1: Budget Terms

90/10 Professional and occupational regulatory agencies funded through the collection of fees and the issuance of licenses. These agencies retain 90% of the fees collected annually in separate agency fund accounts and deposit 10% of the fees collected into the *General Fund*.[1]

A

accountability Monitoring, measuring, and evaluating the performance and progress of policies, plans and programs to ensure that results are achieved.

actual expenditure An expenditure made in the prior *fiscal year* as reported in the State of Arizona Annual Financial Report, including *Personal Services*, *Employee-Related Expenditures*, *All Other Operating Expenditures* and all *below-the-line items* as authorized by the Legislature.

administrative adjustment Adjustments made to reflect expenditures made by an agency after the close of the *fiscal year*. Administrative adjustments include the time period from the close of the 13th month to June 30 of the next fiscal year.

administrative cost An expense associated with the support, management and oversight of services delivered pursuant to the agency or program *mission*. Typical administrative costs include those associated with accounting, human resources, budgeting, strategic planning, public information, auditing, executive management, etc.

AFIS The Arizona Financial Information System is the statewide accounting system maintained by the Department of Administration.

AHCCCS The Arizona Health Care Cost Containment System is the State's Medicaid program designed to deliver quality managed healthcare to qualifying individuals.

All Other Operating Expenditures (AOOE) Category of expenditure accounts that include Professional and Outside Services, In-State Travel, Out-of-State Travel, Food, *Other Operating Expenditures*, and *Equipment*.

ALTCS The Arizona Long Term Care System is a single federally defined program providing services through two State agencies: AHCCCS, which serves the elderly and physically disabled, and the Department of Economic Security (DES), which serves the developmentally disabled.

annualization An adjustment, made to the current year funding base, that will allow a partially funded program to operate for a full year or accounts for a full-year of budget savings due to mid-year reductions.

appropriated fund The Legislatively mandated segregation of funds. It is used and monitored by the *General Accounting Office* as a separate self-balancing set of accounts.

Arizona Administrative Code (AAC) State agency rules of practice setting forth the nature and requirements of all formal procedures available to the public.

Arizona Revised Statutes (A.R.S.) The laws governing the State of Arizona.

B

base budget An adjusted budget base that reflects the current year appropriation, amended to include changes for *standard operating adjustments*.

below-the-line item A specific expenditure or budgetary account that has been singled out through the appropriation process to provide high visibility of expenditure. Also known as "special line item."

biennial budgeting A process that estimates revenues and appropriates funding for a two-year period.

block grant Allocations of federal money to a state or its subdivisions in accordance with a distribution formula prescribed by law or administrative regulation, for activities of a continuing nature within a restricted subject area (e.g., social services, maternal and child health, and childcare).

budget A financial plan that estimates the revenues and expenditures for a given period of time. (SEE ALSO: *capital outlay* and *operating budget*).

budget program Functions and activities of a *budget unit* or within a budget unit that are pre-planned to fulfill a distinct *mission*.

budget reform legislation Refers to the provisions contained in Laws 1993, Chapter 252; Laws 1994, Chapter 218; Laws 1995, Chapter 283; Laws 1996, Chapter 339; Laws 1997, Chapter 210, and Laws 2002, Chapter 210.

budget unit A department, commission, board, institution or other State organization receiving, expending, disbursing or incurring obligations against State funds.

C

capital outlay Expenditures for upkeep, preservation, development, improvement or acquisition of lands, buildings or certain associated equipment.

Capital Outlay Stabilization Fund (COSF) A fund into which rent monies collected from agencies occupying State-owned rental space are deposited. The monies partially offset building operating and maintenance costs.

Career and Technical Education Districts (CTEDs) Formerly known as "Joint Technical Education Districts (JTEDs)", are school districts that offer high school career and technical education programs to partner school districts.

[1] Italicized terms are defined in this Glossary.

categorical eligibility Automatic eligibility for certain federal-State matched public assistance programs, based on criteria established in federal law. Admission to a program (e.g., Medicaid) is mandatory to certain groups of beneficiaries who meet the legal criteria for eligibility to the specified program.

categorical program A broad category of joint federal-State public assistance programs that provide financial assistance to individuals or that may subsidize a particular activity (e.g., Medicaid pays for medical services on behalf of certain groups of low-income persons).

certificate of participation (COP) A financing tool used by the State for the acquisition and construction of State facilities.

comptroller object An obsolete identifier that was formerly used in the statewide accounting system to identify the detailed revenue or expenditure account affected by a transaction; replaced in the new accounting system by *object*.

continuing appropriation An appropriation that is automatically renewed without further Legislative action, period after period, until altered, revoked or liquidated by expenditure.

current services budget A financial plan that incorporates the *base budget* needs of an agency and the addition of funding to support demographic growth in client caseloads and workload functions.

D

decision package A funding request made by State agencies.

defined contribution A predetermined contribution amount set aside for an employee's future retirement.

defined benefit plan A retirement plan in which contributions over time will provide a retiree with a predetermined amount of retirement income.

detail fund A fund designation used in the statewide accounting system to segregate agency-specific activity. The balance of an *appropriated fund* is comprised of the sum of all of its detail funds.

Disproportionate Share Hospital (DSH) A hospital that serves a disproportionate share of low-income and Medicaid patients, thereby qualifying for federal aid pursuant to Section 1923 of the Social Security Act. The federal basis for payments is either a reflection of a hospital's number of Title XIX in-patient days or a "low-income" utilization rate. States may also establish optional payment categories. Arizona has established optional groups that include county, State and private hospitals.

E

Employee-Related Expenditures (ERE) The State's contribution to an employee's benefit package. ERE include FICA; retirement; Worker's Compensation; health, dental, and life insurance; unemployment insurance; Personnel Division charges; Government Information Technology Agency charges; and uniforms for certain classes of employees.

entitlement program A broad category of *categorical* public assistance programs that provide services (e.g., cash assistance, medical services, etc.) to certain population groups (e.g., low-income families with minor children). Admission is often mandatory for qualified individuals who meet the legal eligibility criteria (e.g., individuals who are low-income and aged, blind or disabled), hence the reference "entitlement."

Equipment In the operating budget, a specific item of expenditure divided into capitalized equipment (purchased for $5,000 or more) and non-capitalized equipment (usually between $300 and $4,999).

ERE rate The quotient of *Employee-Related Expenditures* and *Personal Services* expressed as a percentage.

Executive Issue An adjustment to the prior-year appropriation to change the scope of current programs or service levels.

expenditures See *actual expenditures*.

F

federal funds Amounts collected and made available to the State by the federal government, usually in the form of categorical or block grants and entitlement programs.

Federal Insurance Contribution Act (FICA) Requires employees and employers to make matching contributions into the Social Security fund.

Federal Waiver Program Experimental, pilot or demonstration projects that, in the judgment of the Secretary of the U.S. Department of Health and Human Services, are likely to assist in promoting the objectives of the Medicaid Statute. Projects approved under this authority are referred to as "waiver" programs.

fiscal year The State's yearly accounting period beginning July 1 and ending June 30. (The federal fiscal year begins October 1 and ends September 30.)

FPL (Federal Poverty Level) Refers to the poverty guidelines, in relation to income standards, as updated annually in the FEDERAL REGISTER by the U.S. Department of Health and Human Services.

free and reduced lunch (FRL) Meals provided at no cost or low-cost to public and nonprofit private schools and residential child care institutions through the federal meal assistance program known as the National School Lunch Program.

full-time equivalent (FTE) position A position budgeted at 2,080 hours per year.

fund An independent fiscal and accounting entity with a self-balancing set of accounts recording cash and/or other resources together with all related liabilities, obligations, reserves and equities, which are segregated for the purpose of carrying on specific activities in accordance with limitations, restrictions or regulations.

fund balance The excess of the assets of a fund over its liabilities and reserves.

G

General Accounting Office (GAO) A division of the Department of Administration that provides diverse statewide financial services and ensures compliance with related *statutes* and rules.

General Fund The primary State account into which monies are collected for the general purposes of government. The primary sources of revenues for the General Fund include sales taxes, income taxes and other taxes and transfers. The General Fund is also the major expenditure source from which agencies make payments for specified purposes.

I

inflation An allowance made for an increase in price levels of operating expenditures from one *fiscal year* to the next.

input A *performance measure* that identifies the amount of resources needed to provide particular products or services.

J

JLBC Staff The Legislative counterpart to the Governor's *Office of Strategic Planning and Budgeting (OSPB)*. The Joint Legislative Budget Committee Staff is often referred to as the JLBC but should not be confused with the Legislative committee of the same name. The JLBC Staff prepares an analysis of the Executive Budget as soon as it is presented to the Legislature. The analysis includes the JLBC Staff's recommendations for revisions in expenditures.

Joint Committee on Capital Review (JCCR) A Legislative committee created by Laws 1986, Chapter 85, to establish the Building Renewal Formula, approve the creation of Building Systems, and review the State Capital Improvement Plan. The JCCR is also responsible for reviewing all construction projects before commencement of the project. The JCCR consists of the following 14 members of the Legislature: Chairs of the House and Senate Appropriations Committees, majority and minority leaders from the House and Senate, four members of the House Appropriations Committee, and four members of the Senate Appropriations Committee.

Joint Legislative Budget Committee (JLBC) A Legislative committee consisting of the following 16 members of the Legislature: Majority Leaders of both the House and Senate; Chairs of both the House and Senate Appropriations Committees; Chair of the Senate Finance Committee; Chair of the House Ways and Means Committee; five members of the House Appropriations Committee; and five members of the Senate Appropriations Committee. The JLBC meets as often as is necessary to transact business related to fiscal management of the State's resources.

Joint Substance Abuse Treatment Program (JSAT) Also known as "Arizona Families First," JSAT is a substance abuse program jointly administered by the Department of Child Safety and the Department of Health Services. The program pays for services to parents, guardians or custodians whose substance abuse is a significant barrier to preserving the family. Services can also be provided to federal Temporary Assistance for Needy Families (TANF) Block Grant recipients whose substance abuse is a significant barrier to obtaining or maintaining employment.

L

lapsing appropriation An appropriation that terminates automatically. Except for a *continuing appropriation*, an appropriation is made for a certain period of time, generally one year. At the end of this period (including an *administrative adjustment* period), unexpended or unencumbered balances revert to the fund from which the appropriation was made. Also known as a "reverting appropriation."

line item appropriation A method of appropriation that separates the budget into specific objects of expenditure. The specific items include *Personal Services*, *ERE*, Professional and Outside Services, In-State Travel, Out-of-State Travel, Food, *Other Operating Expenditures*, and *Equipment*.

lump-sum appropriation An appropriation made for a stated purpose, or for a named department, without specifying further the amounts that may be spent for specific activities or for particular objects of expenditure.

M

Master List of State Government Programs *Budget reform legislation* requires *OSPB* to publish a "Master List" of programs run by or overseen by State government. Laws 2002, Chapter 210 slightly changed the format of the Master List and designated this annual submittal as the operational plan for State agencies and conformed to the budget cycles. Required information for each agency, program and subprogram includes the agency description, *mission* statement, strategic issues, and financial and *FTE* position information, as well as the description, *mission* statements, goals, and *performance measures* for all programs and subprograms.

means-tested program Eligibility to a public assistance program restricted by an applicant's income or other resources specified by law. Resources include bank accounts and similar liquid assets as well as real estate, automobiles and other personal property whose value exceeds specified financial limits.

mission A brief, comprehensive statement of purpose of an agency, program, or subprogram.

modified lump-sum appropriation A method of appropriation in which *Personal Services*, *Employee-Related Expenditures*, *All Other Operating Expenditures* and *below-the-line items* are specified in the appropriations bill.

modified standard adjustment The difference, as calculated by the agency, between the actual *Personal Services* base and the amount allocated for Personal Services by the agency in its expenditure plan. Any amount identified as a modified standard adjustment must be explained by the agency requesting the adjustment.

N

non-appropriated funds Generally, funds set up as Enterprise or revolving funds. These funds are considered statutorily appropriated and are not subject to the annual or biennial appropriation process.

non-lapsing appropriation An appropriation that does not revert to the fund from which it was appropriated at the end of the *fiscal year*, as provided by law. (SEE *continuing appropriation*).

O

object The unit used in the State accounting system to identify, categorize and group governmental expenditures.

object category The aggregation of similar objects of expenditure or revenue in the State accounting system.

objective A specific and measurable target for accomplishing goals.

one-time adjustment A budget adjustment that must be made because of a one-time circumstance that is not continued through the next *fiscal year*. The end of a project would bring about a one-time decrease the following year.

operating budget A plan of all proposed expenditures other than capital expenditures (SEE *capital outlay*). An operating budget is composed of various objects of expenditure, such as *Personal Services*, *Employee-Related Expenditures*, In-State Travel, etc.

operational plan A practical, action-oriented guide that directs goal-setting to achieve meaningful results with the existing resources through the shorter budget cycle period. The operational plan should provide incremental steps towards achieving the strategic long-range plan. See also: *Master List*

OSPB (Office of Strategic Planning and Budgeting) A State agency charged with preparing the Governor's budget guidelines and the Executive Budget recommendation for review by the Governor. The Office also facilitates a strategic planning process for State government and is responsible for implementing many of the provisions of *budget reform legislation*. The OSPB staff is the Executive counterpart to the *JLBC Staff*.

other appropriated funds All amounts, excluding *General Fund* amounts, appropriated by the Legislature for predetermined uses. These include Special Revenue Funds, revolving funds, etc.

other operating expenditure According to the ARIZONA ACCOUNTING MANUAL, everything using an object code of 7000. This refers to operating expenditures necessary to operate a budget unit, e.g., office supplies, utilities, communication, etc.

outcome A *performance measure* that reflects the actual results achieved, as well as the impact or benefit, of a program.

output A *performance measure* that focuses on the level of activity in a particular program or subprogram.

P

per diem compensation Compensation paid to board or commission members for their work. Per diem compensation is a daily rate set statutorily.

per diem travel Cost of meals and incidentals reimbursed to employees and board or commission members.

performance accountability A means of judging policies and programs by measuring their progress toward achieving agreed-on *performance targets*. Performance accountability systems are composed of three components: defining performance measures (including outcomes), measuring performance and reporting results.

performance measure Used to measure results and ensure accountability. (SEE ALSO: *input*, *output*, *outcome*, and *quality*).

performance target Quantifiable estimate of results expected for a given period of time.

personal services Line item of expenditure for salaries and wages paid to employees, elected officials and board or commission members. Payments for leave categories, overtime and other miscellaneous earnings are also recorded in this line item.

privately owned vehicle (POV) Those miles to be used in calculating reimbursement of staff for use of private vehicles on State business.

privatization The opening of government markets allowing for equitable competition between the private and public sectors for the privilege of delivering services to the public.

program budgeting A budget system that focuses on program *missions*, program achievements, and program cost effectiveness. Pursuant to *statute*, the *program structure* for program budgeting is governed by the *Master List* structure. Program budgeting is linked to planning and *accountability* through alignment of the structures and merging of the planning and budget information.

program enhancement An upward revision in the funding level of a specific program in order to enhance the level of services being provided by that program.

program structure An orderly, logical arrangement of an organization's programs and subprograms. This structure provides the framework for planning, budgeting and strategic program authorization review.

Proposition 105 Voter Protection Act A 1998 voter-approved constitutional amendment that prohibits the Legislature from amending or repealing voter-approved referendums except under certain circumstances. Amendments to voter-approved language may only be passed by a three-fourths vote of the Legislature and must further the original intent of the voter-approved measure.

Proposition 108 A 1992 voter-approved constitutional amendment that requires a two-thirds vote of the Legislature to increase state revenues through taxation.

Proposition 123 Arizona Education Finance Amendment A 2016 voter-approved constitutional amendment that increased the total state land trust distribution contribution to the Permanent State School Fund from 2.5% to 6.9% to pay for new school construction debt service, school maintenance and operations, and Classroom Site Fund distributions.

Proposition 204 Medical Program A 2000 voter-approved *AHCCCS* program that expands eligibility to include individuals whose annual incomes are at or below 100% of the *FPL*. The program is funded through monies received by the State from the tobacco litigation settlement, tobacco tax funds, and the Hospital Assessment Fund.

Proposition 206 A 2016 voter-approved initiative that provides a series of increases in the Arizona minimum wage for private-sector employees and entitles most Arizona wage earners and salaried employees to paid sick leave.

Proposition 301 A 2000 voter-approved initiative that dedicates a six-tenths of a cent sales tax to Arizona education programs. The original Proposition 301 was set to expire in 2021; it was renewed legislatively until June 30, 2041 by Laws 2018, Chapter 74.

Q

quality A *performance measure* that reflects the effectiveness in meeting the expectations of customers and stakeholders.

R

receipt Unless otherwise defined, cash received. There are five general categories of receipts: taxes, licenses and permits, charges for services, fines and forfeitures, and other receipts that do not fall into another category.

resource allocation Determination and allotment of resources or assets necessary to carry out strategies within the priority framework established in the goal-setting process.

results-based funding An incentive program that rewards top performing public schools with funding for teacher salary increases, teacher professional development, and replication.

revenue Additions to assets that do not increase any liability, do not represent the recovery of an expenditure, do not represent the cancellation of certain liabilities without a corresponding increase in other liabilities or a decrease in assets, or do not represent contributions of fund capital in Enterprise and Intergovernmental Service Funds.

revenue source The tax, fee or fine that generates income to a fund.

risk management The charges assessed by the Department of Administration to guard against the risk of loss by an employee or agency acting on behalf of the State of Arizona.

S

special line item See *below-the-line item*

standard adjustment Change to the current year's appropriation to arrive at the new year's base budget. Examples include annualization of programs partially funded during the current year, annualization of the pay package, restoration of vacancy savings, and one-time increases and decreases.

standard operating adjustment An adjustment to the base budget that includes annualization of programs partially funded by the Legislative appropriation during the current year; a one-time increase or decrease to the operating budget.

State service All offices and positions of employment in State government except offices and positions specifically exempted by law from the State personnel system.

statute A written law, either new or revised, enacted by the Legislature and signed by the Governor.

strategic management Process of positioning an organization so it can prosper in the future. The overall framework within which policy development, strategic, operational, quality planning, budgeting, capital outlay planning, information technology planning, program implementation, and evaluation and accountability take place.

strategic plan A visionary guide, based on an examination of internal and external environmental and political factors, that directs goal-setting and future resource requirements to achieve meaningful results over time. Strategic projections are long-range and usually cover a five-year period.

subprogram An integral component of a program that can be separately analyzed to gain a better understanding of the larger program.

subtask In AFIS, the element used to represent each of the subprograms of an agency as established by the Governor's Office and Legislature.

supplemental appropriation An appropriation granted for the current fiscal year. Agencies request a supplemental appropriation when the need for funding is urgent and cannot wait for the passage of the next regular appropriations act.

T

task In AFIS, the element used to represent each of the programs of an agency as established by the Governor's Office and Legislature.

tracking system A system that monitors progress, compiles management information and keeps goals on track.

U

uniform allowance An amount budgeted for specific agencies for the cost of uniforms required by the agency.

V

vacancy savings Savings generated by not filling vacant positions, by not filling newly authorized positions, or by filling a vacant position at a lower grade or step.

Glossary

Part 2: Acronyms

A.R.S. Arizona Revised Statutes

AAC Arizona Administrative Code

ABOR Arizona Board of Regents

ACC Arizona Corporation Commission

ACDHH Arizona Commission for the Deaf and Hard of Hearing

ACJC Arizona Criminal Justice Commission

ACJIS Arizona Criminal Justice Information System

ACW Arizona Center for Women

ADA Americans with Disabilities Act

ADE Arizona Department of Education

ADJC Arizona Department of Juvenile Corrections

ADM Average Daily Membership

ADMIN Administration

ADOT Arizona Department of Transportation

ADP Average Daily Population

AERB Agriculture Employment Relations Board

AFDC Aid for Families with Dependent Children

AFIS Arizona Financial Information System

AG Attorney General

AGFD Arizona Game and Fish Department

AHCCCS Arizona Health Care Cost Containment System

AHS Arizona Historical Society

AIDA Arizona International Development Authority

AIMS Adult Inmate Management System

ALTCS Arizona Long-Term Care System

AMA Active Management Area

ANSAC Arizona Navigable Streams Commission

AOC Administrative Office of the Courts

AOOE All Other-Operating Expenditures

APF Automation Projects Fund

APP Aquifer Protection Permit

APS Adult Protective Services

ARF Automation Revolving Fund

ARRT American Registry of Radiological Technologists

ASDB Arizona School for the Deaf and the Blind

ASET Arizona Strategic Enterprise Technology

ASH Arizona State Hospital

ASMI Arizona State Mine Inspector

ASPC Arizona State Prison Complex

ASPT Arizona State Parks and Trails

ASRS Arizona State Retirement System

ASU Arizona State University

ATA Automobile Theft Authority

ATDA Arizona Technology Development Authority

AVSC Arizona Veterans' Service Commission

AZAFIS Arizona Automated Fingerprint Identification System

AZEIP Arizona Early Intervention Program

AZGS Arizona Geological Survey

AZPOST Arizona Peace Officer Standards and Training

BIFO Border Infrastructure Finance Office

CAE Commission on the Arizona Environment

CAP Central Arizona Project

CAP Child Abuse Prevention

CBHS Children's Behavioral Health Services

CCDF Child Care Development Fund

CEDC Commerce and Economic Development Commission

CERF Collection Enforcement Revolving Fund

CHC Community Health Center

CHILDS Children's Information Library and Data Source

CIS Client Information System

CJEF Criminal Justice Enhancement Fund

CLIA Clinical Lab Inspections Act

CMDP Comprehensive Medical and Dental Plan

CMR Classification Maintenance Review

CMS Centers for Medicare and Medicaid Services

COP Certificate of Participation

COSF Capital Outlay Stabilization Fund

CPS Child Protective Services

CRIPA Civil Rights of Institutionalized Persons Act

CRS Children's Rehabilitative Services

CSB Central Services Bureau

CSMS Combined Support Maintenance Shop

CSO Correctional Service Officer

CTED Career & Technical Education District

CTS Captioned Telephone Service

CWA Clean Water Act

CWRF Clean Water Revolving Fund

DAAS Division of Aging and Adult Services

DBME Division of Benefits and Medical Eligibility

DCS Department of Child Safety

DCSS Division of Child Support Services

DCYF Division of Children, Youth and Families

DD Dually Diagnosed or Developmentally Disabled

DDD Division of Developmental Disabilities

DDSA Disability Determination Services Administration

DEA Drug Enforcement Account

DEMA Department of Emergency and Military Affairs

DEQ Department of Environmental Quality

DERS Division of Employment and Rehabilitative Services

DES Department of Economic Security

DFI Department of Financial Institutions

DHS Department of Health Services

DJC Department of Juvenile Corrections

DOA Department of Administration

DOC Arizona Department of Corrections

DOI Department of Insurance

DOR Department of Revenue

DPS Department of Public Safety

DRE Department of Real Estate

DSH Disproportionate Share Hospital

DUI Driving Under the Influence

DWR Department of Water Resources

EAC Eligible Assistance Children

EDP Electronic Data Processing

EEO Equal Employment Opportunity

ELAS Education Learning and Accountability System

ELIC Eligible Low-Income Children

EMS Emergency Medical Services **EMSCOM** Emergency Medical Services Communications

EMSOF Emergency Medical Services Operating Fund

EPA Environmental Protection Agency

EPSDT Early Periodic Screening, Diagnostic, and Testing

ERE Employee-Related Expenditures

FES Federal Emergency Services

FFP Federal Financial Participation

FHAMIS Family Health Administration Management Information System

FICA Federal Insurance Contribution Act

FMAP Federal Matching Assistance Percentage

FMCS Financial Management Control System

FPL Federal Poverty Level

FTE Full-Time Equivalent

GAAP Generally Accepted Accounting Principles

GADA Greater Arizona Development Authority

GAO General Accounting Office

GDP Gross Domestic Product

GIITEM Gang and Immigration Intelligence Team Enforcement Mission

GITA Government Information Technology Agency

H.B. House Bill

HAP Hazardous Air Pollutant

HCBS Home and Community Based Services

HI Hearing Impaired

HMO Health Maintenance Organization

HRMS Human Resource Management System

HUD Housing and Urban Development

HURF Highway User Revenue Fund

ICA Industrial Commission of Arizona

ICAC Internet Crimes Against Children

IGA Intergovernmental Agreement

IHS Indian Health Service

IM 240 Inspection and Maintenance 240 Second Emission Test

IOCC Inter-State Oil Compact Commission

IP-CTS Internet Protocol-Captioned Telephone Service

IRM Information Resource Management

IRMG Information Resource Management Group

ISA Intergovernmental Service Agreement

ISD Information Services Division

ISP Institutional Support Payments

IT Information Technology

ITAC Information Technology Authorization Committee

IV&V Independent Verification and Validation

JCCR Joint Committee on Capital Review

JCEF Judicial Collection Enhancement Fund

JLBC Joint Legislative Budget Committee

JOBS Job Opportunity and Basic Skills

JTED Joint Technical Education District

LAN Local Area Network

LES Licensing and Enforcement Section

LGIP Local Government Investment Pool

LTC Long Term Care

MAG Maricopa Association of Governments

MAO Medical Assistance Only

MARS Management and Reporting System

MD Multiply Disabled

MDSSI Multiply Disabled Severely Sensory Impaired

MEDICS Medical Eligibility Determinations and Information Control System

MIPS Million Instructions per Second

MIS Management Information System

MNMI Medically Needy Medically Indigent

MVD Motor Vehicle Division

NADB North American Development Bank

NAFTA North American Free Trade Agreement

NAIC National Association of Insurance Commissioners

NAU Northern Arizona University

NLCIFT National Law Center for Inter-American Free Trade

NRCD Natural Resource Conservation District

OAH Office of Administrative Hearings

OGCC Oil and Gas Conservation Commission

OPM Office of Pest Management

OSHA Occupational Safety and Health Administration

OSPB Office of Strategic Planning and Budgeting

PAS Prior Authorization Screening

PASARR Pre-admission Screening and Annual Resident Review

PDSD Phoenix Day School for the Deaf

PERIS Public Employee Retirement Information System

PIJ Project Investment Justification

POV Privately Owned Vehicle

PRWORA Personal Responsibility and Work Opportunity Reconciliation Act of 1986

PS Personal Services

PSPRS Public Safety Personnel Retirement System

QMB Qualified Medicare Beneficiary

QTR Qualified Tax Rate

RARF Regional Area Road Fund

RCF Registrar of Contractors Fund

REDI Rural Economic Development Initiative

REM Retain, Eliminate or Modify

RIF Reduction-in-Force

RMIS Risk Management Information System

RMRF Risk Management Revolving Fund

ROC Registrar of Contractors

RTC Residential Treatment Center or Return to Custody

RUCO Residential Utility Consumer Office

S.B. Senate Bill

SAMHC Southern Arizona Mental Health Center

SAVE Systematic Alien Verification for Entitlements

SBAC Small Business Assistance Center

SBCS State Board for Charter Schools

SBE State Board of Education

SBIR Small Business Innovative Research

SBOE State Board of Equalization

SCHIP State Children's Health Insurance Program

SDWA Safe Drinking Water Act

SDWRF Safe Drinking Water Revolving Fund

SES State Emergency Services

SLI Special Line Item

SLIAG State Legalization Impact Assistance Grant

SMI Serious Mental Illness or Seriously Mentally Ill

SNAP Supplemental Nutrition Assistance Program

SOBRA Sixth Omnibus Budget Reconciliation Act

SPAR Strategic Program Authorization Review

SPO State Purchasing Office

SPRF State Parks Revenue Fund

SPU Special Population Unit

SR&E Securities Regulation and Enforcement

SSI Supplemental Security Income

SSIG State Student Incentive Grant

SSRE State Share of Retained Earnings

SWCAP State-wide Cost Allocation Plan

T&R Title and Registration

TANF Temporary Assistance for Needy Families

TB Tuberculosis

TCC Transitional Child Care

TDD Telecommunication Devices for the Deaf

TIFS Tourism Investment Fund Sharing

TLMF Trust Land Management Fund

TPO Telecommunications Policy Office

UA University of Arizona

UAHSC University of Arizona Health Sciences Center

USAS Uniform State-wide Accounting System

USGS United States Geological Survey

UST Underground Storage Tank

VA Veterans Affairs

VEI Vehicle Emission Inspections

VI Visually Impaired

VOCA Victims of Crime Act

VR Vocational Rehabilitation

VRIRF Victims' Rights Implementation Revolving fund

WAN Wide Area Network

WATS Wide Area Telephone System

WFRJT Work Force Recruitment and Job Training

WICHE Western Inter-State Commission on Higher Education

WIFA Water Infrastructure Finance Authority

WIPP Work Incentive Pay Plan

WPF Water Protection Fund

WQAB Water Quality Appeals Board

WQARF Water Quality Assurance Revolving Fund

State Government Organization Chart

Resources

Governor's Office of Strategic Planning and Budgeting

Website

Executive Budgets for FY 2020 and Previous Years

Statement of Federal Funds

Master List of State Government Programs

Constitutional Appropriation Limit Calculation

State Agency Technical Resources

Agency Budget Development Software and Training Resources

Managing for Results, Arizona's Strategic Planning Handbook

Other Helpful Links

Arizona's Official Website

Governor's Website

State Agencies' Websites

Openbooks, a searchable database of the State Accounting System

Arizona Employment Statistics

Arizona Population Statistics

FY 2020 Appropriations Report

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