

STATE OF ARIZONA

MASTER LIST OF STATE GOVERNMENT PROGRAMS

STATE AGENCIES' FIVE YEAR STRATEGIC PLANS

AND

**ARIZONA MANAGEMENT SYSTEM STRATEGIC
PLANS FOR CABINET AGENCIES**



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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 2025. Following the Five-Year Plan is detailed program information, which contains performance and resource information through fiscal year 2023.

State Agencies submitted their Five Year Plans and program information on September 1, 2021, prior to the creation of the Governor's Executive Budget that will be released in January 2022. The two-page summaries of the cabinet agencies' strategic plans were completed in July 2021 in preparation of operations in FY 2022.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,643.5	2,051.8	2,051.8
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,643.5	2,051.8	2,051.8
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 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

Issue 3 Data Quality

Description To adhere with state policy P4460 Data Governance Data Quality, the Board must develop a data quality policy for the agency and then implement the strategy over a three-year period. The Board's policy and implementation will be overseen by the Department of Administration. It is important that the Board can trust its data to run operations, make management decisions, and do planning. Data quality involves measuring the quality of our data so we can rely on it. It requires participation from both business and IT sides of the agency.

Solutions:

1. Define our data quality rules and thresholds.

1.1 Develop a Data Quality Implementation Plan

1.2 Document what quality means to our agency for our Data Quality Strategy

1.2.1 Document business goal(s) and objectives

1.2.2 Identify high-level business quality requirements

1.2.3 Identify key data elements for our data standards

1.2.4 Identify a quality metric (quality threshold and criteria) for each key data element

1.2.5 Identify control processes that must be in place for each key data element to maintain quality

1.3 Create our agency's Data Quality Policy

1.4 Train employees on our data quality policy and data standards

1.5 Create a Data Cleansing Strategy

1.5.1 Define data cleansing rules for a consistent approach

1.5.2 Define data cleansing guidelines on how to apply the rules

1.5.3 Train employees on data cleansing rules and guidelines

2. Conduct a data quality assessment

2.1 Identify data repositories of our key data (databases and spreadsheets) for data profiling

2.2 Conduct data profiling to get statistics about the kind of data values stored in the key data elements

2.3 Conduct a data assessment to reveal where stored data values differ from the allowed values

2.4 Determine how each key data element's quality compares to our acceptance and desired levels

2.5 Identify the root cause of data discrepancies where possible (business rules and/or automation)

3. Resolve data quality issues

3.1 Prioritize issues identified in the data quality assessment (cost, risk, compliance, productivity)

3.2 Identify the data source and all downstream repositories for each data element requiring cleansing

3.3 Identify if any key documents require data cleansing due to the cleansing of the data repository

3.4 Identify if any archived data repositories will be impacted by data cleansing (ability to restore data)

3.5 Build a library of data cleansing rules, procedures, and scripts for continuous reuse

3.6 Backup data and then apply data cleansing solutions from the library, documenting changes

3.7 Verify data changes with internal and external data providers (NASBA, ICM, CyberSource, etc.)

4. Monitor and maintain data quality

4.1 Conduct the data quality assessment again to confirm the cleansing meets our acceptance levels

4.2 Department of Administration approves our implementation plan, data quality policy and cleansing

4.3 Department of Administration oversees our resolving issues identified in the quality assessment

4.4 Monitor the employees are following their data quality training

4.5 Monitor that automated data cleansing solution is working as expected

4.6 Assess new projects to ensure they meet our data quality standards before there's an impact

4.7 Annually review of our Data Quality Policy, Data Quality Assessment, and Data Cleansing Strategy

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	14.0	14.0	14.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,051.8	2,051.8	2,051.8
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of exam candidates approved by Board to sit for the Uniform CPA exam	372	384	451	404	427

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of certificates issued	378	433	416	411	411
Biennial renewal of certificates	5,377	5,391	5,661	5,704	5,619
Number of firms registered	39	50	34	37	37
Number of firms renewed (excluding sole practitioners)	416	422	473	469	478
Percent of applicants reporting excellent or good service	97	95	96	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of revocations and relinquishments	18	15	7	13	13
Explanation: Laws 2020, Ch. 72 (SB 1131) will reduce revocations because firms will be expired when they don't meet qualifications.					
Number of compliance files established	185	190	232	213	213
Explanation: FY 2021 actuals are higher due to the number of complaints the Board received from a single complainant.					
Number of compliance files that resulted in discipline	97	90	108	93	93
Number of compliance files that resulted in administrative letters of concern	9	7	8	7	7

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	167.0	176.8	176.8
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	167.0	176.8	176.8
FTE Positions	2.0	2.0	2.0

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, payment 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.

The Board plans 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.

The Board introduced a bill in last legislative session to meet these issues. It died due to the Covid-19 shut down. However, the Board will re-address this bill this upcoming session.

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 make other changes to reduce the regulatory burden on the licensee. This rules package is on hold in order to be filed combined with the rule changes which will be made necessary by statutory changes.

Issue 3 Health care profession and provider changes.**Description** Description:

The Board is aware of and concerned about the growing opioid 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 simultaneously 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 most 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 Acupuncture to those in need.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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 handle consumer complaints in an efficient manner.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of complaints received.	2	5	0	5	5
Unlicensed individuals or institutions identified.	0	3	0	3	3
Total complaints.	2	5	0	5	5
Average time from receipt of complaint until resolution	180	100	0	120	120
Number of complaints resolved from prior year.	0	1	0	1	1

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of investigations conducted	2	5	0	5	5
Licensees with greater than one investigation.	0	0	0	0	0
Percent of unlicensed practitioners brought into compliance.	100	100	0	100	100
Percent of investigations resulting in disciplinary enforcement	0	25	0	25	25

Explanation: no disciplinary actions were taken fy20

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of applications received	67	107	78	117	118
Explanation: FY21: 58 acupuncture 10 auricular , 10 CEU apps					
Number of renewals issued	645	620	660	660	670
Explanation: FY21 - 638 licenses and 22 certificates					
Auricular Acupuncture Certificates Issued	11	25	10	25	25
Total number of licensees	678	700	695	715	735
Total number of auricular acupuncture certificate holders	37	55	35	60	65

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 our agency customers, allowing them to focus more on their unique missions.

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, develops statewide accounting policies and procedures, reviews and maintains oversight of regulations, and much more. These centralized support services enable state agencies to focus their efforts on their own unique missions.

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADMINISTRATION	6,131.0	13,886.2	3,786.2
➤ GENERAL ACCOUNTING	12,933.6	17,438.5	18,938.5
➤ STATE PROCUREMENT	9,719.2	9,054.6	9,054.6
➤ BENEFITS SERVICES DIVISION	926,559.2	889,134.6	913,811.3
➤ HUMAN RESOURCES DIVISION	12,858.2	14,396.8	31,739.0
➤ ARIZONA STRATEGIC ENTERPRISE TECHNOLOGY OFFICE	67,924.9	68,808.4	79,306.0
➤ RISK MANAGEMENT	82,521.4	109,117.0	135,006.9
➤ GENERAL SERVICES DIVISION	39,370.7	692,991.9	279,464.9
Agency Total:	1,158,018.2	1,814,828.0	1,471,107.4
Funding:			
General Fund	6,992.0	309,064.5	243,873.7
Other Appropriated Funds	168,545.3	199,005.9	196,821.1
Other Non Appropriated Funds	982,481.0	1,306,757.6	1,030,412.6
Total Funding	1,158,018.2	1,814,828.0	1,471,107.4
FTE Positions	511.0	547.0	542.0

Department of Administration

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Andy Tobin
Sean Price
07/15/2021

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, develops statewide accounting policies and procedures, reviews and maintains oversight of regulations, 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 leads to the adoption of Enterprise standards while utilizing continuous improvement methodologies. Key areas for the Strategic Plan year are outlined below.

- Enhance Customer Experience:** To build an inclusive enterprise partnership with the private and public sectors to serve the citizens of the great State of Arizona.
- Drive Enterprise Efficiencies:** Focus on key business process utilizing Arizona Management System. Maximize the deployment of innovative technologies and security controls.
- Transform the Employee Experience:** Provide the necessary tools and resources for the Arizona Department of Administration and State of Arizona workforce to attract and retain a high performing workforce.

Summary of 3 Year Strategic Priorities			
#	Multi-Year Strategy	Start Year	Progress / Successes
1	Enhance Customer Experience	2020	<ul style="list-style-type: none">State Procurement Office increased the Co-Op revenue by 23% this fiscal year compared to the 5 year rolling average of previous fiscal yearsSupported ADHS by standing up a 50,000 sq. ft. warehouse to house PPE supplies within 5 weeksSupported SOS by sourcing & delivering PPE and other items to each county's central location for the 2020 election cycleImplemented the Legacy Portal to house archived enterprise source to pay data including over 2 million attachmentsLaunched the Co-Op Module within the existing e-procurement system, eliminating the need for multiple portals for Co-Op management
2	Drive Enterprise Efficiencies	2020	<ul style="list-style-type: none">Moved 81 mainframe data centers to the cloud achieving our 100% targetStatewide cyber security score has consistently been above the target of 725Successfully procured AZNet III, a consolidated telecommunications program for the State with outsourced voice, network and contact center services and equipment.Migrated 859 applications and closed an on-premise data centerLaunched the AZ Cyber Information Program (ACIP). Received \$322,500 in grants for AZ Dept. of Homeland Security to help local governments improve their cybersecurity posture
3	Transform the Employee Experience	2019	<ul style="list-style-type: none">Procured a modern, results-focused, intuitive and adaptable Job Board which will improve our competitiveness in the job market while providing tools to effectively administer recruitmentDeployed the Enterprise Human Resource Academy and trained 111 HR professionalsMore than 95% of ADOA staff have their Lean Six Sigma White Belt and a sustainable process to train all new employees was implemented

Department of Administration

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1 - Enhance Customer Experience	- Increase access to information online	- User journey completed - Financial Portal milestones	- Implement Business One-Stop - Implement School Financial Transparency Portal
	- Support innovative transportation programs to strengthen school choice	- Utilization of funds	- Implement Transportation Grant program and contract management
	-Increase Top 20 Cooperative Program Member spend -Enhance contract offerings	- Top 20 Cooperative Program Member Spend - Co-Op revenue	- Analyze data to identify gaps and opportunities to increase individual member spend - Develop and implement process to identify gaps and opportunities to be more competitive with contracts
	-Improve efficiency and tracking of new construction program and funding	- New construction program transition to eCivis - Number of days to finalize design review	- Transition new construction projects into new IT solution - Implement additional tracking strategies to improve new construction design review
	- Increase efficiency of the distribution of Building Renewal Grant (BRG) funds (A.R.S. § Title 15, 15-2032)	- Number of days to process BRG/EP payments	- Track trends in BRG activities (applications, awards, payments, etc.)
2 - Drive Enterprise Efficiencies	- Drive enterprise alignment with the support of information technology Infrastructure	- # of active managed endpoints - Purchase strategy milestones	- Utilize Information Technology solution to conduct research and analysis of the state's network - Deploy laptop purchasing strategy pilot
	- Optimize statewide cloud expenditures	- # of Data Center migrations - # of applications to Cloud - Cloud cost per unit	- Transition cloud infrastructure into Platform as a Service and Software as a Service - Optimize agency cloud expenditures with a focus on standard work and cost savings plans
	- Strengthen the Automation Project's Fund outcomes	- Budget reports	- Improve on the governance and oversight process
	- Implement the State's next-generation capital infrastructure to support a mobile workforce	- State footprint consolidation milestones	- Implement approved and funded Compression Plan
	- Implement a statewide cyber insurance program	- Cyber insurance milestones	- Development of cyber insurance program
	- Increase the number of process automations	- # of Process Automated	- Robotic processes in accounting & finance
	- Upgrade Arizona Financial Information System 4.0	- % Milestones complete	- Code merge/regression testing/packaging
3 - Transform the Employee Experience	- Modernize & secure Human Resources Information Technology infrastructure - Develop a premier human resources workforce - Promote continuous improvement culture - Drive cost effective health care plans	- Human Resources system milestones - Academy milestones - # of trained employees - Cost per member per month	- Finalize and Implement Human Resources System replacement plan - Develop and implement Human Resources Academy Level 2 and 3 - Lean Six Sigma Belt Certifications - Develop and implement a plan focused on pharmaceuticals and virtual health

5 Year Plan

Issue 1 Fiscal Year 2022 Strategic Plan 2-pager (Page 1)

Description 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, develops statewide accounting policies and procedures, reviews and maintains oversight of regulations, and much more. These centralized support services enable state agencies to focus their efforts on their own unique missions

Solutions:

Executive Summary:

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

Enhance Customer Experience: To build an inclusive enterprise partnership with the private and public sectors to serve the citizens of the great State of Arizona.

Drive Enterprise Efficiencies: Focus on key business process utilizing Arizona Management System. Maximize the deployment of innovative technologies and security controls.

Transform the Employee Experience: Provide the necessary tools and resources for the Arizona Department of Administration and State of Arizona workforce to attract and retain a high performing workforce.

Strategic Priorities:

Enhance Customer Experience:

State Procurement Office increased the Co-Op revenue by 23% this fiscal year compared to the 5 year rolling average of previous fiscal years

Supported ADHS by standing up a 50,000 sq. ft. warehouse to house PPE supplies within 5 weeks

Supported SOS by sourcing & delivering PPE and other items to each county's central location for the 2020 election cycle

Implemented the Legacy Portal to house archived enterprise source to pay data including over 2 million attachments

Launched the Co-Op Module within the existing e-procurement system, eliminating the need for multiple portals for Co-Op management

Drive Enterprise Efficiencies:

Moved 81 mainframe data centers to the cloud achieving our 100% target

Statewide cyber security score has consistently been above the target of 725

Successfully procured AZNet III, a consolidated telecommunications program for the State with outsourced voice, network and contact center services and equipment.

Migrated 859 applications and closed an on-premise data center

Launched the AZ Cyber Information Program (ACIP). Received \$322,500 in grants for AZ Dept. of Homeland Security to help local governments improve their cybersecurity posture

Transform the Employee Experience:

Procured a modern, results-focused, intuitive and adaptable Job Board which will improve our competitiveness in the job market while providing tools to effectively administer recruitment

Deployed the Enterprise Human Resource Academy and trained 111 HR professionals

More than 95% of ADOA staff have their Lean Six Sigma White Belt and a sustainable process to train all new employees was implemented

Issue 2 Fiscal Year 2022 Strategic Plan 2-pager (Page 2)

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:

Strategy #1 - Enhance Customer Experience

FY22 Annual Objective: Increase access to information online

Objective Metrics: User journey completed, Financial Portal milestones

Annual Initiatives: Implement Business One-Stop, Implement School Financial Transparency Portal

Strategy #1 - Enhance Customer Experience

FY22 Annual Objective: Support innovative transportation programs to strengthen school choice

Objective Metric: Utilization of funds

Annual Initiatives: Implement Transportation Grant program and contract management

Strategy #1 - Enhance Customer Experience

FY22 Annual Objective: Increase Top 20 Cooperative Program Member spend, Enhance contract offerings

Objective Metrics: Top 20 Cooperative Program Member Spend, Co-Op revenue

Annual Initiatives: Analyze data to identify gaps and opportunities to increase individual member spend, Develop and implement process to identify gaps and opportunities to be more competitive with contracts

Strategy #1 - Enhance Customer Experience

FY22 Annual Objective: Improve efficiency and tracking of new construction program and funding

Objective Metrics: New construction program transition to eCivis, Number of days to finalize design review

Annual Initiatives: Transition new construction projects into new IT solution, Implement additional tracking strategies to improve new construction design review

Strategy #1 - Enhance Customer Experience

FY22 Annual Objective: Increase efficiency of the distribution of Building Renewal Grant (BRG) funds (A.R.S. § Title 15, 15-2032)

Objective Metric: Number of days to process BRG/EP payments

Annual Initiative: Track trends in BRG activities (applications, awards, payments, etc.)

Strategy #2 - Drive Enterprise Efficiencies

FY22 Annual Objective: Drive enterprise alignment with the support of information technology Infrastructure

Objective Metrics: # of active managed endpoints, Purchase strategy milestones

Annual Initiatives: Utilize Information Technology solution to conduct research and analysis of the state's network, Deploy laptop purchasing strategy pilot

Strategy #2 - Drive Enterprise Efficiencies

FY22 Annual Objective: Optimize statewide cloud expenditures

Objective Metrics: # of Data Center migrations, # of applications to Cloud, Cloud cost per unit

Annual Initiatives: Transition cloud infrastructure into Platform as a Service and Software as a Service, Optimize agency cloud expenditures with a focus on standard work and cost savings plans

Strategy #2 - Drive Enterprise Efficiencies

FY22 Annual Objective: Strengthen the Automation Project's Fund outcomes

Objective Metric: Budget reports

Annual Initiative: Improve on the governance and oversight process

Strategy #2 - Drive Enterprise Efficiencies

FY22 Annual Objective: Implement the State's next-generation capital infrastructure to support a mobile workforce

Objective Metric: State footprint consolidation milestones

Annual Initiative: Implement approved and funded Compression Plan

Strategy #2 - Drive Enterprise Efficiencies

FY22 Annual Objective: Implement a statewide cyber insurance program

Objective Metric: Cyber insurance milestones

Annual Initiative: Development of cyber insurance program

Strategy #2 - Drive Enterprise Efficiencies

FY22 Annual Objective: Increase the number of process automations

Objective Metric: # of Process Automated

Annual Initiative: Robotic processes in accounting & finance

Strategy #2 - Drive Enterprise Efficiencies

FY22 Annual Objective: Upgrade Arizona Financial Information System 4.0

Objective Metric: % Milestones complete

Annual Initiative: Code merge/regression testing/packaging

Strategy #3 - Transform the Employee Experience

FY22 Annual Objective: Modernize & secure Human Resources Information Technology infrastructure

Objective Metric: Human Resources system milestones

Annual Initiative: Finalize and Implement Human Resources System replacement plan

Strategy #3 - Transform the Employee Experience

FY22 Annual Objective: Develop a premier human resources workforce

Objective Metric: Academy milestones

Annual Initiative: Develop and implement Human Resources Academy Level 2 and 3

Strategy #3 - Transform the Employee Experience

FY22 Annual Objective: Promote continuous improvement culture

Objective Metric: # of trained employees

Annual Initiative: Lean Six Sigma Belt Certifications

Strategy #3 - Transform the Employee Experience

FY22 Annual Objective: Drive cost effective health care plans

Objective Metrics: Cost per member per month

Annual Initiatives: Develop and implement a plan focused on pharmaceuticals and virtual health

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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

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, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,241.4	11,687.0	1,587.0
Other Appropriated Funds	1,496.4	2,016.9	2,016.9
Other Non Appropriated Funds	3,393.2	182.3	182.3
Total Funding	6,131.0	13,886.2	3,786.2
FTE Positions	23.0	25.0	25.0

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, Travel Reduction Office, Office of the General Counsel, and the Governor's Regulatory Review Council.

Funding:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	908.0	10,931.2	931.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	3,393.2	182.3	182.3
Total Funding	4,301.2	11,113.5	1,113.5
FTE Positions	12.0	12.0	12.0

- ◆ **Goal 1** To reduce the percent of ADOA employees who leave on a voluntary basis.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Voluntary Turnover in ADOA will be at or less than 12%	9.8	12	7.2	12	12

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	333.4	355.8	355.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	333.4	355.8	355.8
FTE Positions	3.0	3.0	3.0

- ◆ **Goal 1** To eliminate regulatory burden on the taxpayer

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Administrative Rules Eliminated through the Governor's Regulatory Review Council	72	81	13:1	3:1	3:1
Require agency implementation of rule improvements within 9 months of GRRC approval of five year review report	0	0	10	9	9

Subprogram Summary

GOVERNMENT TRANSFORMATION OFFICE

Sarah Pirzada, Chief Operations Officer
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 high impact projects that improve people, service, quality, and cost.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	400.0	300.0
Other Appropriated Funds	1,496.4	2,016.9	2,016.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,496.4	2,416.9	2,316.9
FTE Positions	8.0	10.0	10.0

- ◆ **Goal 1** To Transform the Employee Experience

Subprogram Summary

TRAVEL REDUCTION

Emily Rajakovich, Assistant Director
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 improve air quality by reducing employee single occupancy vehicle (SOV) commutes.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Reduce employee solo commutes to no more than 60% (ARS 49-588)	73.70	60	48.74	60	60

Program Summary

GENERAL ACCOUNTING

Ashley Ruiz, Assistant Director
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	3,728.0	4,653.0	4,653.0
Other Appropriated Funds	9,025.5	12,594.5	14,094.5
Other Non Appropriated Funds	180.1	191.0	191.0
Total Funding	12,933.6	17,438.5	18,938.5
FTE Positions	98.0	108.0	108.0

◆ Goal 1 To Enhance Customer Experience

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
% of Process Improvements (Statewide & Agency Specific) Plan	1	33	48	24	24

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,784.2	1,641.8	1,641.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	7,935.0	7,412.8	7,412.8
Total Funding	9,719.2	9,054.6	9,054.6
FTE Positions	44.0	46.0	46.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
# of enterprise wide consolidated contracts	3	3	3	3	3
Co-Op Annual Revenue (in millions)	0	0	5.3	5.5	5.5

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	4,956.2	5,330.1	5,630.1
Other Non Appropriated Funds	921,603.0	883,804.5	908,181.2
Total Funding	926,559.2	889,134.6	913,811.3
FTE Positions	30.0	32.0	33.0

Subprogram Summary

BENEFITS SERVICES OPERATIONS

Paul Shannon, 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	4,956.2	5,330.1	5,630.1
Other Non Appropriated Funds	265.1	327.3	327.3
Total Funding	5,221.3	5,657.4	5,957.4
FTE Positions	30.0	32.0	33.0

◆ **Goal 1** To provide affordable health, dental and life insurance and other benefits that attract and retain employees

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Manage Medical and Pharmacy cost per	499	499	111	100	100

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	921,337.9	883,477.2	907,853.9
Total Funding	921,337.9	883,477.2	907,853.9
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To provide affordable health, dental and life insurance and other benefits that attract and retain employees

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Achieve structural balance in the HITF and 0 maintenance of IBNR (Target is .99 or less)	0	98.9	96	99	99

Program Summary

HUMAN RESOURCES DIVISION

Emily Rajakovich, 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 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	17,092.2
Other Appropriated Funds	12,287.9	13,693.1	13,693.1
Other Non Appropriated Funds	570.3	703.7	953.7
Total Funding	12,858.2	14,396.8	31,739.0
FTE Positions	75.0	76.0	82.0

Subprogram Summary

HUMAN RESOURCE OPERATIONS

Emily Rajakovich, 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	17,092.2
Other Appropriated Funds	12,287.9	13,693.1	13,693.1
Other Non Appropriated Funds	570.3	703.7	953.7
Total Funding	12,858.2	14,396.8	31,739.0
FTE Positions	75.0	76.0	82.0

◆ Goal 1 To advance the people knowledge and systems of Human Resources.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
HRIS Strategy (3-5 year plan) - % project completion	85	100	100	100	100
HR Academy Percent of Milestones Completed	0	100	100	100	100

Program Summary

ARIZONA STRATEGIC ENTERPRISE TECHNOLOGY OFFICE

J.R. Sloan, Assistant Director, 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 GIT). 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	16,614.3
Other Appropriated Funds	41,485.1	45,842.6	39,725.9
Other Non Appropriated Funds	26,439.8	22,965.8	22,965.8
Total Funding	67,924.9	68,808.4	79,306.0
FTE Positions	103.0	102.0	89.0

Subprogram Summary

ASET OPERATIONS

J.R. Sloan, Assistant Director, State CIO

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	27,171.1	31,127.7	31,377.7
Other Non Appropriated Funds	836.8	295.0	295.0
Total Funding	28,007.9	31,422.7	31,672.7
FTE Positions	55.0	55.0	56.0

◆ **Goal 1** To Drive Enterprise Efficiencies

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Increase the education and knowledge of Google Applications	34,000	34,000	884	2600	7500

Subprogram Summary

911 EMERGENCY SERVICES

Steven Jenkins, Director of Network Operations
 Phone: (602) 364-4770
 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.

◆ **Goal 1** To meet the NENA ring time standard for answering 9-1-1 calls.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
# of PSAP's meeting the NENA ring time standard for answering 9-1-1 calls	2	25	73	81	81

Subprogram Summary

ENTERPRISE INFRASTRUCTURE AND COMMUNICATIONS

JR Sloan, Assistant Director
 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,688.2	1,651.7	1,651.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,688.2	1,651.7	1,651.7
FTE Positions	9.0	9.0	9.0

◆ **Goal 1** To close 90 individual on-premise data centers and move the associated applications to the cloud or to the Shared Hosted Data Center

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
# of Data Center Migrations	75	85	81	90	90

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	16,614.3
Other Appropriated Funds	12,625.8	13,063.2	6,696.5
Other Non Appropriated Funds	25,603.0	22,670.8	22,670.8
Total Funding	38,228.8	35,734.0	45,981.6
FTE Positions	39.0	38.0	24.0

◆ **Goal 1** To Providing oversight to ensure IT projects are positioned for success and aligned with state strategy.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Time to approve Project Information Justification (PIJ) less than 9 days	6	9	6	7	7
# of Services Moved Online	0	0	1986	2236	2486

Program Summary

RISK MANAGEMENT

Keith Johnson, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	23,087.2
Other Appropriated Funds	74,982.9	96,714.5	99,243.8
Other Non Appropriated Funds	7,538.6	12,402.5	12,675.9
Total Funding	82,521.4	109,117.0	135,006.9
FTE Positions	41.0	51.0	52.0

◆ Goal 1 To reduce the frequency, severity and incidence of injuries

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Employee Injury Claims total including COVID claims	0	0	1912	2118	2076

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	238.4	291,082.7	179,198.2
Other Appropriated Funds	24,311.3	22,814.2	22,416.8
Other Non Appropriated Funds	14,821.0	379,095.0	77,849.9
Total Funding	39,370.7	692,991.9	279,464.9
FTE Positions	97.0	107.0	107.0

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	290,809.5	178,925.0
Other Appropriated Funds	16,608.8	19,367.5	18,970.1
Other Non Appropriated Funds	14,073.7	378,395.0	77,149.9
Total Funding	30,682.5	688,572.0	275,045.0
FTE Positions	82.0	94.0	94.0

- ◆ **Goal 1** To consolidate the state footprint within the Capital Mall area in order to reduce rental costs and better optimize space utilization for state agencies

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
State Building Footprint	0	100	100	90	100
Subprogram Summary					
MAIL SERVICES & SCREENING					
Matt Halstead, 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 Room which provides mail service including screening services, interagency route service, U.S. mail processing, and parcel mail service.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	238.4	273.2	273.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	747.3	700.0	700.0
Total Funding	985.7	973.2	973.2
FTE Positions	4.0	4.0	4.0

Subprogram Summary

SURPLUS PROPERTY

Matt Halstead, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,331.4	3,446.7	3,446.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	2,331.4	3,446.7	3,446.7
FTE Positions	9.0	9.0	9.0

Subprogram Summary

MOTOR POOL

,
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	5,371.1	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	5,371.1	0.0	0.0
FTE Positions	2.0	0.0	0.0

Program Summary

SCHOOL FACILITIES BOARD

Andy Tobin, Interim Executive Director
 Phone: (928) 710-2351
 A.R.S. §§ 15-2001 et seq.

Mission:

To collaborate and support 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 and grant 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 and evaluates demographic data to determine eligibility for State Funding for new school construction. The SFB is mandated to ensure compliance with the minimum school facility guidelines 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.

- ◆ **Goal 1** To support AZ school districts to ensure that school buildings meet minimum guidelines.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of building renewal grant projects open after 12-months	111	0	252	0	0

Explanation: All of these projects will be closed or converted during FY 2021.

Number of new school construction projects completed	8	4	3	8	10
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- ◆ **Goal 2** To update Minimum Adequacy Guidelines (MAG) with research-driven, best practices maximizing economic value.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of completion of annual milestones.	100	100	100	100	0

Explanation: Process will be complete in FY 2021.

- ◆ **Goal 3** To support AZ school districts to improve performance of Preventative Maintenance (PM).

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of PM Plans updated.	0	96	177	200	217

- ◆ **Goal 4** To implement a customer service improvement plan.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of school districts that responded to customer satisfaction survey	43	75	16	46	92
Percent of all school districts rating the Boards' services as satisfactory, good, or excellent in annual survey	76	80	66	75	85

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	920.8	891.8	891.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	772.9	796.1	796.1
Total Funding	1,693.7	1,687.9	1,687.9
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: 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 updated and equipment replaced in regular rotations.

Solutions:

Strategies:

a. OAH will continue to enhance efficiency and productivity by utilizing automation 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 implemented its proprietary automated system to docket the tens of thousands of motions and other documents filed by parties each year. This has saved OAH thousands of dollars in labor costs and will continue to do so over the coming years as it has largely eliminated the work load 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.

In addition, OAH has developed a proprietary system to automatically preserve and download hearing recordings into OAH's docketing system. This substantially reduces the possibility of a hearing recording being lost during a manual downloading process and has also eliminated the work load associated with staff manually downloading hearing recordings.

c. OAH will continue to offer Google Meet video conferencing to parties for all hearings. Parties can appear by video conference for hearing from any location, saving litigants and witnesses travel time and associated expenses incurred when appearing for hearings in person at OAH. In addition, in cases which are open to the public, spectators can also observe hearings via Google Meet.

d. OAH will continue to transition all server functions to the cloud in the coming year.

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

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

g. OAH will replace aging equipment and update software.

Expected Outcome: OAH will ensure greater 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 any 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. 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	14.0	14.0	14.0
General Fund	891.8	891.8	891.8
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	796.1	796.1	796.1
Federal Funds	0.0	0.0	0.0

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average number of days from hearing request to hearing scheduling	3.11	3.11	3.73	3.73	3.73
Average number of days from hearing scheduling to first scheduled hearing	44.90	44.90	49.07	49.07	49.07
Average number of days from the first scheduled hearing to the conclusion of the hearing	19.37	19.37	19.78	19.78	19.78
Average number of days from the conclusion of the hearing to transmission of the decision to the agency	14.47	14.47	14.65	14.65	14.65
Average length of delay (in days) from first hearing date to conclusion of the case due to continuances	63.53	63.53	71.3	71.3	71.3
Average length of a single continuance [measured by first continuances only] (in days)	52.46	52.46	60.75	60.75	60.75
Cases docketed	4,981	4,981	4,955	4,955	4,955
Number of hearings held	1,695	1,695	1,324	1,324	1,324
New cases docketed to cases concluded	1:98	1:98	1:99	1:99	1:99
Hearings conducted by contract administrative law judges	47	47	3	3	3
Average days from request for hearing to first date of hearing	48.02	48.02	52.79	52.79	52.79

◆ **Goal 2** To increase litigant satisfaction and litigant access to effective alternative dispute resolution

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of agency acceptance of findings of fact and conclusions of law (excluding recommended order) without modification	86.93	86.93	93.07	93.07	93.07
Percent of agency acceptance of findings of fact and conclusions of law (including recommended order) without modification	84.97	84.97	86.39	86.39	86.39
Percent of OAH decisions contrary to original agency position	14.5	14.5	14.96	14.96	14.96
Percent of agency acceptance of contrary Office of Administrative Hearings decision	92.39	92.39	90.38	90.38	90.38
Percent of agency rejection of OAH decisions	1.94	1.94	2.17	2.17	2.17
Percent of cases reheard	2.09	2.09	3.15	3.15	3.15
Percent of cases appealed to Superior Court	3.14	3.14	5.53	5.53	5.53
Percent of mediated cases settling w/o hearing	0	0	68.42	68.42	68.42

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average number of monthly hits to website.	23,195	23,195	27,042	27,042	27,042
Average number of unique visitors accessing the website per month.	1,198	1,198	1,395	1,395	1,395
Average number of daily visits.	170	170	296	296	296
Average number of monthly hits on the information page to enter agency portal.	0	0	1,007	1,007	1,007
Average number of text searches of administrative law judge decisions per month.	0	0	195	195	195

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	136.6	128.8	499.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.5	0.0	0.0
Total Funding	137.1	128.8	499.2
FTE Positions	3.0	3.0	5.0

5 Year Plan

Issue 1 Equitable Public Education

Description Arizona has a diverse population which extends into the schools. Currently, there is a lack of teachers overall. However, there is a clear lack of African American teachers in the state.

Solutions:

As the African American community continues to grow, more African American teachers must be recruited and retained in your schools. There also needs to be more equitable funding for public schools, especially in low-income communities which do not have sufficient tax bases for quality public education. The need for trained behavioral specialists must be addressed to end the dismissal/suspension rate of African American Students. Additionally, early childhood education and after-school programs must be maintained. Additionally, Black students are lacking adequate internet access to continue education at home during the Pandemic.

Issue 2 Economic Development

Description Currently, more African American Businesses suffer from a lack of access to capital and contracts.

Solutions:

There must be a creation of an African American-owned financial institution in Arizona and more accountability in increasing the participation of African American Businesses in the contracting process. The recent effect of COVID-19 on Black Businesses has been disproportionate and more needs to be done at the State level to provide accessible funding to them. The current process prohibits companies from surviving the COVID-19 pandemic.

Issue 3 Available and Affordable Healthcare

Description With African Americans becoming sick and dying disproportionately of a variety of chronic diseases, which has been evidenced again during the COVID-19 pandemic, there is a need for available and affordable healthcare for Black people.

Solutions:

Too often, African Americans do not have access to adequate healthcare due to lack of proximity and unaffordable costs. Available and affordable healthcare will provide equity needed to improve the health of African Americans and reduce the mortality rate.

Issue 4 Political Equity

Description We have more African Americans seeking office than ever before. These candidates are as qualified as all others.

Solutions:

We demand that all political parties treat these candidates with the same respect and resources that they provide to all other candidates in their party. We demand that governmental officeholders, political parties and candidates have African Americans on their staffs in order to show true commitment to inclusion. On the ninth floor in the Governor's Office, more African Americans must be on the governor's key staff located there.

Issue 5 Community policing and fair justice

Description With these two aspects constantly at issue in our community, we insist on fair, just, nondiscriminatory treatment by police and the court system as well as having community training programs to enhance the positive interaction between police and citizens and non-citizens.

Solutions:

We would expect greater transparency of the dissemination of information to the public. We also want more access to the prosecutors to have a better understanding of their roles when it comes to the African American community. The creation of a citizen review board for DPS incidents must be addressed. Additionally, body cameras for DPS officers should be mandatory.

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	20	20	31	24	24
Increase the number of participants and attendees at the African-American Legislative Conference.	900	750	1800	950	950

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of African-American Elected Officials in Arizona.	35	40	26	45	45

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ FOOD SAFETY AND QUALITY ASSURANCE	11,950.5	11,723.6	11,723.6
➤ NON-FOOD PRODUCT QUALITY ASSURANCE	739.1	1,070.3	1,070.3
➤ ANIMAL DISEASE, OWNERSHIP AND WELFARE PROTECTION	3,056.9	3,362.6	3,362.6
➤ PEST EXCLUSION AND EXPORT SERVICES	4,668.0	4,483.8	4,483.8
➤ NATIVE PLANT AND CULTURAL RESOURCES PROTECTION	174.6	177.0	177.0
➤ PESTICIDE COMPLIANCE AND WORKER SAFETY	570.2	723.1	723.1
➤ ADMINISTRATIVE SERVICES	1,600.8	4,715.6	7,615.6
➤ STATE AGRICULTURAL LABORATORY	1,610.3	4,532.1	2,032.1
➤ AGRICULTURAL CONSULTATION AND TRAINING	2,238.9	3,607.3	3,607.3
➤ COMMODITY DEVELOPMENT AND PROMOTION	4,024.0	7,957.4	7,957.4
➤ WEIGHTS AND MEASURES	2,390.7	2,422.8	2,422.8
➤ PEST MANAGEMENT	1,692.9	1,838.6	1,838.6
Agency Total:	34,716.9	46,614.2	47,014.2

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	10,395.0	16,915.7	17,315.7
Other Appropriated Funds	1,719.1	1,734.6	1,734.6
Other Non Appropriated Funds	22,602.8	27,963.9	27,963.9
Total Funding	34,716.9	46,614.2	47,014.2
FTE Positions	335.4	339.9	339.9

Department of Agriculture

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Mark W. Killian
Louise Houseworth
07/12/2021

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, promotes equity in the Arizona marketplace, and safeguards market access both domestically and internationally through a variety of inspection and certification programs involving plants, livestock, meat, dairy, vegetables, citrus, fruit, eggs, feed, fertilizer, seed, agricultural and non-agricultural pesticides, packaged consumer goods, retail pricing and commercial weighing and measuring devices. AZDA protects and guards against the risks associated with the entry and spread of plant and livestock pests and diseases. AZDA conserves native plants. AZDA implements education and training programs in regards to pesticide use, air quality and gasoline vapor recovery. AZDA provides agricultural and metrological laboratory services.

Executive Summary: The Arizona Department of Agriculture (AZDA) identified three strategic priorities to reach our vision:

Attract, Support, Develop and Retain Talented Employees - This is AZDA's number one priority because it is crucial to providing exceptional customer service. AZDA will identify process and equipment efficiency cost saving opportunities. AZDA will develop plan to increase employee salaries per Arizona Department of Administration (ADOA) review.

Reengineer and Integrate the Enterprise, including Information Technology, Processes, Services and Equipment - AZDA will enhance capabilities at the State Agricultural Laboratory by implementing an equipment modernization plan and reaching ISO accreditation. AZDA will develop and implement a project management plan to continue the process of IT modernization.

Safeguard Agricultural and Consumer Services/ Products AZDA will continue to maintain phytosanitary/sanitary status for Arizona commodities (plant and animal) and safeguard agricultural products. AZDA will develop and implement a process for centrally monitoring division inspection activity and results. AZDA will develop project plan to address the remaining Sunset Review audit recommendations.

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Attract, Support, Develop and Retain Talented Employees	2018	Divisional succession plans were developed. Flex and telecommuting schedules were approved and implemented where appropriate. Progressive salary schedules were created where possible. 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. Strategy to increase and sustain telework for employees and virtual services for customers was developed and implemented in FY 2021, including surveying employees; addressing technological barriers where financially feasible; and improving leadership communications among team members and staff.
2	Reengineer and Integrate the Enterprise, including Information Technology, Processes, Services and Equipment	2018	Almost 200 rulemakings were completed in FY 2020. Information Technology (IT) security score increased to an acceptable level. The IT feasibility study was completed in December 2019. \$385,000 of the General Fund appropriation for the hemp program was used to replace equipment at the State Agricultural Laboratory in FY 2020. Salt River Horse Management Plan was completed in FY 2021.
3	Safeguard Agricultural and Consumer Services/ Products	2018	State remains free-from the highest profile agricultural pests and diseases. AZDA continues to implement the Food Safety Modernization Act (FSMA) Produce Safety Rule (PSR). The Industrial Hemp Program, which began May 31, 2019, is fully operational. Nogales baseline data collected in FY 2021 to improve efficiency of inspection process.

Department of Agriculture

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase staff retention	Regrettable attrition - Rolling 12 month regrettable Turnover rate with < 4 YOS % of supervisors that have completed supervisory training % of inspection types standard work completed	Develop plan to increase employee salaries per ADOA review Conduct supervisory cultural skill set development training (based on analysis of employee engagement, exit and cultural surveys; and customer survey) Implement leader standard work for supervisory job classifications Develop inspector training matrix/certifications Document standard work for all core inspection processes
1	Identify agency process and equipment efficiency cost saving opportunities	# of sustained General Fund dollars saved	Identify agency process and equipment efficiency cost saving opportunities
2	Enhance capabilities of the State Agricultural Laboratory (SAL)	% of lab equipment uptime # of ISO accreditation successful benchmarks	Implement SAL equipment modernization plan Reach ISO accreditation
2	IT modernize, reengineer and integrate	% of milestones completed on time % of applications transitioned to the cloud	Develop and implement project management plan to continue the process of IT modernization
3	Ensure AZDA programs are delivered efficiently, effectively, and with a focus on customer service	# of quarantines established % of quarantines contained within the area of establishment % of inspections/inspectors meeting goals # of divisions meeting inspection frequency demand	Develop and implement a process for centrally monitoring division inspection activity and results and hold divisions accountable against established expectations, inspection goals and performance metrics
3	Implement and close out Auditor General's Sunset Review audit recommendations	# of remaining Auditor General recommendations that have been implemented and closed out	Develop project plan to address the remaining audit recommendations in process or not implemented Develop process to self audit follow-up to ensure sustainment

5 Year Plan

Issue 1 Attract, Support, Develop and Retain Talented Employees

Description The Arizona Department of Agriculture (AZDA) has this as its highest priority Strategic Issue to reduce turnover and vacancy rates, resulting in a more efficient government that saves resources on constantly hiring and training new staff. AZDA recognizes that there is a critical workforce challenge among vital public safety, public health, and welfare agencies. State public safety agencies, including this Department, often compete with local and federal operators that currently pay higher salaries than state positions, hindering the State's ability to recruit and retain highly qualified individuals.

Solutions:

1. Work with the Governor's Office to develop Enterprise Compensation Strategy.
2. Conduct supervisory cultural skill set development training.

Issue 2 Reengineer and Integrate the Enterprise, including Information Technology, Processes, Services and Equipment

Description The Arizona Department of Agriculture's (AZDA) information technology and equipment at the State Agricultural Laboratory are antiquated and in need of modernization. Significant funding to assist AZDA in this effort was contained in the FY 2022 Budget.

Solutions:

1. Enhance capabilities at the State Agricultural Laboratory by implementing an equipment modernization plan and reaching International Organization for Standardization (ISO) accreditation.
2. Work with the Governor's Office and ASET to develop and implement a project management plan for Information Technology Modernization / Cloud Migration.

Issue 3 Safeguard Agricultural and Consumer Services/Products

Description The Arizona Department of Agriculture (AZDA) safeguards the State from the highest profile agricultural pests and diseases.

Solutions:

1. Continue to maintain phytosanitary status for Arizona commodities (plant and animal) and safeguard agricultural products.
2. Develop and implement a process for centrally monitoring division inspection activity and results.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	339.9	339.9	339.9
General Fund	15,315.7	15,315.7	15,315.7
Other Appropriated Funds	1,734.6	1,734.6	1,734.6
Non-Appropriated Funds	21,977.7	21,977.7	21,977.7
Federal Funds	5,986.2	5,986.2	5,986.2

Program Summary

FOOD SAFETY AND QUALITY ASSURANCE

,
Phone:
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,505.2	1,825.3	1,825.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	10,445.3	9,898.3	9,898.3
Total Funding	11,950.5	11,723.6	11,723.6
FTE Positions	114.6	117.1	117.1

Subprogram Summary

ANIMAL PRODUCTS FOOD SAFETY AND QUALITY INSPECTION

Jerome Rosa, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,505.2	1,825.3	1,825.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	2,038.2	2,244.3	2,244.3
Total Funding	3,543.4	4,069.6	4,069.6
FTE Positions	40.6	43.1	43.1

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of meat and poultry in compliance with bacteria, drug and chemical residue requirements	100	100	100	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	8,407.1	7,654.0	7,654.0
Total Funding	8,407.1	7,654.0	7,654.0
FTE Positions	74.0	74.0	74.0

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of FSMA PSR food safety inspections	57	151	118	156	194

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	739.1	1,070.3	1,070.3
Total Funding	739.1	1,070.3	1,070.3
FTE Positions	8.7	8.7	8.7

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Feed, Fertilizer, Pesticide and Seed Labels inspected in the market place	15,682	11,328	24,161	30,000	30,000

Program Summary

ANIMAL DISEASE, OWNERSHIP AND WELFARE PROTECTION

Jerome Rosa, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,259.1	2,378.0	2,378.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	797.8	984.6	984.6
Total Funding	3,056.9	3,362.6	3,362.6

FTE Positions

27.3

27.3

27.3

- ◆ **Goal 1** To maintain an effective system of livestock ownership oversight.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of livestock field certificates issued	0	0	42,294	42,000	42,000

Program Summary

PEST EXCLUSION AND EXPORT SERVICES

Jack Peterson, Associate Director
 Phone: (602) 542-3575
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	2,851.2	3,079.3	3,079.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,816.8	1,404.5	1,404.5
Total Funding	4,668.0	4,483.8	4,483.8
FTE Positions	61.0	57.0	57.0

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Plant Services Division (PSD) Quarantine Containment (percent)	100	100	100	100	100
Free-from status from federal pests (percent)	100	100	100	100	100

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of complete applications approved within 15 days of receipt	97	95	100	95	95

Program Summary

NATIVE PLANT AND CULTURAL RESOURCES PROTECTION

Robert Tolton, Licensing Supervisor
Phone: (602) 542-3578
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	174.6	177.0	177.0
Total Funding	174.6	177.0	177.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Native Plant Tags Issued	33,435	35,000	29,740	35,000	35,000

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	230.5	231.0	231.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	339.7	492.1	492.1
Total Funding	570.2	723.1	723.1
FTE Positions	7.0	7.0	7.0

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

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Environmental Services Division (ESD) Rate of Compliance (percent)	92	95	100	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,076.8	4,022.5	6,922.5
Other Appropriated Funds	230.6	280.5	280.5
Other Non Appropriated Funds	293.4	412.6	412.6
Total Funding	1,600.8	4,715.6	7,615.6
FTE Positions	14.6	16.6	16.6

- ◆ **Goal 1** To attract, develop and retain talented employees.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Regrettable attrition	2.8	3	3.5	3	3
◆ Goal 2 To modernize processes, services, information technology, equipment and administrative rules.					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
IT security score	721	750	732	750	750

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,303.3	4,142.7	1,642.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	307.0	389.4	389.4
Total Funding	1,610.3	4,532.1	2,032.1
FTE Positions	12.5	13.5	13.5

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

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Average age of instrumentation	16.2	17.2	16.4	15.9	12.9

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 provide 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	266.7	268.2	268.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,972.2	3,339.1	3,339.1
Total Funding	2,238.9	3,607.3	3,607.3
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 Of 2004.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Specialty Crop Block Grant Program (SCBGP)	19	19	19	19	19
Sub-grantee Reimbursement Request Processing (days)					

Program Summary

COMMODITY DEVELOPMENT AND PROMOTION

,
Phone:
A.R.S. §§ 3-101 et seq.

Mission:

To foster the domestic and international consumption of Arizona agricultural commodities.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	4,024.0	7,957.4	7,957.4
Total Funding	4,024.0	7,957.4	7,957.4
FTE Positions	35.0	38.0	38.0

◆ **Goal 1** To provide documentation authenticating that a commodity is generally and freely sold in domestic channels of trade.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of free sale products	1,306	1,500	1,309	1,500	1,500

Program Summary

WEIGHTS AND MEASURES

Kevin Allen, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	902.2	968.7	968.7
Other Appropriated Funds	1,488.5	1,454.1	1,454.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	2,390.7	2,422.8	2,422.8
FTE Positions	25.0	25.0	25.0

- ◆ **Goal 1** To increase frequency of inspections in underserved categories.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of inspections in underserved market categories	15,750		176	438	438

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,692.9	1,838.6	1,838.6
Total Funding	1,692.9	1,838.6	1,838.6

FTE Positions

22.2

22.2

22.2

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Pest Management Division (PMD) Unlicensed Case Writing (days to complete unlicensed cases)	26	25	31	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. This is our mission.

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADMINISTRATION	237,272.1	234,834.4	244,923.0
➤ AZ LONG TERM CARE SYSTEM (ALTCS)	3,600,131.3	4,616,575.6	5,689,601.1
➤ ACUTE CARE	5,306,261.6	7,075,656.4	7,237,807.6
➤ PROPOSITION 204 - SENATOR ANDREW NICHOLS COMPREHENSIVE HEALTH INSURANCE COVERAGE ACT	4,204,135.1	6,563,608.7	6,211,491.4
➤ NON-TITLE XIX BEHAVIORAL HEALTH	277,234.1	417,528.9	362,479.2
➤ CHILDREN'S HEALTH INSURANCE (CHIP)	99,117.0	141,691.2	135,280.9
➤ DIRECT SERVICE CLAIMING (DSC)	59,926.8	92,254.0	98,955.2
➤ ACA ADULT EXPANSION	602,859.2	1,569,961.9	1,112,751.8
Agency Total:	14,386,937.2	20,712,111.1	21,093,290.2
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,307,093.7	1,915,630.2	2,273,948.0
Other Appropriated Funds	336,736.6	386,347.6	374,631.0
Other Non Appropriated Funds	12,743,106.9	18,410,133.3	18,444,711.2
Total Funding	14,386,937.2	20,712,111.1	21,093,290.2
FTE Positions	2,339.3	2,348.3	2,355.3

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 more than 2 million Arizonans with a budget of slightly more than \$18 billion, 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 continues to work toward 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			
#	Five Year Strategy	Start Year	Progress / Successes
1	Pursue and implement long-term strategies that bend the cost curve while improving member health outcomes	2017	<ul style="list-style-type: none"> Seventy-seven percent of AHCCCS health plan spend is in an alternative payment model (subject to change upon final submission of data in early 2022) From 12/19 to 12/20, utilization of telehealth services among AHCCCS beneficiaries increased by 172%.
2	Pursue continuous quality improvement	2017	<ul style="list-style-type: none"> AHCCCS' Electronic Visit Verification (EVV) system went live on 1/1/21. AHCCCS has offered extensive training to providers required to use the EVV system. The Arizona Provider Enrollment Portal went live on 8/31/20. Nearly 9,500 providers have created an account. AHCCCS has worked with tribal providers to establish 7 American Indian Medical Homes (AIMHs). Nearly 25% of American Indian Health Program (AIHP) members are empaneled with an AIMH.
3	Reduce fragmentation driving toward an integrated sustainable healthcare system	2017	<ul style="list-style-type: none"> All provider organizations participating in the Targeted Investment program (111 in total) are engaged with and receiving technical assistance from the Quality Improvement Collaborative with ASU. Contract for the closed-loop referral system (CLRS) awarded in March 2021. Approximately 150 organizations have formally expressed interest in the CLRS. Contract for the housing administrator awarded in January 2021.
4	Maintain core organizational capacity, infrastructure and workforce planning that effectively serve AHCCCS operations	2017	<ul style="list-style-type: none"> Contract for the maintenance and operations of HEAplus awarded in June 2020. On track for full transition to new contractor on 7/1/21. Achieved an employee engagement score of 85% for SFY21. Eighty-one percent of employees responded that they have the tools needed to do their jobs. Sixty-five percent of AHCCCS staff are now working in a virtual office setting, allowing for the consolidation into 1 of 2 AHCCCS main campus buildings.

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase school safety	Percent growth in the number of Medicaid-enrolled students receiving a BH service on campus	Partner with MCOs and providers to co-locate services on campus and expand school-based claiming program
1	Reduce health disparities	Percent of AIHP members empaneled with an American Indian Medical Home	Partner with IHS and Tribal leadership to onboard new AIMHs; offer outreach & technical assistance to increase members empaneled
2	Increase use of AHCCCS' automated provider enrollment platform	Percent of new provider enrollment applications processed within 30 days of receipt	Offer ongoing training and education to providers on how to use the automated platform
2	Ensure seamless experience for individuals applying for AHCCCS benefits	Percent of HEAPlus scheduled up-time	Provide focused oversight of the new contractor, assuming responsibility for the maintenance and operations of HEAplus, AHCCCS' enrollment system
2	Address the behavioral health needs of uninsured and underinsured children	Number of referrals from educational institutions for uninsured or underinsured children to receive behavioral health services	Partner with MCOs and schools to develop statutorily required referral policies and encourage use of the claims identifier and uniform referral and reporting methodology; partner with ADE to outreach to additional schools to participate in the program
2	Standardize treatment planning and placement for individuals with substance use disorders	Number of providers that have integrated the American Society of Addiction Medicine (ASAM) continuum software into their Electronic Health Record (EHR)	Offer differential adjusted payment incentive funding to providers who integrate their EHR system with the ASAM continuum software
3	Improve AHCCCS member connectivity to critical social services	Number of organizations participating in the SDOH closed-loop referral system, beginning on 10/1/21	Partner with Health Current to promote availability of CLRS, and integrate it into existing workflows; offer differential adjusted payment incentive funding to providers
3	Provide a comprehensive resource for accessing treatment for opioid use disorder	Number of hits to the AHCCCS established Treatment Locator	Promote the availability of the treatment locator to interested parties, including providers, families/members and stakeholders
4	Maximize use of remote work options	Percent of staff telecommuting ≥ 1 days per week	Maintain organizational policies that support remote work options and offer ongoing training on how to work effectively in a remote work setting
4	Prepare for anticipated staff retirements/departures	Number of Deputy Directors and Assistant Directors that have a formalized succession plan	Develop a succession planning template and process

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

Increase school safety

PERFORMANCE MEASURE 1.1.1

Percent growth in the number of Medicaid-enrolled students receiving a BH service on campus

STRATEGY 1.2

Reduce health disparities

PERFORMANCE MEASURE 1.2.1

Percent of AIHP members empaneled with an American Indian Medical Home

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**

Increase use of AHCCCS' automated provider enrollment platform

PERFORMANCE MEASURE 2.1.1

Percent of new provider enrollment applications processed within 30 days of receipt

STRATEGY 2.2

Ensure seamless experience for individuals applying for AHCCCS benefits

PERFORMANCE MEASURE 2.2.1

Percent of HEAplus scheduled up-time

STRATEGY 2.3

Address the behavioral health needs of uninsured and underinsured children

PERFORMANCE MEASURE 2.3.1

Number of referrals from educational institutions for uninsured or underinsured children to receive behavioral health services

STRATEGY 2.4

Standardize treatment planning and placement for individuals with substance use disorders

PERFORMANCE MEASURE 2.4.1

Number of providers that have integrated the American Society of Addiction Medicine (ASAM) continuum software into their Electronic Health Record (EHR)

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**

Improve AHCCCS member connectivity to critical social services

PERFORMANCE MEASURE 3.1.1

Number of organization participating in the SDOH closed-loop referral system, beginning on 10/1/2021

STRATEGY 3.2

Provide a comprehensive resource for accessing treatment for opioid use disorder

PERFORMANCE MEASURE 3.2.1

Number of hits to the AHCCCS established Treatment Locator

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

Maximize use of remote work options

PERFORMANCE MEASURE 4.1.1

Percent of staff telecommuting = or >1 days per week

STRATEGY 4.2

Prepare for anticipated staff retirements/departures

PERFORMANCE MEASURE 4.2.1

Number of Deputy Directors and Assistant Directors that have a formalized succession plan

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	2,355.3	2,355.3	2,355.3
General Fund	2,418,384.6	2,577,835.4	2,745,484.3
Other Appropriated Funds	381,016.1	386,716.4	392,721.0
Non-Appropriated Funds	2,621,515.9	2,708,056.2	2,798,974.1
Federal Funds	16,676,997.0	17,479,947.4	18,323,805.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	68,823.1	63,616.5	64,635.7
Other Appropriated Funds	4,884.3	6,681.2	6,681.2
Other Non Appropriated Funds	163,564.7	164,536.7	173,606.1
Total Funding	237,272.1	234,834.4	244,923.0
FTE Positions	1,908.2	1,917.2	1,922.2

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 (OALS) provides legal counsel to the AHCCCS Administration, manages contracted legal services, is responsible for the Agency rulemaking process, and oversees the Grievance and Appeals System for the AHCCCS Program. The dispute resolution process provides applicants, members, providers, and contractors a fair, cost-effective mechanism for informal adjudication of disputes. OALS also provides oversight authority for HIPAA and Part II compliance issues.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	19,696.4	17,907.0	18,747.6
Other Appropriated Funds	1,269.0	5,358.6	5,358.6
Other Non Appropriated Funds	43,944.8	52,085.0	60,741.5
Total Funding	64,910.2	75,350.6	84,847.7
FTE Positions	416.2	418.2	418.2

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

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Increase in Employee Engagement	8.5	10	85	87	N/A

Explanation: Calculation was changed from a ratio to a percentage positive responses.

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of AHCCCS enrollees served by an integrated contractor	99.2	0	99	99	99
Percent of targeted investments participants retained	97.9	0	N/A	N/A	N/A
Explanation: FY22 & 23 estimates contingent on CMS approval of TI renewal pending 1115 waiver submission.					
Number of provider organizations participating in the Health Information Exchange	736	838	930	1055	1205
Percent of inmates receiving a service within three months of release	50.89	0	60.18	52	53

Explanation: FY actual was impacted by COVID-19; expect to return to +/-50% level.

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	34,823.8	31,406.6	31,406.6
Other Appropriated Funds	2,452.7	160.0	160.0
Other Non Appropriated Funds	83,801.9	76,633.7	76,633.7
Total Funding	121,078.4	108,200.3	108,200.3
FTE Positions	885.0	885.0	885.0

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Timeliness of eligibility determinations	14.62	14	18.61	21	21

Subprogram Summary

DIVISION OF HEALTH CARE MANAGEMENT

Jakenna Lebsock, Assistant Director

Phone: (602) 417-4299

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	3,865.3	3,865.3	3,865.3
Other Appropriated Funds	1,001.7	1,001.7	1,001.7
Other Non Appropriated Funds	10,258.7	10,258.7	10,258.7
Total Funding	15,125.7	15,125.7	15,125.7

FTE Positions

141.0

148.0

148.0

- ◆ **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.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent Health Plan Spend in Alternative Payment Models	77.5	0	81.65	58.50	62.8

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,733.7	1,733.7	1,912.3
Other Appropriated Funds	121.3	121.3	121.3
Other Non Appropriated Funds	3,537.4	3,537.4	3,950.3
Total Funding	5,392.4	5,392.4	5,983.9
FTE Positions	98.0	98.0	103.0

◆ **Goal 1** To streamline claims processing

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of Fee-For-Service claims adjudicated within 30 days	94.6	95	99.52	97	97

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of American Indian Health Program members empaneled with an American Indian Medical Home	23.7	30	25.9	30	33

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	8,703.9	8,703.9	8,703.9
Other Appropriated Funds	39.6	39.6	39.6
Other Non Appropriated Funds	22,021.9	22,021.9	22,021.9
Total Funding	30,765.4	30,765.4	30,765.4
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of applications processed on time	71.98	72	93	88	88

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
DMPS call center abandon rate	1.50	2.0	5.68	5.5	5.5

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Cost avoidance from Predetermination Quality Control Program (in millions)	0	21.5	22.4	26.8	N/A

Explanation: Unable to project cost avoidance two years into the future.

Program Summary

AZ LONG TERM CARE SYSTEM (ALTCS)

Nancy Armendariz, Administrator
 Phone: (602) 417-6060
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	265,435.7	236,054.4	295,522.5
Other Appropriated Funds	7,578.4	7,578.4	7,578.4
Other Non Appropriated Funds	3,327,117.2	4,372,942.8	5,386,500.2
Total Funding	3,600,131.3	4,616,575.6	5,689,601.1
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of members utilizing home and community based services	90	88.43	91.1	87	90

Program Summary

ACUTE CARE

Jakenna Lebsack, Assistant Director
Phone: (602) 417-4229
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	761,029.3	1,325,325.3	1,631,050.6
Other Appropriated Funds	208,837.1	229,860.7	229,860.7
Other Non Appropriated Funds	4,336,395.2	5,520,470.4	5,376,896.3
Total Funding	5,306,261.6	7,075,656.4	7,237,807.6
FTE Positions	0.0	0.0	0.0

Subprogram Summary

TRADITIONAL SERVICES

Maureen Sharp, Assistant Director
Phone: (602) 417-4168
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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>		
General Fund	752,448.5	1,310,479.1	1,612,924.1		
Other Appropriated Funds	208,837.1	229,860.7	229,860.7		
Other Non Appropriated Funds	3,931,396.8	4,956,210.5	4,793,188.3		
Total Funding	4,892,682.4	6,496,550.3	6,635,973.1		
FTE Positions	0.0	0.0	0.0		
◆ Goal 1 To provide increased Medicaid BH services in school settings					
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent increase in members receiving BH services in schools	27.7	10	-66	10	10
Explanation: FY actual is the result of the PHE.					
◆ Goal 2 To address the opioid epidemic and reduce the amount of opioids prescribed					
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent reduction in overall number of opioids prescribed	10.46	10	5	5	3
Subprogram Summary					
HOSPITAL PAYMENTS					
Jakenna Lebsack, Assistant Director Phone: (602) 417-4229 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,580.8	14,846.2	18,126.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	404,998.4	564,259.9	583,708.0
Total Funding	413,579.2	579,106.1	601,834.5
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of timely payments made to hospitals with GME programs	100	100	100	100	100

Program Summary

PROPOSITION 204 - SENATOR ANDREW NICHOLS COMPREHENSIVE HEALTH INSURANCE COVERAGE ACT

Joni Shipman, Assistant Director

Phone: (602) 417-7631

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	98,037.0	149,800.5	147,951.5
Other Appropriated Funds	20,314.6	22,058.7	22,058.7
Other Non Appropriated Funds	4,085,783.5	6,391,749.5	6,041,481.2
Total Funding	4,204,135.1	6,563,608.7	6,211,491.4
FTE Positions	431.1	431.1	433.1

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Senator Andrew Nichols Comprehensive Health Insurance Coverage Act monthly enrollment	609,892	616,280	691,450	647,070	652,534

Program Summary

NON-TITLE XIX BEHAVIORAL HEALTH

Jakenna Lebsack, Assistant Director
Phone: (602) 417-4229
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 receive 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	95,108.9	97,112.8	97,112.8
Other Appropriated Funds	2,250.2	8,250.2	2,250.2
Other Non Appropriated Funds	179,875.0	312,165.9	263,116.2
Total Funding	277,234.1	417,528.9	362,479.2
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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Non Title XIX Behavioral Health	31,052	31,052	31,845	31,845	31,845

Program Summary

CHILDREN'S HEALTH INSURANCE (CHIP)

Joni Shipman, Assistant Director
Phone: (602) 417-7631
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 affordable healthcare coverage in the Marketplace beginning October 1, 2013.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	11,298.1	27,077.2	26,198.8
Other Appropriated Funds	92,872.0	111,918.4	106,201.8
Other Non Appropriated Funds	-5,053.1	2,695.6	2,880.3
Total Funding	99,117.0	141,691.2	135,280.9
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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Children with access to primary care provider (previously reported as a percentage)	38,827	44,600	53,623	47,284	47,950

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, charter 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	59,926.8	92,254.0	98,955.2
Total Funding	59,926.8	92,254.0	98,955.2
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of participating Local Education Authorities (LEAs)	0	0	98	98	100

Program Summary

CHILDREN'S REHABILITATIVE SERVICES

Jakenna Lebsack, Assistant Director
Phone: (602) 417-4229
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.

Program Summary

ACA ADULT EXPANSION

Joni Shipman, Assistant Director
Phone: (602) 417-7631
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	7,361.6	16,643.5	11,476.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	595,497.6	1,553,318.4	1,101,275.7
Total Funding	602,859.2	1,569,961.9	1,112,751.8
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
ACA Adult Expansion monthly enrollment	120,062	125,476	197,718	174,490	178,990

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

Agency Summary

COMMISSION ON THE ARTS

Alex Nelson, Executive Director, Interim
Phone: (602) 771-6521
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	4,474.6	5,654.8	7,509.1
Total Funding	4,474.6	5,654.8	7,509.1
FTE Positions	12.0	12.0	12.0

5 Year Plan

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

Description PLAN METHODOLOGY:

- This plan covers Fiscal Years 2019-2023.
- 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-f") 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 reductions to the Arizona Commission on the Arts' overall budget, which occurred during the recession and have since been sustained, available state grant funding in support of these duties diminished greatly.

Arts organizations currently receiving grant support – 400+ nonprofit organizations across the state – now receive 50% to 80% less support than in pre-recession years, when even at its peak level of funding Arizona's state arts agency

funding support was far below the national average. The Arts Commission is focused on meeting the tremendous needs of these “delivery agents” of arts and cultural services in both monetary and 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:

Creativity as a living natural resource within each Arizona resident and community: Arizonans can access vibrant, quality arts and cultural activities that nurture and celebrate the creative potential of individual Arizonans, as well as the creative assets and promise of every Arizona city, town, and neighborhood.

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, Cultural Data Project, artist and organization cohort programs, 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, Festivals Project Grants, Lifelong Arts Engagement Grants, Opportunity 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, AZ Creative Aging, AZ Creative Communities, Festivals Project Grants, artist and organization cohort programs. – 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, and grow, 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

Issue 2 Community-focused arts and cultural partnerships across Arizona must be nurtured and fortified.

Description STRATEGIC ISSUE 2:

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 build 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 2:

Arts and culture as essential: Arts and cultural programs and organizations are considered societal cornerstones; their vital role is demonstrated and lifted up in myriad contexts.

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 ArtWorker, 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 community-led outcomes. Deliver funding for this purpose in every Arizona county. Example grants and programs: AZ Youth Arts Council, AZ ArtWorker, AZ Creative Aging, AZ Creative Communities, Arts Learning Grants, Festivals Project 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, artist and organization cohort programs. – PS

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 lack instructors qualified/prepared to provide satisfactory arts-based learning opportunities to students. Finally, arts and culture organizations (which provide significant 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 build 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:

Quality arts learning opportunities in a variety of locations and across the age spectrum: Arizonans of all ages have access to quality, robust arts learning opportunities, whether in-school, out-of-school, or in community settings.

Solutions:

- a. Develop and provide innovative and current 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, focus on asset-based and creative youth development frameworks. – 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 such as the Arizona Arts Education Data Project; funding required for statewide travel, investment in research, and related materials. – LP, PS
- c. Continue to deliver grant funding to quality arts programming which supports lifelong learning in, through, and about the arts, and to quality youth-centered arts programming. Example grants and programs: Arizona Youth Arts Council, Arts Learning Grants, Lifelong Arts Engagement Grants, AZ Creative Aging, Creative Youth Development Cohort. – SF
- d. 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. – LP, SF
- e. 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: Arizona Youth Arts Council, Arts Learning Grants, Lifelong Arts Engagement Grants, AZ Creative Aging, Creative Youth Development Cohort. – LP, PS, SF

Issue 4 The contributions of Arizona's arts and culture sector workers are undervalued.

Description STRATEGIC ISSUE 4:

Artists, arts administrators, and arts educators provide substantial value to Arizona communities and are part of a significant labor market sector. According to Americans for the Arts' 2017 Creative Industries Report, Arizona is home to 14,522 arts-related businesses and 74,688 people employed in the arts sector. 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 4:

Artists as vital contributors: Arizona residents can make healthy livable wages working in myriad facets of the arts. Support artists, makers, and tradition-bearers of all experience levels, living and working across Arizona to extend their valuable contributions.

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, Artist Investment Cohort, 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: Opportunity Grants, Artist Research and Development Grants, Master-Apprentice Awards in partnership with Southwest Folklife Alliance. – 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, artist and organization cohort programs, 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

Issue 5 Statewide investment in arts and culture is inadequate 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, the sector remains undercapitalized and resources are most often concentrated in urban centers. In Arizona, major foundation-funders of arts activities generally fund a cohort of approximately twenty organizations, with all but one located in the Phoenix and Tucson metro areas, the result being that for many arts organizations providing service in rural communities, Arts Commission support might be the only institutional support to which they have regular access.

The Arts Commission seeks to build value for arts and cultural investment with myriad constituencies; and to provide opportunities for intra- and cross-sector networking, resource-sharing, and mutually-beneficial community and financial outcomes to support increased access to resources statewide.

GOAL/DESIRED OUTCOME 5:

Strengthen statewide distribution of resources: Recognizing the arts industry's role in economic viability and enhanced quality of life, policies and practices are developed and implemented across the public and private spectrum to ensure arts-based resources and opportunities reach every part of the State.

Solutions:

- a. Work to maintain, and grow, 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
- b. Conduct ongoing evaluation of agency programs alongside community partners and those most affected by Arts Commission services, as part of a comprehensive commitment to an equitable distribution of resources and opportunities in better alignment with Arizona demographics and the geographic location of residents. – LP, PS, SF
- c. 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
- d. 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. – LP, SF
- e. 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; AZ ArtWorker, AZ Creative Aging, AZ Creative Communities. – LP, PS
- f. 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

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	13.0	13.0	13.0
General Fund	3,500,000.0	3,500,000.0	3,750,000.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	1,085,000.0	1,220,000.0	1,320,000.0
Federal Funds	915,000.0	930,000.0	930,000.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Individuals benefiting from programs sponsored by Agency (in thousands)	10,178.2	6,000.0	9,054.3	8,000.0	10,000.0
Explanation: Figures for this measure are compiled in our online grants systems from grantee self-reporting and represent individual engagements.					
Number of applications for community-driven projects received/number funded	435/368	325/300	599/453	450/380	500/450
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	330	175	184	175	190
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	64	60	73	70	72
Explanation: Figures for this measure are compiled in our online grants systems from applicant self-reporting.					
Number of applications submitted by rural applicants	213	175	196	185	200
Explanation: Figures for this measure are compiled in our online grants systems.					
Percentage of applications submitted by rural applicants funded	69	70	77	75	80
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	340	100	172	100	120
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	41	50	40	45	50
Explanation: Figures for this measure are compiled in our online grants systems.					

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- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of applications submitted for arts education programs/dollar amount funded (in thousands)	123/2,878	50/1,000	127/171.9	55/230.0	75/300.0
Number of individual Arizona youth served by Commission programs and initiatives (in millions)	1.8	1.0	1.5	1.0	1.2

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)

Explanation: Figures for this measure are compiled in our online grants systems from grantee self-reporting and represent individual engagements.

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total amount of state investment in arts participation opportunities (in thousands)	3,301.8	2,500.0	3,205.7	3,200.0	6,000.0
Explanation: Figures for this measure are constructed by adding the following State monies provided to the Arts Commission: Arts Trust Fund and General Fund appropriation, where applicable.					
Total amount of other public and private funds leveraged for arts participation opportunities/state investment (in millions)	228/2.9	150/2.0	222/2.3	200/2.5	230/5.5
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	111	75	79	75	80
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	995	800	865	550	600
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)	189.4	175.0	181.6	180.0	185.0
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)	7.20	6.50	7.0	6.80	7.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	120.1	127.0	133.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	120.1	127.0	133.9
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 or implement a new system.

Issue 2 Implement system to enable licensees to print license from email or website.

Description Athletic trainers must display their license in the workplace. The agency currently mails hard copies on parchment paper. Providing the ability to print their own license will reduce the number of days they must wait for their license in order to work.

Solutions:

Work with ASET and providers such as Salesforce, Thentia, AdobeSign, and DocuSign to determine most secure and efficient process for providing licenses.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	1.5	1.5	1.5
General Fund	0.0	0.0	0.0
Other Appropriated Funds	133.9	133.9	133.9
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Athletic Training licenses issued including initials and renewals.	858	889	848	848	848
Explanation: # of licensees reduced due to COVID-19					
Number of Licensees	970	1,031	986	996	1,037
Explanation: Represents licensees who held an AT license at any time in FY 2021.					
Number of license renewals received	713	708	739	736	758
Explanation: Reduced # of renewals due to COVID-19 AT job losses.					
Average calendar days to renew a license	15	15	7	7	7
Average calendar days to issue a license.	17	17	9	9	9

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Complaints received	6	5	3	5	5
Disciplinary actions taken	4	4	3	4	4
Complaints resolved within 120 days	4	4	3	4	4

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of athletic training complaints received	6	5	3	4	4
Percent of licenses issued within 10 days of approval.	100	100	100	100	100
Complaints resolved within 120 days	4	5	3	4	4
Customer Satisfaction rating (scale 1-8)	5	5	5	5	5

Explanation: Customer satisfaction rating scale is 1-5, rather than 1-8.

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, Solicitor General's Office Division, and the State Government Division. Each division is further organized into sections that specialize in a particular area of practice.

The Operations Division is responsible for administrative operations.

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

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ LEGAL SERVICES	115,444.6	129,377.8	132,343.0
➤ CENTRAL ADMINISTRATION	16,494.7	19,690.4	17,690.4
Agency Total:	131,939.3	149,068.2	150,033.4
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	24,600.3	24,739.8	25,639.6
Other Appropriated Funds	45,075.4	60,389.3	59,224.6
Other Non Appropriated Funds	62,263.6	63,939.1	65,169.2
Total Funding	131,939.3	149,068.2	150,033.4
FTE Positions	1,048.5	1,064.8	1,105.8

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.
- Create 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 Solicitor General's Office Division.
- Reduce the need for outside counsel whenever possible, thereby preserving precious taxpayer resources.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	1,105.8	1,105.8	1,105.8
General Fund	25,639.6	25,639.6	25,639.6
Other Appropriated Funds	59,224.6	59,224.6	59,224.6
Non-Appropriated Funds	55,408.3	55,408.3	55,408.3
Federal Funds	9,760.9	9,760.9	9,760.9

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) Solicitor General's Office Division; (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 Solicitor General's Office 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	17,394.4	18,529.5	19,429.3
Other Appropriated Funds	44,341.8	58,224.6	59,059.9
Other Non Appropriated Funds	53,708.4	52,623.7	53,853.8
Total Funding	115,444.6	129,377.8	132,343.0
FTE Positions	956.4	976.8	1,017.8

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.

Description:

Civil Rights is a section of the Civil Litigation Division and its primary 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 is responsive to complaints filed with the office and also is proactive by providing civil rights education.

The section has administrative, community service, and civil enforcement functions. Section 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,335.3	1,284.8	1,284.8
Other Appropriated Funds	524.5	2,785.1	585.1
Other Non Appropriated Funds	1,248.8	1,285.9	1,285.9
Total Funding	3,108.6	5,355.8	3,155.8
FTE Positions	33.8	35.9	35.9

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of cases investigated	1,435	1,300	1,593	1,300	1,450
Explanation: More cases were filed with CRD in FY21 related to COVID mask requirements in public accommodations.					
Number of cases resolved	861	850	1,041	850	950
Explanation: In addition to increasing the number of cases investigated from FY20, in FY21 CRD increased the percentage of cases resolved as compared to cases investigated. CRD received a higher number of cases filed than anticipated, primarily due to novel legal issues presented by the COVID pandemic.					
Percentage of cases resolved using voluntary settlement agreements	12	15	11	12	12
Explanation: Parties were less willing to negotiate in mediations compared to previous years, which resulted in less settlements.					

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Number of lawsuits 1 3 5 4 5

Explanation: CRD increased the number of lawsuits filed due to an increase in cases filed with CRD and a decrease in voluntary settlement prior to litigation.

Number of lawsuits resolved 2 2 3 4 4

Explanation: CRD resolved more cases because more lawsuits were filed than expected.

Percentage of litigation cases resolved using voluntary settlement agreements 50 40 100 40 40

Explanation: This number is reflective of our efforts to settle cases after filing lawsuits. CRD also hired experienced attorneys skilled in negotiation.

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Number of cases referred to mediation 830 800 835 850 850

Number of Civil Rights discrimination cases mediated 179 140 205 140 150

Explanation: Our mediation team has increased mediation scheduling and pivoted to telephonic and virtual mediations, providing the parties opportunities to engage in settlement communications prior to the Division's investigation.

Percentage of Civil Rights mediations in which agreement was reached 52 55 48 45 45

Explanation: Despite this slightly decreased percentage from FY20, the number of successful mediations in FY21 actually increased by 26 from FY20. Success of mediation is highly dependent on the willingness of the parties to resolve the matter prior to any CRD investigation.

Maintain satisfaction rate of participants above 90 percent 96 95 0 95 95

Explanation: All mediations were virtual in response to COVID. Surveys were not returned during this FY.

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Number of training presentations and outreach events 9 10 8 12 12

Explanation: The shift is a result of the COVID pandemic the first half of FY2021. Fewer outreaches were requested and some of the scheduled ones were canceled. Despite the pandemic, CRD facilitated several virtual trainings for external stakeholders during this FY.

Subprogram Summary

CRIMINAL DIVISION

John Johnson, Division Chief Counsel
Phone: (602) 542-8482
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:

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 laundering of illicit proceeds and commit violent crimes. DRG works closely with law enforcement agencies from throughout the State and provides review and assistance in wiretap and undercover investigations. Additionally, the attorneys in DRG provide 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, HCFA 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. HCFA 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 not only to deprive organized crime of the property and profit that keep it in business, but also 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, fraud, and drug trafficking; facilitates the seizure of property; manages the seized property; prosecutes lawsuits seeking forfeiture of the seized property; liquidates forfeited property; and distributes the proceeds to victims of racketeering crime and to law enforcement agencies for additional investigations and prosecutions of 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, established to directly serve crime victims and support the governmental and non-profit agencies 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, statewide, who have requested notice with regard to direct and federal appeals and all appellate activity in death penalty cases. OVS staff also provides more than twenty types of non-mandated services to facilitate recovery from the personal and social effects of victimization. Additionally, OVS supports the courts and any state, county, and municipal law enforcement, custodial, prosecutorial, and correctional agencies that have duties established and defined by Arizona's victims' rights laws. These entities benefit from the OVS'

annual Victims' Rights Fund awards, as well as training and technical assistance that advance uniformity, efficiency, and victims' rights compliance. OVS is also responsible to review and resolve victims' rights complaints and promote compliance with Arizona Victims' Rights statutes and lead and participate in system improvement efforts through task forces, commissions, and workgroups.

Southern Arizona White Collar & Criminal Enterprise Section (SAWCCE): The Southern Arizona White Collar & Criminal Enterprise Section fights border-related crime by focusing its efforts against the Mexican cartels and U.S.-based transportation cells involved in the smuggling of drugs, weapons, money and humans across Arizona's southern border. SAWCCE also specializes in complex financial prosecutions, including mortgage fraud, securities fraud, and public corruption cases, along with identity theft, social security fraud, AHCCCS fraud, manufacturing of fraudulent credit cards, identity theft, and many other economic crimes. SAWCCE also emphasizes prosecution of elder financial exploitation crimes. SAWCCE attorneys also prosecute cases referred by other prosecutorial offices throughout the State when those offices have a conflict of interest.

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 Section (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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	11,248.9	11,882.0	12,378.0
Other Appropriated Funds	8,127.5	14,958.4	15,172.1
Other Non Appropriated Funds	16,619.1	18,204.6	19,434.7
Total Funding	35,995.5	45,045.0	46,984.8
FTE Positions	249.4	268.4	281.4

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Death penalty cases open	116	120	114	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	100	95	100	95	95

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	643	640	599	640	640
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	25	22	25	25
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Cases open (SAWCCE & DRG Section Totals)	803	900	984	950	950
Explanation: Increase in FY21 cases opened was due to numerous cases with multi defendants involved, including eight wiretap investigations.					
Opened cases resolved within the year (SAWCCE & DRG Section Totals)	295	500	366	400	450
Explanation: Increase in FY21 resolved cases was due to the increased cases charged in FY20 and those defendants being adjudicated in FY21.					
Number of defendants charged (SAWCCE & DRG Section Totals)	412	600	305	335	368
Explanation: While not a significant decrease for FY21, the decrease in number of defendants charged was due to the COVID19 restrictions and the grand jury being suspended. The grand jury started hearing cases again on August 17, 2020. In addition, there was no empaneled grand jury from February 1, 2021 through March 4, 2021 due to a spike in COVID19.					
Number of child abuse victims (SAWCCE & DRG Section Totals)	5	5	6	5	5

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Cases open (SAWCCE, FSP & HCF Section Totals)	2,095	2,100	2,095	2,100	2,100
Opened cases resolved within the year (SAWCCE, FSP & HCF Section Totals)	761	750	676	750	750
Explanation: For FY21, slight decrease in number of resolved cases was due to the decreased number of defendants charged because of the COVID19 restrictions and the grand jury being suspended. In addition, charged defendants are awaiting sentencing and final disposition. During this time, a large number of the charged defendants were continued due to limited access and other court related mandates.					
Matters reviewed but not opened (SAWCCE, FSP & HCF Section Totals)	264	100	249	100	100
Total victim losses (\$ millions) (SAWCCE, FSP & HCF Section Totals)	99.6	110	102	105	105
Total number of victims (SAWCCE, FSP & HCF Section Totals)	4,166	4,200	4,382	4,300	4,300
Explanation: For FY21, increase in number of victims was due to large and complex cases involving numerous victims.					
Restitution ordered by the courts (\$ millions) (SAWCCE, FSP & HCF Section Totals)	7.9	9	23.5	10	10

- Explanation:** For FY21, increase in restitution ordered was due to restitution ordered on large, complex victim cases. For example, included in FY21 are several cases with restitution in excess of \$2 million dollars and the Tennison case where restitution was over \$9 million dollars.

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
County Attorney conflict of interest referrals (SAWCCE, DRG, FSP & HCF Section Totals)	38	30	33	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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New Forfeiture cases opened 622 700 830 700 600

Explanation: Increase in FY21 cases opened was due to more case submittals from law enforcement agencies. FY22 and FY23 estimates assume a reduced number of case submittals due to new legislation that will become effective in the 2nd Quarter of FY22 that will restrict forfeiture case investigations, forfeiture eligibility, and litigations

Opened cases resolved within the year 1,112 750 745 700 600

Explanation: In FY20, the number of cases closed had more assets than those closed in FY21. In addition, restrictions placed on law enforcement officers, prosecutors and vendors also delayed cases being closed and asset disposition by FRS.

Howeve22 and FY23 estimates anticipate a trend in reduced number of resolved cases due to new legislation that will become effective in the 2nd Quarter of FY22 that will restrict forfeiture case investigations, forfeiture eligibility, and litigations.

Number of defendants (in rem/in personam) 1,193 1,000 816 750 650

Explanation: Decrease in FY21 number of defendants was due to the number of in rem assets and in personam defendants involved. The FY22 and FY23 estimates anticipate a trend in reduced number of defendants due to new legislation that will become effective in the 2nd Quarter of FY22 that will restrict forfeiture case investigations, forfeiture eligibility, and litigations.

Amount forfeited to State (\$ millions) 8.5 9 9 9 8

Explanation: FY21 amount forfeited met the estimated amount. This reflects that individual cases vary in the number of in rem assets and in personam defendants and value of assets involved. The FY22 and FY23 estimates anticipate a slight decrease in amount forfeited due to new legislation that will become effective in the 2nd Quarter of FY22 that will restrict forfeiture case investigations, forfeiture eligibility, and litigations.

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Law enforcement training seminars 21 10 10 20 15

Explanation: Decrease in FY21 number of trainings was due to no legislature or other changes impacting operations and demand for training on new issues. FRS made use of technology to conduct web-based training. In fact, FRS experienced an increase in the number of attendees at its standard quarterly trainings for statewide law enforcement agents and state attorneys.

Financial inquiry assists 2,756 2,500 526 800 1,000

Explanation: Decrease in FY21 financial inquiries was due to the decrease of Transaction Record Analysis Center (TRAC) staff. Additionally, the remaining TRAC staff have had to focus on FCTF case support (wires, sex trafficking cases and administrative functions) which drove the financial inquiries numbers down. Also AGO staff was able to run financial inquires instead of requesting them from SIS.

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of victim service network events participated in	110	130	129	130	130
Total awards disbursed (\$ millions)	2.2	2.2	2.2	2.2	2.2
Percent of VRP recipients in compliance with mandates	100	100	100	100	100
Number of trainings and presentations given	62	75	47	60	60
Explanation: Decrease in FY21 number of Victims' Rights trainings and presentations was due to the COVID19 pandemic and inability to conduct on-site trainings					
Number of attendees at trainings and presentations	1,363	1,350	2,840	1,800	1,800
Explanation: Increase in FY21 number of participants attending Victims' Rights training was a result of implementing webinar-based training due to the COVID19 restrictions. Although fewer trainings were offered, because people did not have to travel to attend a training and had more time to attend because of court shut-downs, more people were able to take advantage of the availability of this method of delivery.					
% of victims' rights violation allegations responded to	100	100	100	100	100
% of Victims' Rights award recipients satisfied with the Victim's Rights Program	100	90	100	90	90
Number of agencies audited	5	8	0	8	8
Explanation: Because of the COVID19 restrictions and inability to travel to agency offices to conduct audits, no on-site audits were conducted in FY21. However, all agencies received a desk audit, which is conducted annually.					

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of victims served	10,301	10,000	9,890	11,000	11,000
Explanation: Decrease in FY21 victims served was due to COVID 19 restrictions placed on prosecutors for charging cases which affected OVS' ability to open cases to count new victims.					
Number of mandated services provided	32,734	30,000	35,390	31,820	31,820
Explanation: Increase in FY21 mandated services was due to counting investigation-based services in the same manner as prosecution and appellate services and including the sum count of all mandated services provided by OVS. The increase also includes an increase in the number of proceeding continuances sent to victims as a result of COVID19 disruptions. (Count includes all non-mandated services in investigation, trial and appellate cases).					
Number of non-mandated services provided	88,561	75,000	89,119	80,180	80,180
Explanation: Increase in FY21 non-mandated services was due to counting investigation-based services in the same manner as prosecution and appellate services and including the sum count of all non-mandated services provided by OVS. (Count includes all non-mandated services in investigation, trial and appellate cases).					
Open restitution cases	425	350	418	350	350
Compliance checks of restitution orders conducted	1,661	1,770	1,068	1,700	1,700

- Explanation:** While there was a slight decrease in compliance checks of restitution orders in FY21, 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Open cases	529	550	529	550	600
Law enforcement assists	65	75	75	85	85
Matters reviewed but not opened by Duty Agent	3,674	3,800	7,783	3,800	3,800

- Explanation:** Increase in FY21 complaints was due to thousands of complaints received regarding DES where individuals reported having their information used to apply for unemployment benefits. In addition, numerous complaints related to potential COVID19 related fraud involving fraudulent test kits and services.

Subprogram Summary

CHILD AND FAMILY PROTECTION DIVISION

Virginia Gonzales, Division Chief Counsel
Phone: (602) 542-9942
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	81.4	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	81.4	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of preliminary protective hearings within five to seven days of filing initial dependency petition	5,499	5,700	5,175	5,300	5,300
Explanation: There has been a decrease in the number of actual children in care. During the COVID-19 pandemic, the number of dependency petitions filed decreased, resulting in a decrease of preliminary protective hearings.					

Number of dependencies filed by the DCS (including supplemental and in-home petitions)

Explanation: In an effort to slow the increase of dependency petitions, the DCS has reinstated prevention programs and implemented safety plans to reduce the number of children removed. In addition, during the COVID-19 pandemic, the number of reports received decreased.

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of hearings held to establish a permanent plan within 12 months	7,203	7,500	7,062	7,200	7,200
Explanation: Since the number of dependency petitions and children in care has decreased so has the number of Permanency Hearings.					
Number of reunifications achieved (child back with parents)	2,962	3,000	3,084	3,000	3,000
Explanation: The Department's objective and emphasis remains in achieving a timely and safe reunification with a parent. This includes providing a wide range of services and implementation of safety plans. These efforts combined with a decrease in the number of children in care has led to a higher number of children reunified with a parent.					
Number of guardianships achieved (child placed with guardian)	616	650	652	650	650
Explanation: The DCS has reassessed their permanency plans and is attempting to utilize more guardianships as case plans.					
Number of terminations achieved (child removed from parents)	2,233	2,900	2,041	2,300	2,300
Explanation: The DCS continues to focus on providing a wide range of services and safety plans in an effort to help parents achieve reunification. As a result, the number of terminations has decreased. Due to interruptions in family reunification services and parenting time that occurred during the pandemic the timelines are delayed and cases may remain open longer before permanency is achieved.					

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of children with paternity established	626	1,000	536	700	700
Explanation: The number of children for whom a paternity order was established through court action decreased this year because of the COVID-19 pandemic. Due to COVID-19, from July 1 DCSS continued not to ask the court to enter default Paternity orders.					

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Administrative, Civil and Appellate litigation resolved (cases closed)	1,113	900	1,018	1,000	1,000

Explanation: The number of cases closed is dependent on the number of cases referred to us by our client agencies, which fluctuates from fiscal year to fiscal year. In addition, it is not unusual for cases referred to our office in the latter half of one fiscal year to be set for hearing in the following fiscal year per the normal procedural course of these cases or for a hearing to take place in one fiscal year with a decision issued in the following fiscal year. An appeal may also be filed by the appellant in the following fiscal year. These factors will cause increases or decreases beyond what can be anticipated when calculating estimates for future fiscal years.

Civil Collection litigation resolved (judgments)	303	475	150	275	325
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Explanation: The decrease below estimate is due to a decrease in case referrals and requests for default judgments filed in the second half of FY21 that are still pending.

Criminal prosecutions completed successfully (sentenced)	288	350	177	280	300
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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. In addition, during the first half of FY21 in particular, there were decreases in cases referred for prosecution, cases filed, and cases sentenced as a result of COVID-19 and associated mitigation strategies. Due to DES staffing increases and the increase in unemployment insurance claims due to COVID-19, we expect increases in the number of criminal prosecution referrals going forward.

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

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Civil judgments (\$)	913,186	1,100,000	527,413	800,000	900,000

Explanation: The decrease below estimate is due to a decrease in case referrals and requests for default judgments filed in the second half of FY21 that are still pending.

Garnishment funds received (\$)	821,623	600,000	427,864	600,000	700,000
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Explanation: The decrease below estimate is due to a decrease in civil collections referrals and the corresponding decrease in civil collections judgments that give rise to garnishment proceedings.

Criminal restitution ordered (\$)	755,008	750,000	318,507	750,000	850,000
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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. In addition, during the first half of FY21 in particular, there were decreases in cases referred for prosecution, cases filed, and cases sentenced as a result of COVID-19 and associated mitigation strategies. Due to DES staffing increases and the increase in unemployment insurance claims due to COVID-19, we expect increases in the number of criminal prosecution referrals going forward.

Criminal restitution received prior to sentencing (\$)	686,808	750,000	532,801	750,000	850,000
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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. In addition, during the first half of FY21 in particular, there were decreases in cases referred for prosecution, cases filed, and cases sentenced as a result of COVID-19 and associated mitigation strategies. Due to DES staffing increases and the increase in unemployment insurance claims due to COVID-19, we expect increases in the number of criminal prosecution referrals going forward.

◆ **Goal 6** To provide comprehensive legal advice to the Department of Economic Security and Department of Child Safety.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Hours of counsel and advice	29,143	31,000	32,284	31,000	31,500

Explanation: The section experienced an increase in requests for legal advice beyond the program specific advice that the section provides on a regular basis.

Subprogram Summary

CIVIL DIVISION

Joe Sciarrotta (CLD) & Dawn Northup (SGD), 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.

Protect the public from consumer fraud and provide advocacy and public education regarding consumer protection issues. Ensure that tobacco manufacturers and distributors comply with state laws and enforce the tobacco settlement that benefits state health programs. Protect competition and consumer welfare by enforcing Arizona's antitrust statutes. Promote and enforce Arizona's civil rights laws. Collect debts owed to the State of Arizona efficiently, expeditiously and fairly. Provide state-wide prevention education on a variety of topics and interact with the public through trainings and hosting public events.

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, 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 responsibilities of the Division's civil sections include managing the State's civil appellate matters, and handling matters to protect the state's sovereignty from federal overreach including litigating complex cases involving significant constitutional and statutory interpretation, or institutional issues. The civil section also supervises the production of formal Attorney General opinions, as well as defending state statutes from legal challenges, handling election enforcement matters on behalf of the office, taking civil enforcement actions for improper expenditure of public monies, and handling legislative requests for investigation pursuant to SB 1487. The civil section also serves as a clearinghouse for lawyers throughout the Attorney General's Office on a variety of special projects, and providing policy support in the specific areas of ethics, specialized litigation, and key programs as prioritized by the Attorney General.

The Division's major duties are to enforce the administrative, consumer protection and antitrust laws. 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. The Section handles complaints reported to the office by consumers. The Section also enforces laws that protect competition and consumer welfare. Another responsibility of the Section is to enforce the Tobacco Master Settlement Agreement and related statutes, which brings to Arizona approximately \$100 million each year. TEU also administers a robust Youth Tobacco Counter Strike Program.

Community Outreach and Education (CMO): CMO travels state-wide providing prevention education to more than 60,000 Arizonans annually. Staff work closely with schools across the state to educate children, parents and community groups on a variety of topics, including internet safety, suicide prevention, human trafficking, consumer scams, and life care planning, among other topics. CMO maintains interaction with the public through these trainings, in addition to responding to phone and email inquiries, building partnerships with outside organizations, and hosting public events. Outreach staff also maintains a network of neighborhood satellite offices and centers throughout Arizona. Satellite offices are staffed by volunteers trained to provide information and take complaints on consumer fraud, predatory lending, civil rights and other topics of community concern.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	4,728.8	5,012.7	5,416.5
Other Appropriated Funds	35,689.8	39,581.1	42,402.7
Other Non Appropriated Funds	35,840.5	33,133.2	33,133.2
Total Funding	76,259.1	77,727.0	80,952.4
FTE Positions	671.2	670.5	698.5

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Amounts recovered, generated, and/or saved (in millions of dollars)	52	150	210	125	125

Explanation: The amounts are a calculation of revenues received by the State Land Department from successful litigation, 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 2020 figure reflects the postponement of a major transaction until Fall 2020. FY 2021 was an historically lucrative year for ASLD. Based on matters for which NRS is currently providing assistance, the FY 2022 estimate is a best guess based on uncertainty over whether and when certain transactions may be completed.

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average months in suit: per tort lawsuit - AGO	23	25	25	25	25
Average months in suit: per tort lawsuit - OSC	35	35	19	35	35

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 - AGO	319	300	337	320	320
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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	203	200	207	200	200
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Average billable hourly rate: per tort lawsuit - AGO	97	100	104	100	100
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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 tort lawsuit - OSC	246	245	255	250	250
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Explanation: More cases were referred to OSC this year.

Average months in suit: per employment lawsuit - AGO	23	20	25	25	25
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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 employment lawsuit - AGO	342	250	606	300	300
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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	138	138	157	160	160
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Explanation: Actuals and estimates for Goals 2.9 and 2.10, for FY 2020 and 2021 were transposed on last year's submittal.

Average billable hourly rate: per workers compensation matter: AGO	166	160	143	140	140
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Explanation: Actuals and estimates for Goals 2.9 and 2.10, for FY 2020 and 2021 were transposed on last year's submittal.

- ◆ **Goal 3** To provide the highest quality legal advice, representation, and training to the various agencies, boards, and commissions including but not limited to: Game and Fish, Departments of Administration, Corrections, Juvenile Corrections, Gaming, Racing, Arizona State Lottery Commission, Arizona State Retirement System and the court system.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Advice matters and files opened 579 600 428 500 500

Explanation: While the overall number is less, some of the matters were complex and were not resolved as quickly as anticipated. Advice requests slowed down during the COVID 19 period. Anticipate less advice matters for FY22 due to reduction in attorney staff.

Civil litigation files opened 264 275 258 275 275

Explanation: Slow down in regulatory activities for the agencies and reduced procurement protests. Some cases are more complex and require more time.

Cases resolved within the year 380 300 459 350 350

Explanation: Cases that were more complex and required more time from the previous year were resolved this year. Increased diligence in closing cases that have been completed.

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Meetings with client agency directors and/or commissioners 382 375 495 375 375

Training sessions with clients 16 10 27 15 15

Explanation: Increased requests from client agencies for training on various subjects, including the establishment of the IRC and associated training.

- ◆ **Goal 5** To timely issue formal legal opinions.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Days to respond to a request for a legal opinion 77 120 64 120 120

- ◆ **Goal 6** To be responsive to public concerns about consumer fraud.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Complaints Opened 13,437 13,500 15,105 13,500 13,500

Explanation: CIC received more complaints than anticipated because of the COVID-19 pandemic.

Complaints closed 13,767 13,500 14,366 13,500 13,500

Telephone calls received from the public 37,500 35,000 40,756 35,000 35,000

Explanation: CIC received more phone calls than anticipated because of the COVID-19 pandemic.

- ◆ **Goal 7** To deter fraudulent business practices as a means to protect consumers from fraud.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Judgments 15 15 22 15 15

Explanation: CPA resolved several long-running local cases, had a higher-than-usual number of multistate judgments, and also resolved two cases related to the COVID-19 pandemic.

Consumer Restitution Awarded (\$ thousands) 25,882 10,000 30,815 10,000 10,000

Explanation: CPA obtained \$24 million in restitution for over 200,000 consumers in a settlement with Arizona Public Service.

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Youth compliance checks conducted 2,434 2,000 213 2,000 2,000

Explanation: We had to stop performing compliance checks due to the pandemic. We have begun again, so, absent further work stoppages due to Covid (or other issues), we should be able to hit the FY22 estimate.

- ◆ **Goal 9** To protect and promote competition for the benefit of Arizona consumers through enforcement of the Arizona Uniform Antitrust Act.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Restitution ordered for Arizona consumers and costs recovered in antitrust cases (\$ dollars) 167,421 75,000 116,146 75,000 75,000

Explanation: The office received \$116,146 in costs and fees from the antitrust unit's work during the LIBOR investigation and resulting four settlements.

- ◆ **Goal 10** To collect debts owed to the State of Arizona efficiently, expeditiously and fairly.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Revenue Increase Over Prior Year. FY18, FY19, FY20 (\$ thousands) 10,800 8,000 11,000 8,000 10,000

Explanation: We estimated \$8 million last year due to the uncertainty of the COVID pandemic. Collections were higher due to the strategies we put in place beginning in 2015 to increase all collection metrics (lawsuits filed, judgments obtained, payment agreements, levies, etc.).

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 two areas: Executive Office and Operations Division

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 and legislative and public affairs. 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.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	7,205.9	6,210.3	6,210.3
Other Appropriated Funds	733.6	2,164.7	164.7
Other Non Appropriated Funds	8,555.2	11,315.4	11,315.4
Total Funding	16,494.7	19,690.4	17,690.4
FTE Positions	92.1	88.0	88.0

- ◆ **Goal 1** To optimize the use of State funds in fulfilling the mission of the Attorney General's Office.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Administrative costs as a % of total costs	4.6	5.2	4.9	4.6	4.5
◆ Goal 2 To provide a superior level of legal services to our client agencies.					

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Customer satisfaction rating for client agencies (scale of 1 to 8, with 8 the highest)	7.42	7.40	7.45	7.45	7.45

- ◆ **Goal 3** To retain professional, experienced staff whose skills serve both state residents and client agencies.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of agency staff turnover	19.7	18	19.9	18	18

Agency Summary

BOARD OF BARBER EXAMINERS

Bruce Bueno, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	384.7	408.9	408.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	384.7	408.9	408.9
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 proceedings 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 regarding 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 Association 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 requirements 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 a 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 favorable. 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 Governor Ducy's Executive Order 2015-001 that requires each agency to accept electronic payments, our Agency is working closely with Aset.

Solutions:

Aset has brokered a contract with Deloitte as our vendor to transfer our data to a new format that will allow electronic payments. Aset is also transferring 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 circumstances 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	4.0	4.0	4.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	408,900.0	408,900.0	408,900.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
New examination applications accepted	392	600	770	770	770
Percent of examinations passed	85	85	85	85	85
Number of written examinations given	589	500	770	770	770
Number of practical examinations given	589	500	770	770	770
Number of new barber/instructor licenses issued	428	500	654.5	654.5	654.5
Number of new shop/school licenses issued	285	315	207	207	207

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of inspections conducted	600	1,700	80	1,700	1700
Percent of total inspections passed	90	80	70	80	80
Number of complaints received	40	50	40	50	50
Avg. calendar days from receipt of complaint to start of investigation	14	14	14	14	14

◆ **Goal 3** To serve licensees in an efficient manner.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average number of calendar days from receipt of application to acceptance or denial	15	15	15	15	15
Administrative cost as a percent of total cost	5	5	5	5	5
Number of all licenses	11,081	10,400	11,000	11,500	11,500

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 Board of Behavioral Health Examiners licenses and biennially renews licensure for approximately 14,608 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,718.6	1,776.1	1,982.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,718.6	1,776.1	1,982.1
FTE Positions	17.0	17.0	20.0

5 Year Plan

Issue 1 The increased volume of licensure applications is impacting the processing time from application receipt to license issuance.

Description In FY18, the Board received 1704 applications, and in FY21 received 2649, which is an increase of 945 applications , which is a 55.3% increase. 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 55.3% 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 will continue to streamline application processing through increased use of electronic systems.
2. The Board will maximize existing credentialing staff by restructuring responsibilities by application type and level of complexity.
3. The Board delegated authority to the Executive Director to approve licenses pursuant to Laws 2019, Chapter 195, which allowed the Board to issue licenses biweekly rather than monthly.
4. The Board is continuing 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 FY20, 90% 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.

Solutions:

The Board plans to continue evaluating processes and communication 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	20.0	20.0	20.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,982.1	1,982.1	1,982.1
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of application reviews completed within 180 days	99	99	99	99	99
Number of new and existing licenses issued	12,906	13,600	13,929	15,322	16,854
Administration as a percentage of total cost	4.9	5.0	5.0	5.0	5.0
Applications received	2,242	2,200	2,649	2,914	3,526
Individuals licensed	1,940	2,050	2,200	2,420	2,662
Renewals received	4,703	5,200	5,594	6,153	6,768
Average number of days to renew a license from receipt of application to issuance	8	8	8	8	7
Average number of days to process verifications	4	5	5	5	5
Verifications received	313	275	518	570	627
Numbers of inspections/investigations	661	650	687	758	834
Average days to resolve a complaint	211	180	186	186	180
Number of complaints received about licensees	156	150	180	198	218

Agency Summary

STATE BOARD FOR CHARTER SCHOOLS

Ashley Berg, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,731.4	2,103.0	3,747.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	102.2	0.0	0.0
Total Funding	1,833.6	2,103.0	3,747.7
FTE Positions	24.0	24.0	24.0

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 performance
- 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."

Statute requires the Board to ground its actions in evidence of a charter holder's performance in accordance with its adopted performance frameworks. Successful implementation of the Board's Academic Performance Framework relies on the State Board of Education's A-F accountability determinations and the Arizona Department of Education's school improvement designations. The Board calculates ratings using the A-F letter grades and school improvement designations for its schools under its Academic Performance Framework and provides monitoring and oversight for charters that do not meet the Board's academic performance expectations. Oversight includes disciplinary action up to and including closure.

Solutions:

To increase the quality of educational choices for students, the Board is seeking additional funds to support its academic team which will ensure the Board can and will retain qualified staff to continue implementing processes and reviews within the Board's Academic Performance Framework and Academic Systems Review. The Board will continue to improve academic rigor within its charter portfolio by holding schools accountable to the high expectations within its Academic Performance Framework and ensure disciplinary action is implemented with validity.

Due to the ongoing pandemic, state letter grades were not issued by the Arizona Department of Education for FY2020 and FY2021. Therefore, during FY 2022, the Board will utilize state testing data from FY2021 and may review a charter's internal benchmark data when taking board action. Staff will continue to conduct Academic Systems Reviews for charters in Interval Review. Once state letter grades are issued, the Board will update each charter's academic dashboard accordingly and will hold schools accountable based on those letter grades pursuant to the Board's Academic Performance Framework.

- Issue 2** Provide effective oversight of a charter's operational performance and 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."

Statute requires the Board to ground its actions in evidence of a charter holder's performance in accordance with its adopted performance frameworks. The Board's Operational Performance Framework was adopted in October of 2014. For a charter holder to meet the operational performance expectations, it must have an overall rating of "Meets Standard" for the current fiscal year and the two prior fiscal years for which an overall rating was calculated and have no measure that receives a "Falls Far Below Standard" rating in the current year, as represented on its dashboard. Operational compliance oversight includes disciplinary action up to and including closure.

Solutions:

The Board will continue to improve operational compliance within the charter portfolio by holding schools accountable to the Operational Performance Framework, ensuring disciplinary action is implemented with validity, and providing guidance and information to charters related to operational compliance. Additionally, the Board is seeking additional funds to support staff to help maintain qualified staff to ensure compliance within the Board's portfolio. Additional staff dedicated to the successful implementation of the Board's Operational Performance Framework will be added to enhance monitoring and oversight of the charter portfolio. The Board will review and revise the Operational Performance Framework as a means to improve operational accountability within its charter portfolio by holding schools accountable to high expectations.

Issue 3	Provide effective oversight of a charter's financial performance and 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 updated its Financial Performance Framework and adopted rule and policy the Board can use for accountability purposes, including intervention and improvement policies. Statute requires the Board to ground its actions in evidence of a charter holder's performance in accordance with its adopted performance frameworks. Effective September 2021, three probation risk levels were added to administrative rule to determine appropriate actions beginning with those charter holders that do not meet the Financial Expectations due to receiving Intervention ratings for two consecutive years based on the fiscal years 2020 and 2021 audits.

Solutions:

In July 2019, the Board implemented its new Financial Performance Framework and fiscal year 2020 transition plan, which was approved by the Board at the December 10, 2018 meeting. The Financial Performance Framework communicates the Board's expectations for ensuring that all charter holders in its portfolio are viable organizations with strong fiscal management practices. The Board will hire additional staff dedicated to the successful implementation of the new Financial Performance Framework and is seeking additional funding to contract with financial experts to conduct more in-depth reviews of charters' financials. The Board will continue to improve financial compliance within the charter portfolio by holding schools accountable to the Financial Performance Framework and ensuring disciplinary action is implemented with validity. Financial compliance oversight includes disciplinary action up to and including closure.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	24.0	24.0	24.0
General Fund	2,152,100.0	2,152,100.0	2,152,100.0
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 continue to monitor and improve the Board's Performance Frameworks and processes in order to meet the changing needs of the educational landscape and to ensure compliance and high expectations of the charter schools it authorizes.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Board sponsored charters with one or more sites in operation	422	440	413	430	450
Number of Board sponsored charter school sites in operation	536	550	545	572	572
Number of annual on-site monitoring visits	129	180	145	190	190
Explanation: Reflects first-year, 2nd year, interval review and renewal site visits only. Visits are conducted at the school level and are based on the year in which the charter began operations. For FY2021 due to the Covid pandemic all site visits were conducted virtually.					
Number of targeted on-site monitoring visits.	24	80	14	35	35
Explanation: Separating annual from targeted compliance-related on-site monitoring visits. For FY2021 due to the Covid pandemic all site visits were conducted virtually.					
Number of contract amendments processed annually not related to expansion.	540	550	668	700	700
Explanation: Separating expansion from non-expansion requests processed.					
Number of contract amendments processed annually for expansion.	82	75	45	75	75
Explanation: For FY20 and beyond expansions include: New School, Replication Applications, School Specific Change in Grades Served, Charter Grade Level Amendment, Arizona Online Instruction Program of Instruction Amendment, Adding Grade Levels to Charter Amendment, Grade Level Change to Charter Amendment Request, Enrollment Cap Increases.					
Number of charter holder annual audits reviewed.	407	411	411	413	450
Number of corrective action plans mandated based on fiscal or contractual noncompliance.	204	210	28	30	30
Explanation: Any non-compliance matter requiring further action by charter holder and the Board.					
Number of corrective action matters prepared for Board consideration.	30	40	18	30	40
Number of disciplinary actions that resulted in withholding of funds.	10	10	3	5	5
Number of Notices of Intent to Revoke Charter issued.	2	5	1	5	5
Explanation: Revocation proceedings cross fiscal years, but are only reported once.					
Number of charter contracts voluntarily surrendered.	6	10	4	10	10
Explanation: Only includes charter contracts voluntarily surrendered and approved by the Board.					
Number of charter contracts surrendered under duress.	5	5	3	5	5
Explanation: Includes charters surrendered after a notice of intent to revoke was issued, under consideration of disciplinary action, current corrective action required, potential F rated school, etc.					

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of F rated schools evaluated.	12	10	0	0	10
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. State letter grades were not issued by the Arizona Department of Education for FY 2020 or for FY 2021 due to the Covid pandemic					
Number of Consent/Settlement Agreements entered.	6	15	12	15	15
Number of charter contracts revoked.	0	5	0	5	5
Number of charter schools closed.	8	10	11	10	10
Explanation: Includes schools operated under surrendered and revoked charters, non-renewals, and other school closures that were approved by the Board during the fiscal year.					
Number of student record requests processed.	300	300	330	350	360
Number of five-year interval reviews completed.	118	160	161	93	100
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. For FY2021 due to the Covid pandemic all site visits were conducted virtually.					
Number of First-Year reviews completed	15	10	19	19	15
Explanation: New measure in FY18. A review of the charter holder and school in its first year of operation is reviewed prior to the on-site monitoring visit. For FY2021 due to the Covid pandemic all site visits were conducted virtually.					
Number of annual complaints regarding sponsored schools	246	250	190	250	250
Explanation: Complaints are reviewed for contractual compliance and processed accordingly.					
Number of D rated schools evaluated by staff.	24	25	0	0	25
Explanation: State letter grades were not issued by the Arizona Department of Education for FY 2020 or for FY 2021 due to the Covid pandemic.					

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ INVESTIGATIONS AND OPERATIONS	274,085.7	274,123.2	304,123.2
➤ SUPPORT SERVICES	290,723.1	543,661.6	550,245.6
➤ OUT-OF-HOME CARE	199,025.6	223,852.7	243,052.7
➤ PERMANENCY	287,439.8	290,775.4	305,175.4
Agency Total:	1,051,274.2	1,332,412.9	1,402,596.9
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	372,440.6	405,728.8	429,712.8
Other Appropriated Funds	678,284.9	921,794.8	967,994.8
Other Non Appropriated Funds	548.7	4,889.3	4,889.3
Total Funding	1,051,274.2	1,332,412.9	1,402,596.9
FTE Positions	3,194.1	3,206.1	3,218.1

Department of Child Safety

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Mike Faust
Mike Faust
7/15/21

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, objectives, metrics, and initiatives have been developed and aligned to reach our vision through daily application of our shared values:

- **Safety** - We are safety experts. We create physically and psychologically safe environments for children, families, caregivers, staff, and service providers. Our organizational culture provides safety to explore all ideas and topics, learn about other perspectives, and support one another.
- **Compassion** - We are **Compassioneers**. Every day, we work with empathy and respect for all. We lead with kindness in understanding that families are influenced by their experiences. We treat every child, family and caregiver as if they were our own, and connect with people by seeking all points of view.
- **Change** - We are all born to grow. We are curious, open to change, and seek continuous improvement, driven toward our vision and mission.
- **Accountability** - We hold ourselves to the highest levels of professionalism. We embrace practice and process standards in order to provide the very best services consistently and efficiently, with transparency and privacy for children and families.
- **Advocacy** - When children can't speak for themselves, we can. As leaders in child well-being, we advocate to make the world a better place for children, while helping their families improve and heal. We champion actions that strengthen communities, families, and our staff.
- **Family** - Family reaches beyond the home. As the DCS family, we strengthen each other by connecting people with their communities so that all can thrive in a safe and supportive environment.
- **Engagement** - Engagement means listening and being responsive to earn the trust of all we encounter. Through engagement, we make discoveries together and build upon individual strengths. We involve families in decisions and help them find family-specific solutions.
- **Teaming** - The best decisions are made together. We use our collective knowledge and consider everyone's viewpoints to identify opportunities, solve problems, and provide the best possible outcomes, because child safety is a responsibility we all share.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	All decisions are data informed, timely, mission-focused, built for sustainability and consider system implications	2017	In-home transfer process complete, Supervision Coaches in place and coaching supervisors and program managers. Redesign of ongoing supervision rolling out. Planning for adoptions supervision standardization has started.
2	DCS culture that fosters and inspires mission-driven professionals who believe in and practice our shared values	2016	Three-tiered structure developed and being implemented combating racial disparity in Foster Care. Tier 1 – Internal committee; Tier 2 – partnership with child protection stakeholders; Tier 3 – connectivity to community partners High Five System tied to core values so staff can recognize one another for practicing shared values. Modernizing recruitment process through social media campaigns.
3	Design, implement and ensure fidelity of a service array that is individualized to strengthen families, cost efficient, and accessible by all who require support.	2017	Behavioral Health Integration successfully launched. Service array redesign to launch July 2021.
4	Every child is paired with a caregiver who receives necessary supports, and is able to meet the child's needs and support the child's permanency goal	2017	Initial congregate care facilities have been certified as Q RTP (Qualified Residential Treatment Program), phase 2 agencies are in process of becoming certified. New, foster parent orientation to launch that directly connects potential foster parents to "best match" licensing agencies.
5	DCS data is complete, accurate, protected, governed, and used to inform decisions	2017	Deployment of Guardian Release 0 is complete as of Feb 1, 2021. Bugs/issues are prioritized and bundled as part of Release 1 Reporting still in development and progressing.

Department of Child Safety

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

#	Annual Objective	Objective Metrics	Annual Initiatives
1	<p>All decisions are data informed, timely, mission-focused, built for sustainability and consider system implications</p> <ul style="list-style-type: none"> • Increase number of units that have standardized clinical and administrative supervision implemented • Increase number of functions that have standard work, process adherence resources, and performance management processes pertaining to mobile work and telecommuting 	<ul style="list-style-type: none"> • Percent (%) of units will have standardized clinical and administrative supervision implemented • Percent (%) of DCS functions will have standard work, process adherence resources, and performance management processes pertaining to mobile work and telecommuting 	<ol style="list-style-type: none"> 1. Implement standardized clinical supervision in remaining ongoing case management units 2. Implement standardized administrative supervision and performance management in remaining ongoing case management units 3. Refine standard work, process adherence resources, and performance management processes (including mobile and telecommuting work force)
2	Foster and inspire an effective and engaged workforce comprised of mission-driven professionals who believe in and practice our shared values	<ul style="list-style-type: none"> • Reduce agency employee turnover • Reduce Supervisor turnover • Increase percentage of leaders receiving coaching on a monthly basis • Increase proficiency score of Supervision Coaches • Quantitative measure of Leaders, PM and above, practicing our core values • Qualitative measure of Leaders, PM and above, practicing our core values • Increased proficiency and frequency in recognizing and discussing bias during clinical supervision 	<ol style="list-style-type: none"> 1. Develop and implement an aligned leadership and management culture that embodies and promotes our shared values, a learning and coaching mindset, and behavioral integrity 2. Increase and improve communication to develop relationships and trust between DCS and the community, and to develop skill in recognizing and discussing bias during clinical supervision.
3	<p>Design, implement and ensure fidelity of a service array that is individualized to strengthen families, cost efficient, and accessible by all who require support.</p> <ul style="list-style-type: none"> • Increase the percentage of children entering out-of-home care who are reunified within 12 months of entry without increasing post-reunification re-entry rates • Improve the clinical and therapeutic supports for children served in-home or out-of-home, and their parents and caregivers 	<ul style="list-style-type: none"> • Percent (%) of children entering out-of-home care who are reunified within 12 months of entry, without increasing post-reunification re-entry rates • Percent (%) of children and youth in out of home care receiving timely comprehensive wellness exams (EPSDT) and behavioral health assessments 	<ol style="list-style-type: none"> 1. Implement enhancements to the direct services array (supports FFPSA) 2. Increase awareness of cross-agency process and develop efficient, operational partnerships with child-welfare system partners to improve service delivery that promotes child safety, strengthens families and promotes child well-being (ADE, DHS, AG's, DES, QFCO, Courts and others) 3. Monitor and improve integrated behavioral and physical health system within DCS
4	<p>Every child is paired with a caregiver who receives necessary supports, and is able to meet the child's needs and support the child's permanency goal</p> <ul style="list-style-type: none"> • Decrease the number of placement moves per 1,000 care days • Increase the percentage of care days spent in a family setting • Establish a baseline of the number and percentage of care days per month spent in a QRTP for each child cohort type 	<ul style="list-style-type: none"> • Number (#) of placement moves per 1,000 care days • Percent (%) of care days spent in a family setting • Settlement Compliance (SC): Substantial compliance met in 100% of required actions within applicable deadlines. • Settlement Compliance (SC): Outcome measures met and sustained for the periods specified, before 12/31/2025. 	<ol style="list-style-type: none"> 1. Increase the skills and array of caregivers, including the development of QRTPs 2. Refine and implement caregiver training to improve support of children and youth with higher needs 3. Redefine the support infrastructure for foster families to improve the recruitment experience and match the level of support between caregivers and the needs of children in their care 4. Finalize and implement a child to out-of-home caregiver matching process 5. (SC) Develop and implement a standardized review of required actions. 6. (SC) Engage plaintiffs' counsel in <i>ad hoc</i> subject matter conferences and semi-annual review conferences. 7. (SC) Identify, review, and provide deliverable documents to plaintiffs' counsel as described. 8. (SC) Determine and request verification of compliance as actions are completed.
5	<p>DCS data is complete, accurate, protected, governed, and used to inform decisions</p> <ul style="list-style-type: none"> • Map business processes transitioned to Guardian, ensure measurable performance metrics • Complete IT implementation plan 	<ul style="list-style-type: none"> • Measure of Business Processes that are bug-free and sustainable with minimal manual intervention • Percent (%) complete of IT implementation plan 	<ol style="list-style-type: none"> 1. Launch Guardian and update related business processes 2. Implement continuous improvement for business processes through release and deployment. 3. Stabilize IT infrastructure and processes through continuous improvement initiatives.

5 Year Plan

Issue 1 All decisions are data informed, timely, mission-focused, built for sustainability and consider system implications.

Description Development of standard work for case management and supervision.

The Departments Five-Year Agency Strategic Priorities are as followed:

- All decisions are data informed, timely, mission-focused, built for sustainability and consider system implications.
- DCS culture that fosters and inspires mission-driven professionals who believe in and practice our shared values.
- Design, implement and ensure fidelity of a service array that is individualized to strengthen families, cost efficient, and accessible by all who require support.
- Every Child is paired with a caregiver who receives necessary supports, and is able to meet the child's needs and support the child's permanency goal.
- DCS data is complete, accurate, protected, governed, and used to inform decisions.

The FY 22 Strategic objectives align with the five year priorities.

Solutions:

Objective 1.1: Implement standardized clinical supervision in remaining ongoing case management

Objective 1.2: Implement standardized administrative supervision and performance management in remaining ongoing case management units.

Objective 1.3: Refine standard work, process adherence resources, and performance management processes (including mobile and telecommuting workforce)

Issue 2 DCS culture that fosters and inspires mission-driven professionals who believe in and practice our shared values.

Description Develop a culture that embodies and promotes our shared values, while working towards modernizing recruitment process through social media campaigns and other internet job engines such as LinkedIn.

Solutions:

Objective 2.1 Develop and implement and align leadership and management culture that embodies and promotes our shared values, a learning and coaching mindset, and behavioral integrity.

- Reduce Agency employee turnover
- Reduce Supervisor turnover
- Increase percentage of leaders receiving coaching on a monthly basis
- Increase proficiency score of Supervision Coaches

Objective 2.2 Increase and improve communication to develop relationships and trust between DCS and the community, and to develop skill in recognizing and discussing bias during clinical supervision.

Issue 3 Design, implement and ensure fidelity of a service array that is individualized to strengthen families, cost efficient, and accessible by all who require support.

Description Develop and rollout new service array that aligns with FFPSA, while working in partnership with child-welfare system providers to improve service delivery to children and families.

Solutions:

Objective 3.1 Implement enhancements to the direct services array (supports FFPSA)

Objective 3.2 Increase awareness of cross-agency process and develop efficient, operational partnerships with child-welfare system partners to improve service delivery that promotes child safety, strengthens families and promotes child well-being (ADE, DHS, AG's, DES, QFCO, Courts and others)

Objective 3.3 Monitor and improve integrated behavioral and physical health system within DCS

Issue 4 Every Child is paired with a caregiver who receives necessary supports, and is able to meet the child's needs and support the child's permanency goal.

Description Provide the support to caregivers to ensure placement stability and support of that caregiver.

Solutions:

Objective 4.1 Increase the skills and array of caregivers, including the development of QRTPs

Objective 4.2 Refine and implement caregiver training to improve support of children and youth with higher needs

Objective 4.3 Redefine the support infrastructure for foster families to improve the recruitment experience and match the level of support between caregivers and the needs of children in their care

Objective 4.4 Finalize and implement a child to out-of-home caregiver matching process

Objective 4.5 (SC) Develop and implement a standardized review of required actions.

Objective 4.6.(SC) Engage plaintiffs' counsel in ad hoc subject matter conferences and semi-annual review conferences.

Objective 4.7.(SC) Identify, review, and provide deliverable documents to plaintiffs' counsel as described.

Objective 4.8.(SC) Determine and request verification of compliance as actions are completed.

Issue 5 DCS data is complete, accurate, protected, governed, and used to inform decisions.

Description •Map business processes transitioned to Guardian, ensure measurable performance metrics

- Complete IT implementation plan

Solutions:

Objective 5.1 Launch Guardian and update related business processes

Objective 5.2 Implement continuous improvement for business processes through release and deployment.

Objective 5.3 Stabilize IT infrastructure and processes through continuous improvement initiatives.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
# of Agency FTE Count	2,761	2,916	2,658	2,916	2,916
% of Arizona Management System Adoption	89	95	92.3	95	95
AMS Implementation Score	2.91	3	3.12	3	0
Total # of Children in Out of Home Care (0 -17)	13,257	0	13,725	0	0
Total # of Children in Out of Home Care (18-21)	990	0	1,215	0	0
Of the Children who entered care 1 year ago this mont, what % of those children have exited care to reunification, adotption or guardianship (Kinship / Foster)	43	42	40	43	43
% of Children (0-17) whose predominat placement type is in a family like setting (Kinship / Foster)	81.7	83.5	82.1	81.7	83.5
Total Agency Turn-over (rolling 12 months)	28.54	25	33.5	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	138,725.1	142,863.0	142,863.0
Other Appropriated Funds	135,260.0	131,176.2	161,176.2
Other Non Appropriated Funds	100.6	84.0	84.0
Total Funding	274,085.7	274,123.2	304,123.2
FTE Positions	3,191.1	3,135.1	3,135.1

- ◆ **Goal 1** To provide quality leadership and training opportunities to enhance the delivery of quality services and promote accountability.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total Number of Open DCS Reports	4,766	0	10,650	0	0
Number of Inactive Cases	95	0	303	500	500
Number of case carrying staff	1,347	1,406	9,54	1,406	1,406
Number of Field Operations Administative Staff including OCWI	915	929	904	929	929
Number of Non-Field Specific Staff	546	500	520	546	546
Hotline Screen In %	59.3	0	57	0	0
Number of Communication and Reports to the Hotline	155,887	0	151,784	0	0
Number of Criminal Conduct Reports	5,650	0	5,991	0	0
% Response on Time	95.05	93.5	95.5	95.05	0
Overtime Expense in Dollars	5,257,249	5,700,000	4,682,300	5,700,000	5,700,000
Total reports received at the Hotline	45,159	0	44,207	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	59,916.4	62,679.5	62,679.5
Other Appropriated Funds	56,019.1	48,593.1	78,593.1
Other Non Appropriated Funds	100.6	84.0	84.0
Total Funding	116,036.1	111,356.6	141,356.6
FTE Positions	1,310.9	1,254.9	1,254.9

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.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,260.0	0.0	0.0
Other Appropriated Funds	2,165.4	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	4,425.4	0.0	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	150.0	150.0	150.0
Other Appropriated Funds	9,000.0	9,000.0	9,000.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	9,150.0	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	503.8	459.3	459.3
Other Appropriated Funds	61.8	130.6	130.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	565.6	589.9	589.9
FTE Positions	5.0	5.0	5.0

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,379.4	1,490.9	1,490.9
Other Appropriated Funds	1,168.9	1,023.9	1,023.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	2,548.3	2,514.8	2,514.8
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	19,741.9	19,741.9	19,741.9
Other Appropriated Funds	5,780.9	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	276.2	276.2	276.2

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	134.0	157.0	157.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	134.0	157.0	157.0
FTE Positions	1.0	1.0	1.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,982.5	9,497.4	9,497.4
Other Appropriated Funds	103.0	202.0	202.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	9,085.5	9,699.4	9,699.4
FTE Positions	127.0	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 permanency

Description:

This funding provides funding for the departments caseworkers and their related support.

Funding:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	44,202.1	47,539.5	47,539.5
Other Appropriated Funds	57,942.0	64,361.0	64,361.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	102,144.1	111,900.5	111,900.5
FTE Positions	1,406.0	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 staff

Description:

The funding provides additional case aides to help support the DCS caseworkers and other field support.

Funding:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,455.0	1,147.5	1,147.5
Other Appropriated Funds	1,850.9	2,084.7	2,084.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,305.9	3,232.2	3,232.2
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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,168.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,168.0	0.0	0.0
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	66,483.8	65,850.9	70,634.9
Other Appropriated Funds	224,239.3	477,810.7	479,610.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	290,723.1	543,661.6	550,245.6
FTE Positions	3.0	71.0	83.0

- ◆ **Goal 1** To enhance the stability of families being served by the Department of Child Safety to create safe, stable, and nurturing home environments.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of service referral waiting list	767	75	642	75	0
Total Out of Home Service Cost for Parent Aide and Supervised Visits Only.	38,071,647	38,667,600	42,365,752	0	0
In days Average Age of referrals on Service Referral Waitlist - Urban Counties	14	10	45	14	0
In days Average Age of referrals on Service Referral Waitlist - Rural Counties	36	10	75	36	0
# of Children In In-Home Care	4,750	0	2,279	0	0
% of reasonable Candidate Children In-Home	55.7	0	55.9	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	4,000.0	4,000.0	4,000.0
Other Appropriated Funds	11,148.4	242,471.3	242,471.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	15,148.4	246,471.3	246,471.3
FTE Positions	2.0	70.0	70.0

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	6,971.7	6,971.7	6,971.7
Other Appropriated Funds	18,390.9	22,016.4	22,016.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	25,362.6	28,988.1	28,988.1
FTE Positions	1.0	1.0	1.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	48,512.1	47,879.2	52,663.2
Other Appropriated Funds	145,140.6	68,247.6	70,047.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	193,652.7	116,126.8	122,710.8
FTE Positions	0.0	0.0	12.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	7,000.0	7,000.0	7,000.0
Other Appropriated Funds	49,559.4	145,075.4	145,075.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	56,559.4	152,075.4	152,075.4
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

Robert 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	83,179.6	105,475.2	124,675.2
Other Appropriated Funds	115,397.9	113,572.2	113,572.2
Other Non Appropriated Funds	448.1	4,805.3	4,805.3
Total Funding	199,025.6	223,852.7	243,052.7
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total Number of Children in Out of Home Care	14,246	0	14,841	0	0
% Congregate Care as a First Placement	29.04	0	27.9	0	0
# of Children who were placed in out of home care montly average	812	0	728	0	0
# of Children who were placed in Out of Home Care	8,939	0	9,111	0	0
Ratio of removals vs children approved by a CAR (as a %)	71	0	85.4	0	0
% of Sibling Groups were all siblings are placed together	69.78	0	63.8	0	0
% of Sibling groups where at least 2 are place together	81.9	0	81.2	0	0
Total number of children in Group homes great than 6 months	596	0	541	0	0
# Total of Children in group homes	1,549	0	1,528	0	0
# Total of Children in Shelters	64	0	54	0	0
# Total of Children in Shelter greater than 6 months	3	0	2	0	0
# Total of Children placed in Congregate care as 1st placement	0	0	13.1	0	0
Removal Rate of Children from Unsafe Home	0	0	10.1	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	35,099.0	56,214.2	56,214.2
Other Appropriated Funds	64,956.9	58,712.9	58,712.9
Other Non Appropriated Funds	448.1	4,805.3	4,805.3
Total Funding	100,504.0	119,732.4	119,732.4
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	35,297.3	37,477.7	37,477.7
Other Appropriated Funds	44,254.3	47,205.4	47,205.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	79,551.6	84,683.1	84,683.1
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	4,500.0	4,500.0	23,700.0
Other Appropriated Funds	500.0	500.0	500.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	5,000.0	5,000.0	24,200.0
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,283.3	7,283.3	7,283.3
Other Appropriated Funds	5,686.7	7,153.9	7,153.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	13,970.0	14,437.2	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	84,052.1	91,539.7	91,539.7
Other Appropriated Funds	203,387.7	199,235.7	213,635.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	287,439.8	290,775.4	305,175.4
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To promote placement in permanent settings.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total Number of Children who exited Care	8,892	0	8,124	0	0
Total number of Children who exited care through reunification	4,575	0	4,182	0	0
Total number of Children who exited care through adoptions	2,768	0	2,447	0	0
Of the Children that entered care 1 year ago this month, what % of those children have exited care	0	0	40	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	20.4	20.27	11.3	0	0
Of the Children who exited care 6 monts ago this month, what % reentered care in the last 6 months	7.8	8.8	4.8	0	0
Total Number of Children who exited care through Guardianship	715	0	681	0	0
Total Number of Children who exited care through Age of Majority	639	0	555	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	73,478.2	80,965.8	80,965.8
Other Appropriated Funds	201,444.7	197,292.7	211,692.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	274,922.9	278,258.5	292,658.5
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	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

Michael Nayeri
Phone: (602) 864-5088
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 information to the public concerning applicants, licensees, and regulatory actions.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	396.8	437.0	492.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	396.8	437.0	492.0
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. Importantly, Microsoft Corp. has announced that it will discontinue support for Access 2010 effective October 13, 2020. Consequently, there is concern the system might become unstable, corrupt, or lose critical data, and it is not compatible with a modern E-Licensing platform.

Solutions:

The Board has identified an appropriate Access expert to perform necessary fixes to ensure data integrity and database 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 through 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 the turn over of three of them: the Deputy Director, the Licensing Manager, and the Administrative Asst. 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:

The Board entered into an ISA with another licensing agency to provide training for the new staff members. Board staff, in consultation with their ADOA HR team, updated Position Descriptions (PD) and shared the PDs among staff. As time permits, staff members learn and then perform those tasks that are appropriate for them to be cross-trained in.

Issue 4 Establish the capability of accepting Continuing Education applications and fees in electronic formats.

Description The Board currently only accepts hard copy applications and payments in the form of check or money order.

Solutions:

Board Staff is developing the applications in an electronic format. The Board will work with ADOA ASET and Dept. of Treasury to implement an online credit card payment portal for fees.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	5.0	5.0	5.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	492.0	437.0	437.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

- ◆ **Goal 1** To 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of applications for licensure received	131	125	0	125	125
Explanation: This measure is used to assess future revenues.					
Average number of days between receipt of complete application and licensure decision	10	10	0	10	10
Explanation: This performance measure determines if the Board is meeting the licensing time frames required in law.					
Number of new licenses issued	106	100	0	100	100
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	2,626	2,650	0	2,650	2650
Percent of license renewal applications processed within 15 business days	98	95	0	95	95
Percent of licenses renewed each year	91	90	0	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of new complaints filed	36	50	0	55	55
Percent of complaints resolved within 180 days of receipt with no hearing required	56	50	0	50	50
Average number of months to resolve an administrative hearing	5	3	0	3	3
Number of licenses revoked, surrendered, or suspended	2	5	0	5	5
Total number of investigations conducted	61	70	0	70	70

◆ Goal 3	To ensure Board and staff competence and knowledge.					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate	
Percent of survey responses which indicate that staff was knowledgeable and courteous in public communications or that the measure was not applicable.	99	98	0	98	98	
Administration as a percent of total cost	9	12	10	12	12	
◆ Goal 4	To increase public awareness of agency functions, resources, and public records accessibility.					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate	
Self assessment surveys returned.	3	8	0	10	10	
Percent of complaint investigations that the Board found to be outside of its jurisdiction.	0	0	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate	
Develop and distribute an RFP for IT assessment and road map to modernization.	0	1	0	1	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	8,153.0	4,878.8	4,878.8
Total Funding	8,153.0	4,878.8	4,878.8
FTE Positions	9.0	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

	FY2024 Estimate	FY2025 Estimate	FY2026 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of certified participating candidates (calendar years)	36	15	5	60	5
Total funds distributed to participating candidates (calendar years; in thousands)	2,800	0	0	4,500	0

◆ **Goal 2** To administer debates and develop a procedure for communicating candidate statements to the citizens of Arizona.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of candidates submitting candidate statements (calendar years)	169	0	0	150	0
Number of candidate statement pamphlets mailed to AZ households (calendar years; in thousands)	4,296	0	0	4,000	0

◆ **Goal 3** To comply with the caps for spending specified in the Clean Elections Act.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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)	10	10	10	10	10

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	16,425.0	78,925.0	24,250.0
Other Appropriated Funds	-250.0	0.0	0.0
Other Non Appropriated Funds	41,915.2	65,824.6	112,095.5
Total Funding	58,090.2	144,749.6	136,345.5
FTE Positions	0.0	0.0	0.0

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 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 leading economic development organization, leading and coordinating economic development and marketing efforts throughout the state. The ACA also houses the Office of Economic Opportunity (OEO), established in 2016, (A.R.S. § 41-5301) which 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:

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	<p>Four years* into our 5-year business plan, the ACA is ahead of pace for these key metrics.</p> <p>JOB CREATION 5-year goal: 80,000 projected new jobs 4-year* results: 84,268 <i>(4-year results are 105% of the 5-year goal)</i></p> <p>WAGE GROWTH 5-year goal: Increase average wage of the jobs created to \$54,429 (150% of the state's 2017 median wage). 4-year* results: \$64,030 <i>(4-year results are 118% of the 5-year goal)</i></p> <p>CAPITAL INVESTMENT 5-year goal: \$7 billion in capital investment 4-year* results: \$41.8 billion <i>(4-year results are nearly 600% of the 5-year goal)</i></p> <p>WORKFORCE DEVELOPMENT & POLICY Support multiple Council-led Workforce Innovation and Opportunity Act (WIOA) improvement initiatives related to workforce system performance, customer service delivery and technological advancements.</p>
2	Grow existing Arizona business	2018	<p>ENTREPRENEURIAL VITALITY 4-year goal: \$185 million in capital raised by early-stage clients Progress: \$483.7 million 262% of 4-year target</p>
3	Create new Arizona business	2018	<p>ENHANCED ANALYTICS Increase the accessibility, quality and relevance of workforce, regulatory, demographic and economic information while identifying opportunities for efficiency and innovation. Progress: 10 new tools developed and deployed in FY21</p>
4	Provide Economic Analytics	2019	

*as of Q3 FY 2021

Arizona Commerce Authority A.R.S. § 41-1501

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 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.
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	Execute marketing campaigns leveraging paid, owned and earned mediums to showcase Arizona as a premier business location for targeted high-wage industry.
1 & 2	Add 200 new pipeline opportunities to the ACA's business attraction and expansion pipeline.	Number of new pipeline opportunities	Leverage offices in Israel and Mexico to enhance business engagements leading to increases in AZ exports and foreign investment in our state.
1 & 2	Support multiple Council-led Workforce Innovation and Opportunity Act (WIOA) improvement initiatives related to workforce system performance, customer service delivery and technological advancements.	Number of individuals enrolled in the Arizona Career Readiness Program	Promote advanced manufacturing supply chain development by relocating manufacturing operations to Arizona.
1 & 2	Strengthen Arizona's metro and rural communities through small business support	Number of business participants in Small Business Digital Academy & Bootcamp	Workforce initiatives include the Arizona Career Readiness Program, Workforce Strategy Consultants, the Advanced Technology Network, and Workforce Arizona Council engagement.
3	Facilitate the creation of \$250 million in new capital formation by ACA early-stage clients.	Investment in Arizona's early- stage companies	Drive progress on the updated Statewide Broadband Strategic Plan, coordinating with other state agencies, telecommunications companies, and local stakeholders, leveraging federal funding, to enhance statewide broadband connectivity.
4	Lead the development of the state's longitudinal integrated data system, Arizona Workforce Evaluation Data System (AWEDS)	% Complete - Launch AWEDS	Promote the Small Business Development Center (SBDC) Grant Program; Assist clients through cases, checklist, and chat bot; Maintain Small Business Bootcamp momentum; Host Small Business Digital Academy Cohorts
4	Enhance use of data visualization to improve usability/accessibility of OEO/ACA data.	Number of website visits accessing data tools; Number of data tools	Expand support for early-stage tech companies through Arizona Innovation Challenge (AIC) -Venture Ready program.
			Through the ACA Innovation Network and Virtual Accelerator, support business growth of the 1500+ start-ups that have been advised through the AIC.
			Manage collaboration between OEO, the Department of Economic Security, the Arizona Department of Education, and post-secondary partners including Maricopa and Pima Community Colleges.
			Continue to develop training material, resource documentation, and an outreach strategy to engage state and local partners.
			Increase the use of workforce data for strategic planning purposes within the AZ@Work system.

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

	FY2024 Estimate	FY2025 Estimate	FY2026 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of projected new jobs to be created over three years by ACA clients.	22,451	16,000	0	16,000	0
Projected capital investment to be made by ACA clients over three years. In millions of USD.	14,168	1,400	0	1,400	0

Explanation: Projected investment data provided by clients.

Number of new opportunities added to the ACA's business attraction and expansion pipeline.	275	200	0	200	0
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Explanation: Month-over-month change in opportunity records.

- ◆ **Goal 2** To create new Arizona business.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
New capital formation by ACA early-stage clients. In millions of USD.	162.7	50	0	50	0

Explanation: Data provided by ACA early-stage clients.

Agency Summary

CONSTABLE ETHICS STANDARDS AND TRAINING

Scott Blake, Chairman
 Phone: (602) 769-4488
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	337.5	503.7	503.7
Total Funding	337.5	503.7	503.7
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 procedures

Description Revise the CNA 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

	FY2024 Estimate	FY2025 Estimate	FY2026 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 investigate and resolve complaints against constables

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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The number of complaints against constables received by the Board 10 20 17 20 20

The number of complaints against constables resolved by the Board 10 20 17 20 20

The number of constables 91 91 90 91 91

◆ **Goal 2** To distribute grants for constable training & equipment

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
-----------------------------	---------------------------	-----------------------------	---------------------------	-----------------------------	-----------------------------

The number of grants awarded 22 30 15 30 30

◆ **Goal 3** To ensure compliance with constable training reporting requirements

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
-----------------------------	---------------------------	-----------------------------	---------------------------	-----------------------------	-----------------------------

Number of constables reporting approved training 91 91 90 91 91

Percentage of constable training hours reported on time (within 30 days of completion) 100 100 100 100 100

Number of writs served 90,765 90,000 65,811 66,000 66,000

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ REGULATORY AFFAIRS	13,770.1	17,257.1	17,257.1
Agency Total:	13,770.1	17,257.1	17,257.1
Funding:			
General Fund	0.0	0.0	0.0
Other Appropriated Funds	10,671.7	12,590.3	12,590.3
Other Non Appropriated Funds	3,098.4	4,666.8	4,666.8
Total Funding	13,770.1	17,257.1	17,257.1
FTE Positions	103.3	109.7	109.7

Registrar of Contractors

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Jeff Fleetham
Jeff Zimmerman
07/15/2021

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 standards and rules/policies, and assist in dispute-resolution.

Executive Summary:

Significant progress has been made in the last three years to increase awareness of Agency activities. Continued efforts will focus on meeting the customer needs, improving internal and external processes, and showcasing the benefits of hiring licensed contractors and the significant risk of hiring unlicensed entities to do construction.

The expectations of the citizens we serve have fundamentally changed to wanting digital access to services anytime and anywhere. *Modernize technology/expand self-service options.*

"Decades of overreach by government and special interest groups have left burdensome regulations scattered throughout our economy," Governor Ducey. *Continue to reduce "red tape."*

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. *Continue collaboration.*

A person's skills do not diminish when they cross state lines. Legislation passed last year allows those who have moved from other states to "get to work faster and without all the red tape." As a result of statutory examination requirements, applicants are often required to take time off and travel to Arizona to take examinations in brick and mortar locations. *Open for business/universal licensing*

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	2017	Between Territory Management Program, website new users and agency outreach we reached over 550,000 individuals to educate on agency and services in FY21. Throughout 2020, embraced public adoption of virtual meetings to introduce additional online forums aimed at potential applicants, new license, and industry associations.
2	Modernize Agency technology solutions to meet customer needs	2020	All customer services are available online for the first time. Worked with external partners to integrate 90% of known application programming interface possibilities sought by the agency. New Customer Relationship Management system automates email and SMS notifications to licensees of changes to licenses.
3	Reduce regulatory burden and scope confusion for improved government outcomes	2020	Draft of amendments created; will integrate with 5 Year Rule Review due Aug. 2021. From CY20-21, improved licensing time frames by 20% while observing a 10% increase in license applications. Reduced compliance investigation timelines by 14%.
4	Make it easier for people who are residing or already licensed in another state to get licensed in AZ	2019	Agency moving exams online and worked with State Procurement to secure contract amendment enabling development of a new State and Rules Exam to accompany an online training and moving all trade exams to online proctored by Sept. 2021.

Registrar of Contractors

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
#1	1. Improve customer portal 2. Create bond company portal	1a. Decrease % of customers not completing (abandonments) new applications and complaints process 1b. Decrease # of incomplete or incorrect items (deficiencies) within applications 2a. Increase % of licenses where bond companies are able to directly update records 2b. Increase of value added time for licensing specialists by shifting non-value added tasks	1. Develop and implement intuitive and customer-centric portal 2. Develop and implement bond portal for bond companies to be able to directly access, create and update licensee bond information
#2	1. Establish and improve current application programming interfaces (API) with external partners that aid customers' interaction with Agency 2. Implement Chatbot functionality 3. Establish agency Documentation Processing Center	1. Increase % of data exchanged in database integration with external partners (private and governmental) APIs 2. Decrease # of calls related to status updates for applications and complaints 3a. Cost savings of eliminating B5 - basement storage and reduction in Tucson office space 3b. Decrease cost in on-site physical document storage 3c. Increase of value added time for agency specialists by shifting non-value added tasks	1. Improve upon already established and reliably functioning APIs with external partners that are beneficial for our customers and integrate internal phone system data with case management system 2. Provide status updates for applications and complaints with Artificial Intelligence response chatbot capability to assist in answering Frequently Asked Questions 3. Establishing of Agency Documentation Processing Center (Digital Mailroom and Phone Center)
#3	Reduce regulatory burden	1a. # of improved rules 1b. # of repealed rules	1. Rulemaking to fully implement legislative changes, and reduce unnecessary burdens and complete 5 Year Rule Review
#4	Make it easier for people who are residing or already licensed in another state to get licensed in AZ	1. Track # of trade exams and statute and rules exams taken online and out-of-state 2. Decrease % of failure of statute and rules exam	1. Implement online proctoring of all exams 2. Provide online training of Agency statutes and rules

5 Year Plan

Issue 1 Increase awareness of Agency activities.

Description Specifically: Through proper and targeted outreach, the Agency aims to stem deficiencies in the complaint and application processes.

Generally: Consumers are not aware of the benefits of hiring licensed contractors and that hiring unlicensed entities to do construction comes with significant risk. Front line employees are unaware of Agency outreach and external collaborations.

Solutions:

Agency is requiring staff attempt to make contact with applicants and licensees prior to taking adverse action by phone, email and mailing a letter. Legal and Compliance Departments will attempt contact prior to default decisions and when a complaint is filed and the Licensing Department will attempt contact prior to a license denial.

Agency conducts an educational seminar where prospective license applicants will be invited to learn how to use the agency portal to apply for a license, what documents are necessary and common deficiencies that cause delays in licensing processing.

Agency continues to work with media and public through media and community affairs strategies to engage with populations likely needing the services of a licensed contractor.

Issue 2 Modernize technology/expand self-service options.

Description The expectations of the citizens we serve have fundamentally changed to wanting digital access to services anytime and anywhere.

Much of the Agency's work is informational and historically required significant amounts 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:

Move all external-facing services online.

In FY 20, the Agency moved its application process online and observed amazing results with applicants using the portal to complete their application. The Agency has successfully moved 100 percent of its external-facing services to the portal.

Integrate External Partners Processes

By working with external partners and integrating Application Programming Interfaces into the agency's portal, we will better serve customers. Currently we offer multiple links to external departments including Arizona Corporation Commission and address verification companies. The Agency plans to integrate an additional API by the end of FY22 and will be working to identify additional opportunities in the future.

Ensuring the Public is Aware of Technological Services

COVID-19 allowed the agency to test the robustness of the case management system and portal by encouraging use of these technologies when the agency was physically closed to customers. We will have to ensure the technology presents itself in an easy and effective manner to maintain the current usage rate of approximately 80 percent and begin to train staff on suggesting its use and pointing social media to its existence.

Issue 3 Reduce Regulatory Burden

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:

Agency's five-year rule review is due to begin in 2021. Agency is proactively reviewing its rules to ensure ineffective rules were improved or replaced and to remove currently ineffective or unnecessary rules. Agency will be tracking # of rules eliminated separate from # of rules improved to aid in tracking.

Issue 4 Open for Business/Universal License Recognition

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." Agency aims to make it easier for people who are already licensed in another state to get licensed in AZ.

Solutions:

Agency actively implemented Universal License Recognition in FY20 and ran a Senate Bill to adopt the language from the ULR bill into Title 32, Chapter 10.

The Agency's examination vendor is unable and unwilling to provide online proctoring of examinations due to technological and security reasons. COVID-19 closed many of their brick and mortar facilities, whether completely or at a significantly reduced capacity, making it statutorily impossible for applicants to apply for a license. Agency has located and secured a vendor able and willing to provide online proctoring beginning in FY22. Outside of and beyond the pandemic, the Agency's providing of online examination protoring will significantly aid in an out-of-state company's ability to move to AZ with a license in hand.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	109.7	109.7	109.7
General Fund	0.0	0.0	0.0
Other Appropriated Funds	12,690.0	12,690.0	12,690.0
Non-Appropriated Funds	4,666.8	4,666.8	4,666.8
Federal Funds	0.0	0.0	0.0

Program Summary

REGULATORY AFFAIRS

Jeffrey Zimmerman, Chief
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	10,671.7	12,590.3	12,590.3
Other Non Appropriated Funds	3,098.4	4,666.8	4,666.8
Total Funding	13,770.1	17,257.1	17,257.1
FTE Positions	103.3	109.7	109.7

◆ **Goal 1** To Increase Awareness and Improve Access to and use of Agency Services.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
% of customers not completing (abandonments) new applications and complaints process	0	0	38	34	30
# of incomplete or incorrect items (deficiencies) within applications	0	0	0	3	3
Statistically significant difference between # of deficiencies per application of participants in education seminars vs. # of deficiencies per application of non-participants.	0	.05	0	.05	.05

Explanation: p-value < 0.05 indicates participant vs. non-participant pops are different

% of licenses where bond companies are able to directly update records	0	0	0	70	75
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◆ **Goal 2** To Modernize Agency Technology and Process Solutions to Meet Customer Needs in a Growing Economy.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
% of data exchanged in database integration with external partners (private and governmental) APIs	0	0	0	100	100
# of calls related to status updates for applications and complaints	0	0	0	40	30
Eliminate extra storage and office space	0	0	0	35,000	51,000
On-site physical document storage reduction	0	0	0	0	0

◆ **Goal 3** To Reduce Regulatory Burden and Scope Confusion for Improved Government Outcomes.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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of Statutes Improved or Repealed

0 0 0 1 0

of Rules Eliminated

0 3 0 3 0

◆ **Goal 4** To Make it Easier for People who are Already Licensed in Another State to get Licensed in AZ

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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% applications submitted from another state and approved for an AZ license

86.99 90 87.25 90 90

of examinations taken online and out-of-state each month

0 50 0 50 50

◆ **Goal 5** To Always be Tracked

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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of events 11 2 7 4 4

Explanation: Number of forums attended by agency leadership

people reached 45,703 48,000 50,531 50,000 51,500

Explanation: Number of external people reached through ROC public facing means

% engagement 32.98 30 32.67 30 30

Explanation: Measured as Bounce Rate, 30% or below is exceptional govt rate

% of Applicants/Licensees called Prior to Adverse Action - Legal 0 100 100 100 100

Explanation: 100% of licensees/applicants should be called prior to adverse action

% of Applicants/Licensees called Prior to Adverse Action - Licensing (License Denial) 0 100 85 100 100

Explanation: 100% of licensees/applicants should be called prior to adverse action

% of Applicants/Licensees called Prior to Adverse Action - Compliance (Filing of Complaint) 0 100 100 100 100

Explanation: 100% of licensees/applicants should be called prior to adverse action

% use of New Applications Submitted through Portal 47.85 80 83 80 85

% use of License Renewals Submitted through Portal 30.52 60 67 75 80

% use of Complaints Submitted through Portal 49.26 75 57 75 80

of Agency collaborations per month 8.67 2 10 4 4

Explanation: Collaborate with stakeholders to influence industry awareness, training and apprenticeship efforts

Average days to issue a new license 9.360 13 15.16 10 10

Average days to close complaint 39 40 30 32 32

Total number of contractors licensed in state 42,781 43,000 42,660 43,000 43,000

Number of complaints received - unlicensed contractors 1,463 1,700 1,265 1,500 1,500

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADMINISTRATION	5,236.8	4,865.1	7,965.1
➤ HEARINGS	2,116.2	2,198.3	2,198.3
➤ CORPORATIONS	3,304.6	3,794.3	3,794.3
➤ SECURITIES	4,711.0	4,663.2	4,663.2
➤ RAILROAD SAFETY	818.4	847.9	1,043.9
➤ PIPELINE SAFETY	1,642.7	2,109.8	2,109.8
➤ UTILITIES	6,181.5	6,662.6	6,662.6
➤ LEGAL	1,674.9	2,052.1	2,052.1
➤ INFORMATION TECHNOLOGY	2,707.0	2,975.9	2,975.9
Agency Total:	28,393.1	30,169.2	33,465.2

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	647.0	623.1	819.1
Other Appropriated Funds	26,001.3	27,326.6	30,426.6
Other Non Appropriated Funds	1,744.8	2,219.5	2,219.5
Total Funding	28,393.1	30,169.2	33,465.2

FTE Positions

252.3 286.8 286.8

5 Year Plan

Issue 1 Electronic filing for Utilities and Other Parties

Description The Commission has been successful in implementing online filings. This has been beneficial especially during the recent pandemic which allowed services to continue even while buildings were closed to the public. The ACC will continue to develop its online filing options to allow most services to be filed online. Upgrades will continue as necessary as technology develops over time.

Solutions:

For FY2021 and beyond, the Commission is working on a few remaining initiatives to make the Commission as paperless as possible.

1. Move Utility Annual Report filings online

a. Water Annual Reports to be filed online and the data from reporting utilities to be stored and viewed electronically, in FY22.

B. Second annual report by end of FY2023.

2. Expand types of Securities that may be filed electronically in FY23 and FY24.

3. Add electronic note taking capability to docket documents, to avoid printing and duplicating documents, in FY23.

4. Add electronic task assignment and due date tracking for cases, in FY22.

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. Over 27 percent (27.5 percent) of the Commission's workforce is eligible for retirement today. This will increase to 39.6 percent by 2026.

Solutions:

The Commission is continually working to identify the skills gaps we expect to face within the next three to four fiscal years and to 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 is utilizing national resources, such as the National Association of Regulatory Utility Commissioners, for leadership recruitment. We are working with Veteran support groups to recruit eligible Veterans.

We are challenged by the ongoing pandemic, as are most employers, and are seeking out new and creative ways to attract and retain new and qualified talent.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	287.0	287.0	287.0
General Fund	8.0	8.0	8.0
Other Appropriated Funds	260.0	260.0	260.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	19.0	19.0	19.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	12.7	15.1	15.1
Other Appropriated Funds	5,142.5	4,772.6	7,872.6
Other Non Appropriated Funds	81.6	77.4	77.4
Total Funding	5,236.8	4,865.1	7,965.1
FTE Positions	28.0	29.0	29.0

- ◆ **Goal 1** To ensure all matters coming before the Commission are resolved in a timely manner, in accordance with administrative procedures.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Open Meeting held	14	16	11	15	15
Open Meeting Agenda items	284	300	241	300	300
Staff Meetings held	13	17	14	17	17
Staff meeting Agenda items	65	75	82	75	75
Special Open Meeting / Workshops held	17	15	7	15	15
Special Open Meeting / Workshop Agenda Items	62	60	45	50	50
Public Comment meetings held	1	5	0	2	2
Public Comment Agenda items	3	9	0	5	5
Joint Appearance (3 or more Commissioners at an event)	9	10	1	3	3
Stakeholder meetings	4	10	2	3	3
Stakeholder Agenda Items	21	30	13	15	15

- ◆ **Goal 2** To provide business services to all Divisions.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Purchase orders issued	389	500	818	600	600
Claims processed	1,478	1,500	1,778	1,500	1,500
Revenue deposited with the Treasurer (in millions)	64	65	72.8	70	70

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,116.2	2,198.3	2,198.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	2,116.2	2,198.3	2,198.3
FTE Positions	19.0	20.0	20.0

- ◆ **Goal 1** To conduct fair and impartial hearings, and to propose timely, factually, and legally sound Orders for the Commissioners' consideration.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of hearings/arbitrations held	25	70	50	50	50
Procedural Orders issued	912	800	618	800	800
Proposed Orders issued	81	125	101	95	95

- ◆ **Goal 2** To provide timely and efficient docket services to regulated utilities and consumers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Open Meeting items processed	930	900	1130	1100	1100
Filings docketed (in thousands)	9	10	9.1	9	9
Number of Decisions	500	500	413	450	450

Program Summary

CORPORATIONS

Tanya Gibson, Director
Phone: (602) 542-3026
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 six sections (Examination, Records, Call Center, Customer Contact Center, Same Day/Next Day 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 (non-Arizona) 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.

New measures were added to FY2021. Specifically, total percentage of electronic filings and total number of same day/next day filings. The addition of these data points this fiscal year is why there is no data for prior years.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,304.6	3,794.3	3,794.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,304.6	3,794.3	3,794.3
FTE Positions	48.0	58.0	58.0

◆ **Goal 1** To provide customers with timely processing of their business documents.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of expedited requests achieved within 5 business days on average	100	100	74	100	100
Percent of regular requests achieved within 30 business days on average	100	100	99	100	100
Range of days to process expedited requests - Examination Section	4-6	3-5	1-6	1-3	1-3
Range of weeks to process regular requests - Corporate Filings	1-4	2-4	1-6	1-3	1-3
Total Active LLCs	929,641	992,856	1,195,240	1,203,000	1,502,000
Total active corporations and Limited Liability Corporations recorded	1,071,537	1,150,268	1,761,823	1,773,000	2,074,000
Total number of paper filings	111,987	112,750	72,741	72,000	70,000
Total number of electronic filings	296,274	297,250	432,452	435,000	438,000
Total filings received	408,261	410,000	505,193	550,000	585,000
Total percentage of electronic filings	0	0	86	86	89
Range of days to process regular requests - Annual Reports	16-18	16-18	16-18	15-17	15-17
Range of days to process Expedited requests - Annual Reports	3-5	1-3	1-3	1-3	1-3
Total number of Annual Reports filed electronically	95,243	105,281	136,412	140,000	145,000
Total number of Annual Reports filed	100,822	111,763	143,700	146,000	151,000
Total number of Same Day/Next Day filings	0	0	6,154	6,300	6,500

◆ **Goal 2** To provide customers the most expedient public information services possible.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Division-wide calls received	128,218	125,000	148,908	149,000	150,000
Division-wide calls answered	104,130	118,000	109,555	119,200	120,000
Range of days to process expedited requests - Records Section	1-3	1-3	3-5	2-4	1-3
Range of days to process regular requests - Records Section	7-10	5-7	15-17	15-17	15-17
Counter, mail and fax work orders	13,865	14,000	15,729	16,000	17,250
Number of website hits (in millions)	29.2	30	34.2	34.2	34.3
Corps. Forms hits	128,847	129,000	52,918	60,000	62,000

Explanation: Changed from millions to thousands in FY18

Total number of document images viewed (in millions)	1.01	1.0	1.4	1.4	1.5
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◆ **Goal 3** To streamline and improve internal customer-related administrative/ operational functions.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total mail and faxes received, division-wide	44,818	45,000	39,909	39,000	38,750
Number of documents scanned - IPS Section	63,739	68,000	59,725	58,000	55,000
Total Payments processed	282,661	282,000	358,598	362,000	365,000

◆ **Goal 4** To expand training opportunities for division staff members.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General in-house class hours	726	450	1,434	1,000	1,000
Class hours per full-time equivalent (FTE)	36.15	10	28.69	25	25

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	4,711.0	4,663.2	4,663.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	4,711.0	4,663.2	4,663.2
FTE Positions	45.0	49.0	49.0

- ◆ **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

	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of applications/filings	26,985	26,000	26072	26,000	26000
Number of registrations/exemptions	29,269	28,000	28944	28,000	28000
Number of exemptions (Rule 126)	2,219	1,500	2895	2000	2000
Number of months required to review applications	1.5	1.5	1.5	1.5	1.5
Number of other exemptions	65	75	47	60	60
Number of name changes	896	2,000	1,671	1,500	1,500
Number of dealer examinations	0	2	8	2	2
Number of dealer registrations	1,848	1,900	1,816	1,800	1,800
Number of salesman registrations	214,297	200,000	221,489	200,000	210,000
Number of IA registrations	651	500	700	500	500
Number of IAR registrations	10,411	8,000	10,683	9,000	9,000
Number of IA examinations	20	40	29	40	40
Number of Public Educational Programs	28	40	33	30	30
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of complaints	211	200	183	200	200
Enforcement action: number of investigations initiated	122	50	189	50	50
Enforcement action: number of subpoenas issued	304	200	250	200	200
Commission Order: Number of Cease and Desist Orders	29	25	29	25	25
Commission Order: Fines- Number of Respondents	39	30	61	30	30
Commission Order: Restitution - Number of Respondents	27	30	56	30	30
Number of civil cases initiated	0	0	3	0	0
Number of indictments - True Bills	1	5	2	5	5
Number of civil proceedings closed	4	2	2	2	2
Number of civil proceedings open at year end	6	2	2	2	2
Total examinations under oath	25	40	9	30	2
Number of cases to hearing	4	2	28	2	30
Administrative Proceedings: Number Respondents	54	30	73	30	30
Number of administrative proceedings initiated	22	15	28	15	15
Civil Proceeding Initiated : Number of Defendants	0	5	9	0	0
Number Criminal Defendants - Indicted	2	5	2	5	5
Number of Criminal Restitution Orders	5	8	3	5	5
Number of Defendant Pleas and Convictions	2	8	8	5	5
Explanation: 30					
Number of Investigations Closed	86	30	150	30	30
Number of Investigations Open at Year End	114	60	153	75	75
Number of Respondents: Commission Orders	49	40	74	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	634.3	608.0	804.0
Other Appropriated Funds	182.8	207.6	207.6
Other Non Appropriated Funds	1.3	32.3	32.3
Total Funding	818.4	847.9	1,043.9
FTE Positions	7.0	7.0	7.0

◆ **Goal 1** To promote and ensure the safe operation of Arizona railroads.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Miles of railroad track inspected	2,381	2,200	3,993	3,900	3,900
Freight cars inspected	2,067	1,800	2,621	2,500	2,500
Locomotive units inspected	122	140	114	100	100
Operating practices inspections	154	140	143	140	140
Hazardous materials inspections	763	800	1,245	1,100	1,100
Grade crossing inspections	306	300	278	220	200
Industrial spur track inspections	118	50	141	100	100
Federal violations filed	22	20	13	20	10
Derailments	55	60	38	50	50
Number of grade crossing accidents	18	18	35	35	35
Other accidents	17	20	34	40	20
Grade crossing complaints	44	40	48	50	55
Other complaints	41	40	20	40	45
Operation Lifesaver presentations	0	2	4	2	4
HazMat Accidents/Incidents	8	10	28	30	30

◆ **Goal 2** To ensure rail/highway grade crossings safety.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Grade crossings improved	6	8	3	8	5
New Grade Crossings Installed	4	0	0	1	0
Signal & Train control inspections	114	120	128	120	120
Signal system components inspected	1,019	1,100	1,226	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,642.7	2,109.8	2,109.8
Total Funding	1,642.7	2,109.8	2,109.8
FTE Positions	17.0	18.0	18.0

◆ **Goal 1** To protect the public and the environment by providing the highest level of pipeline safety awareness.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Fines collected (in thousands)	71	40	158	40	40
Total intrastate inspections (major operator only)	218	200	234	200	200
Violations: Intrastate (major operators only) Prior years include master meter operators	107	50	86	50	50
Violations: Master Meter	1,057	1,000	943	1,000	1,000
Total master meter inspections	1,103	1,000	1,063	1,000	1,000
Total number of code compliance inspections	1,338	1,100	1,063	1,000	1,000
Total Underground Facilities Law violations written	35	50	5650	50	0
Random Underground Facilities Law inspections	40	100	248	100	180
Seminars/Public awareness meetings held	30	20	4	20	20
Investigated incidents	275	200	243	200	200
Total number of Interstate pipeline safety violations	0	0	4	0	0
Total interstate inspections	23	15	19	15	15

◆ **Goal 2** To ensure the pipeline operators in Arizona operate gas pipeline systems as safely as possible.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total intrastate violations corrected (major operators only)	681	50	82	50	50
*Past years included Master Meter violations corrected					
Major pipeline operators training classes held	0	0	0	0	0
Master Meter training classes held/persons attending	11/164	15/200	3/22	15/200	15/200
One Call training classes held/persons attending	30/1,421	25/1,500	7/343	25/1,500	25/1,500
Total master meter violations corrected	1,279	1,000	1,032	1,000	1,000

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Development/updating of training courses for staff	18	15	16	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 seven organizational sections: Administrative Services, Compliance, Consumer Services, Directors Office, Engineering, Finance & Regulatory Analysis and Telecom & Energy. 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 550 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 toward improving efficiency through modernization of electronic processing and enhancing the Division's information technology and infrastructure.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	6,162.3	6,662.6	6,662.6
Other Non Appropriated Funds	19.2	0.0	0.0
Total Funding	6,181.5	6,662.6	6,662.6
FTE Positions	54.8	68.8	68.8

◆ **Goal 1** To ensure that utility service within the Commission's jurisdiction is available to all consumers at authorized rates.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Utilities regulated	545	549	538	541	541
Rate cases completed	25	31	43	37	37
Tariff applications processed	91	102	118	105	105

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
CLEC applications filed	37	40	33	35	35
ILEC applications filed	13	9	3	8	8
CLEC Interconnection Agreements filed	12	13	57	35	35
Certifications processed: CLECs	11	12	19	15	15
Certifications processed: ILEC	0	1	1	0	0
CLEC interconnection agreements processed	16	15	24	20	20
Total Telcom applications filed	62	62	93	78	78
Total Telecom applications processed	48	48	68	58	58

- ◆ **Goal 3** To maximize the Division's operating efficiency through modernization of electronic processing and enhancing the Division's information technology.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Consumer complaints/requests submitted electronically	3,935	3,867	3,826	3,881	3,881

- ◆ **Goal 4** To maintain public involvement, accessibility, and regulatory oversight by conducting workshops, forums, and community outreach programs.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of public awareness functions	25	32	15	20	20
Number of water workshops	3	2	0	2	2
Number of electric workshops	9	10	6	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,674.9	2,052.1	2,052.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,674.9	2,052.1	2,052.1

FTE Positions	15.5	18.0	18.0

- ◆ **Goal 1** To provide efficient, high-quality legal representation.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Education and training expenditures (\$)	4,045	7,200	5,296	7,200	7,200
Attorney legal education classes completed	0	20	44	20	20
Job-related education classes for attorneys	20	75	44	75	75
Classes completed: job-related education for support staff	0	20	14	20	20
Expenditures on advanced research tools	30,394	33,000	26,662	33,000	33,000

◆ **Goal 2** To provide high-quality representation in administrative matters before the Corporation Commission.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Docketed matters handled	361	500	360	500	500
Administrative hearing days handled by the Legal Division	112	30	178	30	30
Orders to Show Cause prepared by the Legal Division	1	1	0	1	1
Formal complaints prepared by the Legal Division	1	1	0	1	1
Discovery/Data Requests/ Responses/ Oppositions prepared	220	300	175	300	300
Motions, Briefs, & other pleadings prepared	218	300	186	300	300

◆ **Goal 3** To provide high-quality representation in Judicial matters before various courts.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Commission actions appealed to courts	7	3	1	3	3
Motions, briefs and other pleadings filed in courts	87	20	38	20	20

◆ **Goal 4** To provide high-quality legal advice to the Commission.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Open/Special Open Meetings attended by Legal counsel	36	40	52	40	40
Line Siting hearing days attended by counsel	19	4	0	4	4
Commission Staff Meetings attended by counsel	10	20	17	20	20

Explanation: On numerous occasions, more than 1 staff member attend.

Explanation: On numerous occasions, more than 1 staff member attend.

Explanation: On numerous occasions, 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,707.0	2,975.9	2,975.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	2,707.0	2,975.9	2,975.9
FTE Positions	18.0	19.0	19.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Corporations available via the internet (in thousands)	1,633.1*	2,100	1,762	1,900	2,200
* - Includes entities that are not active, but not past their 6 year removal date.					
Number of dockets available via the internet (in thousands)	22.9	24.2	23.6	24.6	26
Number of internet-submitted electronic filings to the ACC (in thousands)	300.2	320	438.8	450	450

- ◆ **Goal 2** To use information technologies effectively to enhance intra-agency communications and performance.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of hits to agency intranet pages (in thousands of user sessions)	53.3	56.0	122.2	85	85
Percentage of staff using electronic document management integrated with business processes.	84	84	86	91	91

- ◆ **Goal 3** To provide the public with video and audio broadcasts of agency meetings and decisions for communication, participation and transparency.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Open Meetings	21	24	23	24	24
Hearings	103	110	163	130	120
Special Open Meetings	18	18	19	18	18
Staff Meetings	8	12	17	12	12
Workshops	5	8	4	8	8

Program Summary

COMMUNICATIONS

,
Phone:

A.R.S. § 40-105 (B)(2)

Mission:

to

Description:

Agency Summary

DEPARTMENT OF CORRECTIONS

David Shinn, Director
Phone: (602) 542-5225
A.R.S. § 41-1601

Mission:

To provide safer communities by implementing court imposed sentences and removing those who victimize our citizens to appropriately secured environments. Facilitating structured programming designed to develop inmates' personal responsibility for their successful re-integration to the community through rehabilitative opportunities for change. Upon return of these citizens to our communities, we provide effective supervision designed to result in improved re-entry outcomes which reduce recidivism.

Description:

The Department of Corrections, Rehabilitation and Reentry (ADCRR) carries out its mission by incarcerating inmates safely in correctional facilities and providing rehabilitation opportunities and programs designed for successful community re-entry. During incarceration, community standard healthcare services are provided to inmates. Opportunities for vocational skill development, educational attainment from literacy to undergraduate degrees, and substance abuse treatment increase the likelihood of successful and sustained re-entry upon release. ADCRR supervises offenders released to community supervision using a continuum of services and evidence-based programs. ADCRR returns to custody offenders who choose not to engage in their own rehabilitation and continue to present a threat to public safety. We embrace challenges and successes as opportunities to continuously improve our operations resulting in an exceptional return on investment for the citizens of Arizona which serves as a national model for corrections.

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ PRISON OPERATIONS AND SERVICES	1,238,340.3	1,321,506.2	1,345,585.3
➤ COMMUNITY CORRECTIONS	23,078.7	33,243.5	33,243.5
➤ ADMINISTRATION	53,118.4	58,572.7	58,572.7
Agency Total:	1,314,537.5	1,413,322.4	1,437,401.5
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,162,400.0	1,284,302.3	1,311,443.3
Other Appropriated Funds	40,664.5	53,339.0	50,939.0
Other Non Appropriated Funds	111,473.0	75,681.1	75,019.2
Total Funding	1,314,537.5	1,413,322.4	1,437,401.5
FTE Positions	9,801.0	9,801.0	9,803.0

Department of Corrections, Rehabilitation and Reentry

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

David Shinn
James O'Neil
07/15/2021

Vision: Public Safety Through Rehabilitation and Operational Excellence

Mission: Providing safer communities by implementing court imposed sentences and removing those who victimize our citizens to appropriately secured environments. Facilitating structured programming designed to develop inmates' personal responsibility for their successful re-integration to the community through rehabilitative opportunities for change. Upon return of these citizens to our communities, we provide effective supervision designed to result in improved re-entry outcomes which reduce recidivism.

Agency Description: The Arizona Department of Corrections, Rehabilitation and Reentry (ADCRR) carries out its mission by incarcerating inmates safely in correctional facilities, providing rehabilitation opportunities and programs designed for successful community re-entry. During incarceration, community standard healthcare services are provided to inmates. Opportunities for vocational skill development, educational opportunities from literacy to undergraduate degrees and substance abuse treatment increase the likelihood of successful and sustained re-entry upon release. ADCRR supervises offenders released to community supervision using a continuum of services and evidence-based programs. ADCRR returns to custody offenders who choose not to engage in their own rehabilitation and continue to present a threat to public safety. We embrace challenges and successes as opportunities to continuously improve our operations resulting in an exceptional return on investment for the citizens of Arizona which serves as a national model for corrections.

Executive Summary: Strategies align to achieve Public Safety through Rehabilitation and Operational Excellence: **Sustain a Well-Run Organization/Achieve Operational Excellence:** Maintain safety, security and accountability with sound population management and critical infrastructure improvement. **Staff Engagement** – Historical vacancies and turnover requires Initiatives to increase employee retention by utilizing available compensation strategies, expanding communication and leadership training and ensuring a safe work environment. **Improving Inmate Quality of Life** – Supporting and increasing opportunities of inmate programming, visitation, education and job training through deployment of new technology and upgrading critical infrastructure. **Effective External Stakeholders/Healthcare, Mental Health Contractors** – Sustain excellent inmate health care provision, using data to manage performance and establishing specialized training for contractors. **Effective Recidivism Reducing Programs** – Improve overall system outcomes, reduce the historical reliance on posting Sergeants and COIIs which adversely impacts provision of programs. Initiatives include increasing the treatment and program capacity to meet the needs of the inmate population and improving communication in the transition from inmate to offender. **Improve Public Confidence** – Improving engagement with external stakeholders by enhancing customer service. Further develop community partnerships by increasing public awareness and confidence.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategic Priority	Start Fiscal Year	Progress / Successes (FY 2021)
1	Sustain a Well Run Organization/ Achieve Operational Excellence	2021	<ul style="list-style-type: none"> ASPC-Lewis/ASPC-Yuma lock project on track, Overall completions 51.34%. Detention Bed Utilization rate decreased by 12%. ASPC-Florence deactivation ongoing, and preparation completed. Tripled inmate intake capacity to accommodate stakeholder needs.
2	Staff Engagement - Improve Recruitment, Retention, Job Satisfaction	2021	<ul style="list-style-type: none"> Maintain COTA training to backfill vacant positions. Implemented Warden's Onboarding Training. Transitioning from virtual recruitment events to in-person post-COVID.
3	Improve Inmate Quality of Life	2021	<ul style="list-style-type: none"> Inmate tablets deployed to all ADCRR facilities. Increased cognitive restructuring program capacity by 193%. Established Inmate Ombudsman and Retaliation Hotline. Reopening of inmate visitation and external work crews. Initiated pilot program for individual assessment of inmate rehabilitative need (convergent case management strategy).
4	Effective External Stakeholders/ Healthcare, Mental Health Contractors	2021	<ul style="list-style-type: none"> ADCRR COVID-19 mitigation efforts to include multiple mass testing, resulted in a current recovery rate of 99.26% as of 06/30/2021. As of July 2, 2021, 74.75% of the inmate population has been fully vaccinated through collaborations with the Az National Guard. Developed and successfully implemented new standards to improve quality of care with 96% of Mental Health measures in compliance.
5	Effective Recidivism Reducing Programs	2021	<ul style="list-style-type: none"> Arizona Healthy Forest Initiative expanded partnership with DFFM to reduce wildland fire risk in Az, while creating new employment skills opportunities for inmates. First Therapeutic Community program within ADCRR was initiated at ASPC-Tucson. The Medication Assisted Treatment program started June 2021.
6	Improve Public Confidence	2021	<ul style="list-style-type: none"> Expanded Constituent Services and Public Affairs. Collected and analyzed constituent inquiries and concerns which provided actionable and timely resolutions for Constituents.

Department of Corrections, Rehabilitation and Reentry

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

SP#	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	<ul style="list-style-type: none"> Improve Staff and Institutional workplace safety Enhance frontline internal communication capability 	<ul style="list-style-type: none"> Number of inmate assaults on staff per month Number of Inmate Assault on Staff Resulting In Injury Inmate contraband volume Milestones met with increased communication action plan (Staff Tablets) 	<ul style="list-style-type: none"> Assemble work group to address Root Cause of inmate assaults on staff. Develop and implement plan to increase the officers level of awareness through communicating lessons learned, and prevent re-occurrences. Increase officer safety equipment (Vest and Radios). Acquire additional physical security features and electronic security technology that will reduce contraband entering ADCRR facilities through funding strategies. Identify and provide technology for real time communication and job activities for frontline staff.
	<ul style="list-style-type: none"> Improvement of Arizona Correctional Information System (ACIS) software solution 	<ul style="list-style-type: none"> Service Desk Ticket Volume (ACIS Specific) # of ACIS Outages 	<ul style="list-style-type: none"> Analyze impact of the ACIS system improvements through the measurement of service desk ticket volume and outage frequency for users.
	<p>Population Management:</p> <ul style="list-style-type: none"> Closure of ASPC-Florence Sustained reduction in Detention Bed Utilization Modernize Inmate Classification and custody level 	<ul style="list-style-type: none"> Percentage of ASPC- Florence Deactivation completed % of Utilization of Detention Beds Number of 805 Requests % of completion of modernization of classification and custody level project 	<ul style="list-style-type: none"> Establish and complete milestones of Florence closure based on appropriated funding. Establish building plans and engineering for ACI building construction (metal shop, warehouse, and transportation center). Evaluate key strategies in addressing systemic issues that contribute to D.O. 805 requests. Establish non-secure housing location options for those inmates reclassified through the revised classification system. Establish staffing patterns for non-secure housing that safely manages inmate populations with lower staff to inmate ratios.
	<ul style="list-style-type: none"> Improve Institutional Infrastructure (locks, capital resources, improvements) 	<ul style="list-style-type: none"> % of FY22 Life, Safety and Security building renewal project completions Overall percent of Lock Project completed at ASPC-Lewis & ASPC- Yuma Percent of completion of ASPC-Eyman Locks and Fire Suppression project 	<ul style="list-style-type: none"> Continue to secure funding to support ADCRR comprehensive model/multi-year plan for life and safety components, physical plant preventative maintenance, repair, and replacement that optimizes efficient use of resources. Establish, implement and review minimum physical plant security standards for each custody level. Continue “No Dig” fencing statewide project. Continue progress on door lock project at ASPC-Lewis and ASPC- Yuma. Complete ASPC- Eyman security locks and fire suppression project based upon allocated funding.
	<ul style="list-style-type: none"> Pursue American Correctional Association Accreditation (ACA) 	<ul style="list-style-type: none"> Percent of preparation completed for ACA Accreditation 	<ul style="list-style-type: none"> Begin working on ACA Physical Plant Standards to meet ACA life and safety requirements. ACA Accreditation site preparation and policy development.
	<ul style="list-style-type: none"> Increase ACI Return on Investment 	<ul style="list-style-type: none"> # of new or expanded services started by ACI ACI Annual Profitability 	<ul style="list-style-type: none"> Develop options for potential expansion of new and existing ACI Services (Bakery, Uniform Sales, Az HFI vegetative disposal and product development, and ADOT/DPS vehicle modifications).
	<ul style="list-style-type: none"> Reduce Staffing Vacancy Increase Staff Retention Improve Staff Training, Succession Planning 	<ul style="list-style-type: none"> # of COII vacancies COII regrettable attrition rate # of hours COII working COII security posts Inmates who completed Carey Guide Intervention requirements % of participants completing Warden/DWOP Onboarding program 	<ul style="list-style-type: none"> Utilize available compensation strategies, ID and mitigate resignation hotspots. Implement Corporal positions to provide additional career path for COII's Hire and retain sufficient COIIs to eliminate security posting of COIIs, and allow them to complete their roles in providing rehabilitation programming. COIII Standard Work convergent case management;Pilot at minimum custody to expand pilot to higher custody units. Continue Warden/DWOP Onboarding program. Enhance leadership development in Sgt/Lt/Capt job classes. Design and create standard work for institutional operational assessments.
3	<ul style="list-style-type: none"> Utilize technology to deliver virtual programming Increase work based education opportunities and career technical education Institutional infrastructure upgrades 	<ul style="list-style-type: none"> # of Inmate Major program and education completions # of Inmate major programs, and education current needs met Total number of major program and educational hours Percent complete of inmate living area improvements 	<ul style="list-style-type: none"> Expand capacity and utilization for programming, education and treatment. Implement non-college based trade certification programs. Increase capacity through remote learning programs. Complete identified inmate living area building renewal projects
4	<ul style="list-style-type: none"> Utilize data to effectively manage performance measures in <i>Parsons v Shinn</i> litigation Continue NCCCHC accreditation 	<ul style="list-style-type: none"> Stipulation agreement compliance rate Reduce the number of single medical transports Percent of compliance of Vendor Performance Reports (VPRs) 	<ul style="list-style-type: none"> Sustain excellent inmate health care provision, using data to manage performance with a bifurcated management approach from ADCRR Medical services and ADCRR procurement to increase contractual obligations, enforcement, and health care monitoring. Ensuring vendor compliance with staffing requirements. Establish and implement partnership problem solving council with ADCRR and vendor.
5	<ul style="list-style-type: none"> Improve pre-release program handoffs between inmates and Community Corrections Increase Programs such as Substance Abuse Treatment, Medication Assisted Treatment (MAT), Therapeutic Behavioral Community Triple P Parenting Program 	<ul style="list-style-type: none"> Total number of absconder warrants issued Inmate substance abuse current needs met # of inmates graduating from the contracted substance abuse treatment programs Total number of Triple P program completions 	<ul style="list-style-type: none"> Refine and expand Community Corrections Reach-In program, to enhance transition to community supervision. Establish and implement Community Corrections Reentry Council to identify additional reentry strategies reducing recidivism. Increase Substance Abuse Treatment through contracted services with budget approved expansion targeting rural areas. Pursue certification with DHS to allow for ADCRR employees to deliver DUI services. Utilize inmate peer facilitators to deliver Triple P Parenting program.
	<ul style="list-style-type: none"> ADCCR/ DFFM partnership for the AZ Healthy Forest Initiative 	<ul style="list-style-type: none"> # of inmates participating in AZ HFI Program # of acres treated (Shared with DFFM) 	<ul style="list-style-type: none"> Establish inmate forestry crews at facilities to support AZHFI. Deploy work skill development for inmate supporting job opportunities within the fire prevention industry.
6	<ul style="list-style-type: none"> Enhance communication with external stakeholders Revitalize community partnerships Enhance awareness of Agency Operations and Programs 	<ul style="list-style-type: none"> Number of stakeholder contacts 	<ul style="list-style-type: none"> Reorient and restructure Constituent Services to expand community betterment with customer service. Identify and utilize trends to resolve underlying and recurring problems as effectively as possible. Establish Speakers Bureau at complexes to increase local city/county council and other government consortium interactions.

5 Year Plan

Issue 1 Sustaining a Well Run Organization / Achieve Operational Excellence

Description Maintain safety, security and accountability with sound population management and critical infrastructure improvement.

Solutions:

Assemble work group to address Root Cause of inmate assaults on staff.

Develop and implement plan to increase the officers level of awareness through communicating lessons learned, and prevent re-occurrences.

Increase officer safety equipment (Vest and Radios).

Acquire additional physical security features and electronic security technology that will reduce contraband entering ADCRR facilities through funding strategies.

Identify and provide technology for real time communication and job activities for frontline staff.

Analyze impact of the ACIS system improvements through the measurement of service desk ticket volume and outage frequency for users.

Establish and complete milestones of Florence closure based on appropriated funding.

Establish building plans and engineering for ACI building construction (metal shop, warehouse, and transportation center).

Evaluate key strategies in addressing systemic issues that contribute to D.O. 805 requests.

Establish non-secure housing location options for those inmates reclassified through the revised classification system.

Establish staffing patterns for non-secure housing that safely manages inmate populations with lower staff to inmate ratios.

Continue to secure funding to support ADCRR comprehensive model/multi-year plan for life and safety components, physical plant preventative maintenance, repair, and replacement that optimizes efficient use of resources.

Establish, implement and review minimum physical plant security standards for each custody level.

Continue "No Dig" fencing statewide project.

Continue progress on door lock project at ASPC-Lewis and ASPC- Yuma.

Complete ASPC- Eyman security locks and fire suppression project based upon allocated funding.

Begin working on ACA Physical Plant Standards to meet ACA life and safety requirements.

ACA Accreditation site preparation and policy development.

Develop options for potential expansion of new and existing ACI Services (Bakery, Uniform Sales, Az HFI vegetative disposal and product development, and ADOT/DPS vehicle modifications).

Issue 2 Staff Engagement - Improve Recruitment, Retention and Job Satisfaction

Description Historical vacancies and turnover requires initiatives to increase employee retention by utilizing available compensation strategies, expanding communication and leadership training and ensuring a safe work environment.

Solutions:

Utilize available compensation strategies, ID and mitigate resignation hotspots.

Implement Corporal positions to provide additional career path for COII's

Hire and retain sufficient COIIs to eliminate security posting of COIIIs, and allow them to complete their roles in providing rehabilitation programing.

Establish COIII Standard Work convergent case management; Pilot at minimum custody to expand pilot to higher custody units.

Continue Warden/DWOP Onboarding program.

Enhance leadership development in Sgt/Lt/Capt job classes.

Design and create standard work for institutional operational assessments.

Issue 3 Improving Inmate Quality of Life

Description Supporting and increasing opportunities of inmate programming, visitation, education, and job training through deployment of new technology and upgrading critical infrastructure.

Solutions:

Expand capacity and utilization for programming, education and treatment.

Implement non-college based trade certification programs.

Increase capacity through remote learning programs.

Complete identified inmate living area building renewal projects

Issue 4 Effective External Stakeholders/Healthcare, Mental Health Contractors

Description Sustain excellent inmate health care provision, using data to manage performance and establishing specialized training for contractors.

Solutions:

Sustain excellent inmate health care provision, using data to manage performance with a bifurcated management approach from ADCRR Medical services and ADCRR procurement to increase contractual obligations, enforcement, and health care monitoring.

Ensuring vendor compliance with staffing requirements.

Establish and implement partnership problem solving council with ADCRR and vendor.

Issue 5 Effective Recidivism Reducing Programs

Description Improve overall system outcomes, reduce the historical reliance on posting Sergeants and COIIs which adversely impacts provision of programs. Initiatives include increasing the treatment and program capacity to meet the needs of the inmate population and improving communication in the transition from inmate to offender.

Solutions:

Refine and expand Community Corrections Reach-In program, to enhance transition to community supervision.

Establish and implement Community Corrections Reentry Council to identify additional reentry strategies reducing recidivism.

Increase Substance Abuse Treatment through contracted services with budget approved expansion targeting rural areas.

Pursue certification with DHS to allow for ADCRR employees to deliver DUI services.

Utilize inmate peer facilitators to deliver Triple P Parenting program.

Establish inmate forestry crews at facilities to support AZHFI.

Deploy work skill development for inmate supporting job opportunities within the fire prevention industry.

Issue 6 Improve Public Confidence

Description Improving engagement with external stakeholders by enhancing customer service. Further develop community partnerships by increasing public awareness and confidence.

Solutions:

Reorient and restructure Constituent Services to expand community betterment with customer service.

Identify and utilize trends to resolve underlying and recurring problems as effectively as possible.

Establish Speakers Bureau at complexes to increase local city/county council and other government consortium interactions.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	9,568.0	9,568.0	9,568.0
General Fund	1,240,667,800.0	1,239,567,800.0	1,239,567,800.0
Other Appropriated Funds	51,339,000.0	51,339,000.0	51,339,000.0
Non-Appropriated Funds	60,415,900.0	60,415,900.0	60,415,900.0
Federal Funds	9,265,406.0	9,265,406.0	9,265,406.0

Program Summary

PRISON OPERATIONS AND SERVICES

David Shinn, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,092,942.9	1,206,877.8	1,234,018.8
Other Appropriated Funds	39,897.1	50,358.2	47,958.2
Other Non Appropriated Funds	105,500.3	64,270.2	63,608.3
Total Funding	1,238,340.3	1,321,506.2	1,345,585.3
FTE Positions	9,229.5	9,229.5	9,231.5

Subprogram Summary

SECURITY

Lance Hetmer, Assistant 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	772,095.6	806,610.6	787,429.2
Other Appropriated Funds	6,130.9	12,181.1	10,181.1
Other Non Appropriated Funds	21,032.9	3.0	3.0
Total Funding	799,259.4	818,794.7	797,613.3
FTE Positions	7,803.0	7,803.0	7,803.0

◆ **Goal 1** To safeguard the public, staff, and inmates through the efficient, safe, and secure operation of prisons.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
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Number of escapes of inmates from any location 3 0 2 0 0

Number of staff assaults (average per month) 64.75 60 49.08 n/a n/a

Explanation: Initiative to reduce inmate on staff assaults extends into FY2021.

Number of suicides 5 6 10 n/a n/a

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) 8.16 8.0 4.33 n/a n/a

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

Greg Lauchner, Inspector General

Phone: (602) 771-5101

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,514.5	8,871.4	8,871.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	83.0	0.0	0.0
Total Funding	8,597.5	8,871.4	8,871.4
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average annual Arizona State-Operated Prison compliance audit percent score	95.55	93.00	91.07	93	93

Subprogram Summary

INMATE EDUCATION, TREATMENT, AND WORK PROGRAMS

Karen Hellman, Assistant 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	28,715.5	21,748.3	42,271.7
Other Appropriated Funds	676.2	2,438.1	2,438.1
Other Non Appropriated Funds	41,987.5	53,491.1	52,829.2
Total Funding	71,379.3	77,677.5	97,539.0
FTE Positions	489.0	489.0	491.0

- ◆ **Goal 1** To maximize inmate participation in Department programming opportunities.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Inmate Program Completions (average per month)	838	400	505	750	750
Explanation: FY21 target changed due to COVID19 impact on providing in-class programming					
Inmate Program Utilization Rate (average percent per month)	90.2	90.0	90.11	90	90
High risk, high needs inmate program completions (average percent per month)	30.01	38.12	35.99	38	38

Subprogram Summary

HEALTH CARE

Larry Gann, 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	8,121.9	28,823.1	13,773.1
Other Appropriated Funds	0.0	-8.2	-8.2
Other Non Appropriated Funds	83.4	1,581.7	1,581.7
Total Funding	8,205.3	30,396.6	15,346.6
FTE Positions	44.0	44.0	44.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Vendor staffing levels (percent per month)	95.0	100	95	100	100
Stipulation Agreement compliance (average percent per month)	93.0	100	91	100	100

Subprogram Summary

PRIVATE PRISONS

Lance Hetmer, Assistant 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	128,073.7	171,480.8	173,925.5
Other Appropriated Funds	29,227.3	29,374.0	29,374.0
Other Non Appropriated Funds	48.3	0.0	0.0
Total Funding	157,349.3	200,854.8	203,299.5
FTE Positions	38.0	38.0	38.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average annual Contracted Private Prison compliance audit percent score	96.95	97.5	94.19	97.5	97.5

Subprogram Summary

PRISON MANAGEMENT AND SUPPORT

Lance Hetmer, Assistant 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	147,421.7	169,343.6	207,747.9
Other Appropriated Funds	3,862.6	6,373.2	5,973.2
Other Non Appropriated Funds	42,265.1	9,194.4	9,194.4
Total Funding	193,549.4	184,911.2	222,915.5
FTE Positions	754.5	754.5	754.5

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average daily inmate population	42,105	39,339	37,708	35,954	35,954
Average daily rated bed surplus or (deficit)	(3,133)	(948)	1,191	3,018	3,018

Program Summary

COMMUNITY CORRECTIONS

Paul O'Connell, Community Corrections Operations Administrator

Phone: (602) 771-5705

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	18,443.4	20,978.4	20,978.4
Other Appropriated Funds	495.0	2,705.6	2,705.6
Other Non Appropriated Funds	4,140.4	9,559.5	9,559.5
Total Funding	23,078.7	33,243.5	33,243.5
FTE Positions	187.0	187.0	187.0

◆ **Goal 1** To promote successful completion of community supervision

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Re-incarcerated due to technical violations (average per month)	209	200	197	190	190

Program Summary

ADMINISTRATION

David Shinn, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	51,013.8	56,446.1	56,446.1
Other Appropriated Funds	272.4	275.2	275.2
Other Non Appropriated Funds	1,832.3	1,851.4	1,851.4
Total Funding	53,118.4	58,572.7	58,572.7
FTE Positions	384.5	384.5	384.5

◆ **Goal 1** To recruit, retain, recognize, and develop staff

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Quantity of vacant Correctional Officer II positions (as of June 30, 2020)	1,122	1,000	1389	1300	1300
Correctional Officer II regrettable attrition rate	56.25	65	61.17	65	65

◆ **Goal 2** To ensure fiscal responsibility in the administration of the agency's budget

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Appropriated funds spending variance (percent)	1	2.0	2.58	1	1

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,703.5	1,856.7	2,317.6
Other Non Appropriated Funds	0.8	0.0	0.0
Total Funding	1,704.3	1,856.7	2,317.6
FTE Positions	24.5	24.5	28.5

5 Year Plan

Issue 1 Board Resources

Description Board Resources

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 98,893 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 Board Resources 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 operational demands, 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.

Arizona State Board of Barbering and Cosmetology

Fiscal Year 2023

H.B. 2029, State of Arizona, Fifty-Fifth Legislature, 2021

The Arizona State Board of Barbers and the Arizona State Board of Cosmetology will consolidate and become one Board, The Arizona State Barbering and Cosmetology Board, effective January 1, 2022.

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 vacant Inspector positions, two vacant Admin II, and 1.5 vacant Customer Service Position. 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 additional 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 additional Inspector 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.

Currently the agency employs three customer service representatives. With the upcoming agency consolidation with the Barber Board, and the additional incoming calls due to the agency offering all services online, the agency will need additional customer service representatives to relieve the workflow. Currently the agency has consistently employed two temporary contractors to assist the agency with customer service duties. Due to our current appropriation constraints, we are unable to fill the vacant positions in order to meet the agencies goals. The Arizona State Board of Cosmetology plans to request additional appropriation in order to support the cost of additional staff.

Arizona State Board of Barbering and Cosmetology

Fiscal Year 2023

H.B. 2029, State of Arizona, Fifty-Fifth Legislature, 2021

The Arizona State Board of Barbers and the Arizona State Board of Cosmetology will consolidate and become one Board, The Arizona State Barbering and Cosmetology Board, effective January 1, 2022.

Issue 3 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 filing. Acquiring a new licensing system will allow BOC enhance the out dated functions and will allow user friendly and increase application on-line.

By 2023 – The BOC will need to purchase a new enterprise solution to replace our unfriendly and unfavorable database system.

By 2023 - The BOC would develop the lacking inspection route mapping and tracking and risk base inspection rating method. The project further aligns with the state's initiative for agency's to conduct business electronically where possible.

Funding Issue

GL Suites/Replacement – Agency's Database

BOC is requesting 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 agency's 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 agency's decision to replace the current data base.

BOC is currently working with ADOA-ASET to select a single vendor, and to finalize the PIJ for this migration. ADOA-ASET and OSPB are aware of the situation that the board is facing with the selection of the new database and vendor.

AZBOC, database houses over 98,893 plus licensees, complaint files, student hours and inspections. The requirements for a new database must include customization of school student's hour report module, agency's 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 agency's licensing database to allow the completion of the project.

Equipment Replacement:

-Continued upgrades and replacement computers, and laptops

System maintenance support, enhancement, and upgrades:

-Network services reviewed and renewal of service contracts.

Arizona State Board of Barbering and Cosmetology

Fiscal Year 2023

H.B. 2029, State of Arizona, Fifty-Fifth Legislature, 2021

The Arizona State Board of Barbers and the Arizona State Board of Cosmetology will consolidate and become one Board, The Arizona State Barbering and Cosmetology Board, effective January 1, 2022.

Issue 4 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. Due to the upcoming consolidation with the Barber Board and the increase volume of workload. The agency will request additional appropriation and FTE to support the agency's operations.

The Board continues to see and record the continued growth within the Cosmetology community and along with the increase of licenses, 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 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 requested 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 requested 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.

Arizona State Board of Barbering and Cosmsetology

Fiscal Year 2023

H.B. 2029, State of Arizona, Fifty-Fifth Legislature, 2021

The Arizona State Board of Barbers and the Arizona State Board of Cosmetology will consolidate and become one Board, The Arizona State Barbering and Cosmetology Board, effective January 1, 2022.

Issue 5 A Quality continuity Plan**Description** A Quality continuity Plan**Solutions:**

To provide continued public protection even in times COVID-19 and/or 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 is a provision in the rule (A.A.C. R4-10-112 (S) (1) 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.

Arizona State Board of Barbering and Cosmsetology

Fiscal Year 2023

H.B. 2029, State of Arizona, Fifty-Fifth Legislature, 2021

The Arizona State Board of Barbers and the Arizona State Board of Cosmetology will consolidate and become one Board, The Arizona State Barbering and Cosmetology Board, effective January 1, 2022.

Issue 6 External Partners

Description External Partners

Solutions:

Continue 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, AACCS American Association of Cosmetology Schools, The Salon Association, ACIA (Arizona Cosmetology Industry Association), PCS (Professional 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.

Arizona State Board of Barbering and Cosmetology

Fiscal Year 2023

H.B. 2029, State of Arizona, Fifty-Fifth Legislature, 2021

The Arizona State Board of Barbers and the Arizona State Board of Cosmetology will consolidate and become one Board, The Arizona State Barbering and Cosmetology Board, effective January 1, 2022.

Issue 7 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 2022 and 2023 printing brochures and/or circulars for licensees, salons, and schools for distribution, is a goal of the Board. By 2022 and 2023 by continuing services with our state printing vendors and distributing information will bring employment and information to the public.

Arizona State Board of Barbering and Cosmetology

Fiscal Year 2023

H.B. 2029, State of Arizona, Fifty-Fifth Legislature, 2021

The Arizona State Board of Barbers and the Arizona State Board of Cosmetology will consolidate and become one Board, The Arizona State Barbering and Cosmetology Board, effective January 1, 2022.

Issue 8 Rule Promulgation

Description Rule Promulgation

Solutions:

Rule promulgation needs to be ongoing 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 update the rules to ensure clarity and to eliminate outdated burdensome rules.

Issue 9

Description

Solutions:

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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 establish standards for the professional practice of cosmetology.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average calendar days from receipt of completed application to issuance of license	28	28	28	28	28
Total individuals and establishments licensed	72,148	85,000	74,143	76,000	78,000
Explanation: This is total active licenses which was broken down with #5 and #6 as per recommendation of the Auditor General.					
Total delinquent individual and establishment licenses	16,154	10,000	17,320	12,000	12,000
Explanation: #2 Justification for lower estimation is due to auditor general's suggestion to break down delinquent and Inactive (#5-#6) which still continue to be serviced.					
Total Inactive individual licenses	28,493	25,000	28,925	25,000	25,000
Explanation: #2 Justification for lower estimation is due to auditor general's 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total inspections conducted	3,353	10,000	5,554	6,000	6,000
Explanation: The Agency was able to increase the number of inspections due to the retention of staff.					
Total complaints and application denials	723	2,000	627	1,500	1,500
Explanation: Goal is to have lesser complaints and penalizations, with better training/ awareness.					
The 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Educational class opportunities offered within a month to the public in class or over the internet	17	28	338	28	300
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Constituents aided in transferring to another governmental jurisdiction or educational institution.	762	1,000	734	1,000	1,000
Licensees accepted through reciprocity applications from another state or country.	1,783	1,800	2,104	2,000	2,000
Percentage of applicants or license holders reporting very good or excellent service from staff.	95	95	95	95	95
Licensees accepted through Universal Recognition application.	368	450	349	450	450

Agency Summary

CRIMINAL JUSTICE COMMISSION

Andrew LeFevre, Executive Director
Phone: (602) 364-1156
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ AGENCY MANAGEMENT	897.2	991.2	991.2
➤ CRIME VICTIMS	3,812.9	5,508.8	4,374.2
➤ STATISTICAL ANALYSIS CENTER	742.5	1,617.5	617.5
➤ CRIME CONTROL	14,009.2	16,318.3	16,094.6
➤ CRIMINAL JUSTICE SYSTEM IMPROVEMENT	2,810.4	4,984.5	4,984.5
Agency Total:	22,272.2	29,420.3	27,062.0
Funding:			
	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	1,000.0	0.0
Other Appropriated Funds	4,970.1	7,174.6	5,816.3
Other Non Appropriated Funds	17,302.1	21,245.7	21,245.7
Total Funding	22,272.2	29,420.3	27,062.0
FTE Positions	25.5	25.0	25.0

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	25.0	25.0	25.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	7,378,500.0	7,378,500.0	7,378,500.0
Non-Appropriated Funds	5,970,100.0	5,970,100.0	5,970,100.0
Federal Funds	8,280,400.0	8,280,400.0	8,280,400.0

Program Summary

AGENCY MANAGEMENT

Andrew LeFevre, Executive Director
 Phone: (602) 364-1156
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	488.4	658.8	658.8
Other Non Appropriated Funds	408.8	332.4	332.4
Total Funding	897.2	991.2	991.2
FTE Positions	8.5	7.0	7.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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	100	100	100

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,620.8	4,224.6	3,090.0
Other Non Appropriated Funds	1,192.1	1,284.2	1,284.2
Total Funding	3,812.9	5,508.8	4,374.2
FTE Positions	2.2	2.9	2.9

◆ **Goal 1** To increase the number of compensation claims filed and awarded to eligible crime victims.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Obtain increased spending authority for the crime victim compensation program	4.2	4.2	4.2	4.2	4.2
Increase in compensation awards reported by Operational units	3.7	3.7	3.1	3.1	3.1

◆ **Goal 2** To effectively manage the allocation and administration of Crime Victim Compensation Funds.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Continuity of administration in the 15 counties	15	15	15	15	15
Percent of counties in which case reviews completed	90	90	50	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Applicants requesting funds	45	45	18	22	22
Grants awarded in a timely manner to victim services providers	25	25	9	7	7
Number of site visits completed	20	20	6	6	6
Program audits reflecting no deficiencies	15	15	5	5	5
Program single audits reflecting compliance with Administrative Rules	35	35	21	21	21

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	1,000.0	0.0
Other Appropriated Funds	621.7	617.5	617.5
Other Non Appropriated Funds	120.8	0.0	0.0
Total Funding	742.5	1,617.5	617.5
FTE Positions	6.5	6.5	6.5

- ◆ **Goal 1** To implement and maintain an effective and relevant criminal justice research program.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of studies/research projects proposed by internal and external customers	25	25	10	10	10
Number of studies/reports completed and published	25	25	3	5	5
Number of public and media data requests processed - Anticipating decline because of data dashboard on website.	80	80	36	35	25
Number of legislative and policy-maker data requests processed	30	30	2	2	2
Number of research products mailed via US mail to external customers (paper reduction).	0	00	0	0	0

Program Summary

CRIME CONTROL

Tony Vidale, Crime Control Program Manager
 Phone: (602) 364-1155
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	685.9	1,673.7	1,450.0
Other Non Appropriated Funds	13,323.3	14,644.6	14,644.6
Total Funding	14,009.2	16,318.3	16,094.6
FTE Positions	5.3	6.3	6.3

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Completion of annual report by due date.	0	0	0	0	0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Grants identified, applications submitted and approved by funding authorities	3	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.	43	145	102	45	45
Number of grant applications evaluated and awarded to criminal justice agencies for criminal justice system activities authorized by the Commission.	42	102	102	45	45
Number of arrests made by grant-funded task forces	4,700	4,700	3,003	3,000	3,000
Convictions reported by grant-funded prosecution projects	22,000	22,000	13,742	13,500	13,500
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	0	6	0
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) 364-1152
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	553.3	0.0	0.0
Other Non Appropriated Funds	2,257.1	4,984.5	4,984.5
Total Funding	2,810.4	4,984.5	4,984.5
FTE Positions	3.0	2.3	2.3

- ◆ **Goal 1** To apply for available federal funds in such program areas as DNA and Laboratory Improvements.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of grant applications submitted to proper agencies.	4	4	8	8	8
Number of grant awards provided to the Commission by the various granting agencies.	3	3	8	8	8

- ◆ **Goal 2** To establish and publish technology and data standards for criminal justice agencies of the state annually.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Meetings conducted annually	3	3	2	3	4

- ◆ **Goal 3** To improve disposition reporting of each county to the central repository each year.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Meetings coordinated to discuss record improvement challenges by records coordinator annually.	15	15	4	15	15
Percentage of increase in disposition reporting utilizing the Records Quality Index (RQI) tool for record improvement projects funded through the program annually.	5	5	6	7	7

◆ **Goal 4** To introduce legislation to change/improve criminal history reporting as needed.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Bills submitted to Legislature	1	1	1	1	1
Bills passed by the Legislature for the improvement of criminal history record reporting	0	1	0	1	1

◆ **Goal 5** To administer, monitor, and evaluate grant projects on a continual basis.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Site visits to grantee agencies	3	3	3	3	3
Assistance provided to grantee agencies	70	70	86	90	90
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	200	200	170	200	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Grants awarded to agencies for improvement of criminal justice/history records	15	15	12	15	15

◆ **Goal 7** To apply for available funds from federal Justice Department agencies.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of grant applications submitted to proper agencies	5	5	6	6	6
Number of grant awards provided to the Commission by the various granting agencies	5	5	5	5	5
Number of applicants requesting funding	20	20	16	20	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 site-based campuses, three regional cooperatives, and a statewide distance itinerant program. ASDB also has a birth to age 5 Early Learning Program made of two components: The first component is the birth to age 3 program in which early childhood teachers go into the homes of infants and their caretakers. The second component are the three preschools located at the Phoenix Day School for the Deaf, the Arizona School for the Deaf, and the Foundation for Blind Children.

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ PHOENIX DAY SCHOOL	10,780.2	12,411.8	13,621.4
➤ TUCSON CAMPUS	13,151.4	13,113.4	13,250.9
➤ REGIONAL COOPERATIVES	16,265.4	18,883.1	18,883.1
➤ PRESCHOOL/OUTREACH	6,910.1	7,032.6	7,032.6
➤ ADMINISTRATION	10,332.2	9,305.0	9,305.0
Agency Total:	57,439.3	60,745.9	62,093.0

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	23,432.0	23,255.7	24,602.8
Other Appropriated Funds	12,467.7	32,063.8	32,063.8
Other Non Appropriated Funds	21,539.6	5,426.4	5,426.4
Total Funding	57,439.3	60,745.9	62,093.0

FTE Positions **509.0** **511.5** **515.5**

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	562.2	562.2	562.2
General Fund	25,033.3	25,471.4	25,917.2
Other Appropriated Funds	32,624.9	33,195.8	33,776.8
Non-Appropriated Funds	2,786.8	2,835.6	2,885.2
Federal Funds	2,600.3	2,554.8	2,510.1

Program Summary

PHOENIX DAY SCHOOL

Shaina Cooper, Assistant Superintendent
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	4,230.2	4,356.6	5,566.2
Other Appropriated Funds	5,325.2	6,445.1	6,445.1
Other Non Appropriated Funds	1,224.8	1,610.1	1,610.1
Total Funding	10,780.2	12,411.8	13,621.4
FTE Positions	107.5	110.5	112.5

- ◆ **Goal 1** To increase efficiency and effectiveness in the instructional program for students served by ASDB programs.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 PDSD students who enroll in CTE programs complete the program.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of students who enroll in CTE programs and complete the program in its entirety.	74	80	100	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average satisfaction level on a 1-10 Scale is 9.0 or higher.	3.82	4.00	8.5	9.0	9.0

*Scaling was changed in FY2021 from a 1-5 Likert Scale to a 1-10 scale.

Program Summary

TUCSON CAMPUS

Shaina Cooper, Assistant Superintendent
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	7,455.1	7,789.9	7,927.4
Other Appropriated Funds	4,330.8	4,309.2	4,309.2
Other Non Appropriated Funds	1,365.5	1,014.3	1,014.3
Total Funding	13,151.4	13,113.4	13,250.9
FTE Positions	138.4	140.4	142.4

- ◆ **Goal 1** To increase efficiency and effectiveness in the instructional program for students served by ASDB Programs.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
This measures what percentage of students who enroll in CTE programs complete the program in its entirety.	94	70	9	70	70

The CTE programs are an excellent way for our students to work on their jobs, careers, and post-school outcomes.

- ◆ **Goal 3** To ensure parents are highly satisfied with the educational services and supports provided to their children.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average satisfaction level on a 1-10 Scale is 9.0 or higher.	4.30	4.00	9.3	9.0	9.0

*Scaling was changed in FY2021 from a 1-5 Likert Scale to a 1-10 scale.

Program Summary

REGIONAL COOPERATIVES

Shaina Cooper, Assistant Superintendent
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	18,108.6	18,108.6
Other Non Appropriated Funds	16,265.4	774.5	774.5
Total Funding	16,265.4	18,883.1	18,883.1
FTE Positions	134.1	129.5	129.5

- ◆ **Goal 1** To ensure parents are highly satisfied with the educational services and supports provided to their children

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average satisfaction level on a 1-10 Scale is 9.0 or higher.	4.10	4.00	8.3	9.0	9.0

*Scaling was changed in FY2021 from a 1-5 Likert Scale to a 1-10 scale.

◆ **Goal 2** To ensure school districts are satisfied with the services ASDB provides to their students

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average satisfaction level on a 1-10 Scale is 9.0 or higher.	4.19	4.00	6.6	9.0	9.0

*Scaling was changed in FY2021 from a 1-5 Likert Scale to a 1-10 scale.

Program Summary

PRESCHOOL/OUTREACH

Shaina Cooper, Assistant Superintendent
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 - Birth-to-3 and Preschool. The Birth-to-3 program 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	3,463.5	3,122.5	3,122.5
Other Appropriated Funds	2,823.9	3,200.9	3,200.9
Other Non Appropriated Funds	622.7	709.2	709.2
Total Funding	6,910.1	7,032.6	7,032.6
FTE Positions	44.8	44.9	44.9

- ◆ **Goal 1** To increase the average number of home visits (i.e., 180 minutes of service) per family per month.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Goal is to conduct an average of 180 minutes of service per family per month.	2.18	3.0	61	85	90

*Goal was changed to more appropriately assess targeted visits per month per family.

Stating a family will review "X" visits a month is predetermining service levels which should not be done. It is more appropriate to determine average minutes of service rather than number of visits.

Explanation: Revised 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average satisfaction level on a 1-10 Scale is 9.0 or higher.	4.00	4.00	9.0	9.0	9.0

*Scaling was changed in FY2021 from a 1-5 Likert Scale to a 1-10 scale.

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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, Assistant Superintendent
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,283.2	7,986.7	7,986.7
Other Appropriated Funds	-12.2	0.0	0.0
Other Non Appropriated Funds	2,061.2	1,318.3	1,318.3
Total Funding	10,332.2	9,305.0	9,305.0
FTE Positions	84.2	86.2	86.2

- ◆ **Goal 1** To ensure the average parent satisfaction level with ASDB services and supports provided to their children.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Average satisfaction level on a 1-10 Scale is 9.0 or higher.	4.11	4.00	8.8	9.0	9.0

*Scaling was changed in FY2021 from a 1-5

Likert Scale to a 1-10 scale.

- ◆ **Goal 2** To maintain a campus (ASD, ASB, and PDSD) student graduation rate of 75% or higher.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Average campus (ASD, ASB, and PDSD) student graduation rate.	88	75	61.5	75	75

- ◆ **Goal 3** To ensure 70% of campus students who enroll in CTE programs complete the program.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
This measures what percentage of students who enroll in CTE programs complete the program in its entirety.	84	70	54.5	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ COUNCIL ACTIVITIES	3,060.1	3,181.5	3,181.5
➤ TDD - TELECOMMUNICATION DEVICE FOR THE DEAF	488.3	1,450.4	1,450.4
Agency Total:	3,548.4	4,631.9	4,631.9
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,548.4	4,631.9	4,631.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,548.4	4,631.9	4,631.9
FTE Positions	17.0	17.0	21.0

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/Collaboration

Description To increase the number of public and private sector partnerships in providing training and program services.

Solutions:

Objective 2.1: To further introduce 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 Advocacy

Description To expand Public Policy and Advocacy Efforts Related to Communication Access in Public and Private Sectors

Solutions:

Objective 3.1: Improve equal and effective communication access in public and private sectors

Objective 3.2: Ensure all Deaf, Hard of Hearing, and DeafBlind Arizonans have access to effective communication with targeted outreach for underserved and rural communities

Objective 3.3: Promote and raise awareness of issues impacting Deaf, Hard of Hearing, and DeafBlind individuals with elected officials and policy makers in the State.

Objective 3.4: Promote awareness of the need for hearing aid services for low income adults with varying hearing levels

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 processes 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

	FY2024 Estimate	FY2025 Estimate	FY2026 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

COUNCIL ACTIVITIES

Carlos Castillo, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,060.1	3,181.5	3,181.5
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,060.1	3,181.5	3,181.5
FTE Positions	14.0	14.0	18.0

- ◆ **Goal 1** To increase public awareness of accessibility issues related to the Deaf, Hard of Hearing, DeafBlind and persons with speech difficulties. THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of information and referral contacts THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.	16,113,543	13,000,500	17,055,342	0	0
Explanation: Contacts and Trainings					
Total number of website visits THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.	100,321	200,000	116424	0	0
Explanation: FY19 Launched a new website to drive visits.					
Total number of advertisements THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.	1,618,780	12,000,000	3964	0	0
Total number of articles THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.	312,187	3,000,000	3,740,407	0	0
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 THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.	11,061	20,000	8,358	0	0
Number of newsletters distributed THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.	107,800	100,000	161,546	0	0
Number of viewers impacted by Community View on an annual basis THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.	4,758	5,000	4,454	0	0
Live Streaming views	45	500	43	0	0

Explanation: Due to COVID-19 Pandemic restrictions, Live Streamimg has been interrupted

- ◆ **Goal 2** To increase the number of public and private sector partnerships in providing training and program services.
THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of partnerships formed	25	10	0	10	0

- ◆ **Goal 3** To prepare future American Sign Language instructors for national-level standards and certification.
THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of workshop hours THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.	0	0	0	0	0

Explanation: National ASL Teacher's Association is not currently active.

- ◆ **Goal 4** To improve interpreter support services.
THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of general licensed interpreters	676	700	777	700	700
Average number of calendar days from receipt of complaint about licensed interpreter to resolution	64	160	0	160	160
Number of complaints about certified/licensed interpreters	2	5	4	5	5
Number of licensed legal interpreters	71	75	62	75	75
Number of provisional interpreters	49	60	42	60	60

- ◆ **Goal 5** To improve public relations on issues related to hearing loss.
THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of printed articles related to the Arizona Commission for the Deaf and Hard of Hearing THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.	13	5	0	0	0
Number of printed articles related to the Arizona Telecommunications Equipment Distribution Program THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.	0	0	0	0	0
Number of printed articles related to the Arizona Relay Service	0	0	0	0	0
Explanation: I					
Number of telecommunication advertisements for Arizona Relay Service	0	5	0	5	0
Number of telecommunication advertisements for Arizona Telecommunications Equipment Distribution Program	0	5	0	5	0

Program Summary

TDD - TELECOMMUNICATION DEVICE FOR THE DEAF

Carlos Castillo, 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.

THIS GOAL HAS BEEN MET AND WE WILL NO LONGER REPORT OR PROJECT. A NEW GOAL WILL BE ENTERED FOR THE NEXT FISCAL YEAR.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	488.3	1,450.4	1,450.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	488.3	1,450.4	1,450.4
FTE Positions	3.0	3.0	3.0

- ◆ **Goal 1** To monitor telecommunications relay services to ensure compliance with current contract.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent of telecommunications relay service calls completed without a complaint	94.55	99.5	99.25	99.5	99.5
Annual call minutes for the telecommunications relay service	122,970.35	300,000	156,991.26	300,000	300,000

- ◆ **Goal 2** To administer voucher system of the Telecommunications Equipment Distribution Program.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent of customer satisfaction with equipment distribution voucher program	97.50	95.0	99.25	95.0	95.0
Number of equipment distributed to consumers	286	500	226	500	500
Number of applications distributed to consumers regarding the equipment distribution program	0	800	0	0	0
Number of demonstrations performed	0	150	0	0	0

Explanation: AZTEDP staff performs demos to match the consumer and the equipment

- ◆ **Goal 3** To promote awareness of hearing aid services for low income adults with varying hearing levels through Hearing Aid Assistance Project

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of hearing aids distributed to low income Arizonans	0	0	0	20	40

Explanation: Number of hearing aids distributed to low income Arizonans

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,194.1	1,815.8	1,938.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,194.1	1,815.8	1,938.2
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 important. 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 FY22, 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 continue to be paperless and more efficient through fillable forms.

Solutions:

Strategy 1

The agency will transition from paper forms to online fillable forms for all required documents by the end FY2022. This will not require any addition allocation of resources. The agency will use current staff knowledge to build the required forms.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of applications received	650	700	787	850	850
Total number of individuals or facilities licensed	11,533	12,000	10,156	10,500	10,500
Total number of licenses/renewals issued	1,851	1,900	949	1,500	1,500
Average calendar days to renew a license (from receipt of application to issuance)	20	15	30	20	15
Percent of cases adjudicated each fiscal year (ratio of complaints resolved to complaints received)	7	25	60	70	75
Average number of calendar days from receipt of complaint to resolution of complaint	200	190	360	180	180
Percent of investigations resulting in disciplinary or enforcement action	60	60	60	60	60
Number of licenses revoked or suspended	0	1	3	1	1
Total number of investigations conducted	371	375	187	400	400
Total number of complaints received annually	434	440	308	350	350
Number of licensees with disciplinary action	12	10	9	10	10

◆ **Goal 2** To become more efficient with online submissions.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of forms on the Agency website that are in a fillable format.	75	100	90	100	100

Agency Summary

EARLY CHILDHOOD DEVELOPMENT AND HEALTH BOARD

Josh Allen, Interim 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	147,234.2	171,945.2	171,945.2
Total Funding	147,234.2	171,945.2	171,945.2
FTE Positions	154.8	166.9	166.9

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 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.

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 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.

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 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,
- o Support 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:
 - o Analysis 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.
 - o Support 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.
- o Partner to ensure children are meeting national standards for appropriate screenings; getting referred for evaluation, and connected to services and treatment.
- o Work with partners to reduce duplication of services, coordinate screenings, help families understand the results, and support the appropriate follow up and referrals needed.
- o Convene partners to address children's access to appropriate and timely interventions

- o Continue 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:
 - Prioritizing high risk and vulnerable populations across the health, education and family serving sectors;
 - Aligning policies and increasing coordination to reduce duplication across health, education and family support; and
 - Continuing 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:
 - Coordinating with system partners to standardize definitions, map, share, and access data indicators to understand impact.
 - Data should inform child outcomes and system progress.
- Focusing on shared accountability among system partners on quality and integrity of data.
- Developing 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.
- Executing 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.
- Partner 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.

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Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	150.0	150.0	150.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	116,500.0	115,000.0	112,500.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Dollars (in millions) awarded in support of direct program delivery	130.8	131.9	134.8	134.8	134.8
Number of awards made	189	184	203	203	203
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Dollars (in millions) spent on Communications	2.6	3.2	2.6	3.2	3.2
% of regions participating in a coordinated communications strategy	100	100	89	89	89
% of Arizonans who see Early Education as important and % who see K-12 important.	77/90	78/90	71/83	73/83	75/85

◆ **Goal 3** To achieve high level of integration, coordination and collaboration with early childhood partners and stakeholders.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Estimated number of grants that have Grant and Sub-Grantee relationship	29	22	25	23	25
Number of multi-agency grants FTF is the recipient of	5	5	5	5	5
% of Council seats/positions (required by statute to have broad and diverse community and sector composition) not filled	10	10	10	10	10

◆ **Goal 4** To monitor and report on services, results, and outcomes

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Dollars (in millions) spent on evaluation and Needs & Assets	3.4	5.3	3.9	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Staff Vacancy Rate (%)	5	5	6.5	6.5	6.5
Staff External Turnover Rate (%)	12	12	11	11	11
Staff External Voluntary Turnover Rate (%)	12	12	11	11	11
% of regional councils with dedicated staff	100	100	100	100	100
% of female (vs. male) employees	86	86	84	84	84
% of minority employees	44	44	46	46	46

◆ **Goal 6** To be fiscally accountable to the citizens of Arizona

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Major Deficiencies in the Annual Audit	0	0	0	0	0

Agency Summary

DEPARTMENT OF ECONOMIC SECURITY

Michael Wisehart, Director
Phone: (602) 542-5757
A.R.S. § 41-1954

Mission:

To ensure the strength and economic stability of Arizona by providing timely, temporary benefit assistance, and aid to vulnerable, qualifying Arizonans.

Description:

With a staff of more than 8,800, DES is the human services agency for the State of Arizona that oversees more than 40 different programs and services and distributes benefits to more than 3 million Arizonans. We provide benefit assistance, care and services to some of Arizona's most vulnerable populations including Adult Protective Services, Developmental Disabilities, Nutrition, Cash, and Medical Assistance, Vocational Rehabilitation, Child Support Services, and Unemployment Insurance (UI).

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADMINISTRATION	132,013.0	131,568.9	138,811.9
➤ DEVELOPMENTAL DISABILITIES	2,278,322.5	2,643,206.6	3,087,316.6
➤ BENEFITS AND MEDICAL ELIGIBILITY	2,425,966.4	2,872,834.4	2,858,287.9
➤ CHILD SUPPORT ENFORCEMENT	53,291.0	61,945.7	61,945.7
➤ AGING AND ADULT SERVICES	180,794.7	458,758.7	466,965.1
➤ DIVISION OF CHILDREN, YOUTH AND FAMILIES	209,511.8	303,395.8	303,395.8
➤ EMPLOYMENT AND REHABILITATION SERVICES	1,756,910.3	2,093,191.2	810,740.7
Agency Total:	7,036,809.7	8,564,901.3	7,727,463.7
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	760,829.1	850,052.5	1,005,775.1
Other Appropriated Funds	517,786.8	1,518,701.4	458,174.2
Other Non Appropriated Funds	5,758,193.8	6,196,147.4	6,263,514.4
Total Funding	7,036,809.7	8,564,901.3	7,727,463.7
FTE Positions	8,394.2	8,384.8	8,553.2

Department of Economic Security

Fiscal Year 2022 Strategic Plan

Agency Director:
Strategic Planner:
Last modified:

Michael Wisehart
Richard David
07/15/21

Vision: All Arizonans who qualify receive timely Department of Economic Security (DES) services and achieve their potential.

Mission: DES will ensure the strength and economic stability of Arizona by providing timely, temporary benefit assistance, and aid to vulnerable, qualifying Arizonans.

Agency Description: With a staff of more than 8,800, DES is the human services agency for the State of Arizona that oversees more than 40 different programs and services and distributes benefits to more than 3 million Arizonans. We provide benefit assistance, care and services to some of Arizona's most vulnerable populations including Adult Protective Services, Developmental Disabilities, Nutrition, Cash, and Medical Assistance, Vocational Rehabilitation, Child Support Services, and Unemployment Insurance (UI).

Executive Summary: During FY2021, DES engaged with Federal and State partners to develop and launch significant new programs to assist Arizonans through the pandemic. The new programs included Pandemic Unemployment Assistance (PUA), Pandemic Emergency Unemployment Compensation, Essential Workers Child Care Relief, Federal Pandemic Unemployment compensation, and Emergency Rental Assistance (ERAP). Additional funding was applied to existing programs such as SNAP with pandemic emergency benefits assisting 440,000 families and P-EBT with benefits assisting families of 530,000 school age students for lost meals and 130,000 preschool aged children requiring childcare. As new programs and additional funds are released, DES will assess and implement.

The Arizona economy has been significantly impacted by the pandemic. As the COVID 19 pandemic continued, and through the implementation of a Tactical Operations Center, DES was able to continuously assess the day to day operations and safety of clients and staff. The business model was adjusted to operate in a virtual environment while ensuring basic needs, services, and funding were provided timely. Over 70% of staff are now working virtually while achieving high levels of customer service. We will continue to enhance services by modernizing processes and streamlining service points of contact. Focus on improved transparency will continue with the addition of a Director's blog.

UI and PUA program stabilization efforts will continue with Office of Inspector General (OIG) fraud investigations, referrals for prosecution, and payment recovery. Leadership training is expected to drive more consistent decision making and improved performance. In FY22, Modernize Agency Technology Solutions has been included focusing on improving the client and user experience, reducing costs, and improving cybersecurity levels. Providing World Class Customer Experience has been added with a focus on timeliness, consistency, service, safety, and outcomes. Analysis of performance will include an Equity, Diversity, and Inclusion (EDI) perspective.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Critical Management Through the Pandemic	2020	<ul style="list-style-type: none">Launched Emergency Rental Assistance Program, Lost Wages Assistance Program, Pandemic Emergency Unemployment Compensation Program, Federal Pandemic Unemployment Compensation Program, Pandemic Unemployment Assistance Program, and Essential Worker Child Care Relief Scholarship ProgramAwarded over \$76M in COVID related funding to community service partnersProvided SNAP Pandemic Emergency Benefits of \$685MProvided emergency P-EBT benefits of over \$520MIncreased telework to over 70%Implemented various service flexibilities to ensure continued service delivery to DDD membersPaid over \$14 Billion in Unemployment Insurance benefits
2	Emerging from the Pandemic Stronger, Leaner, and More Efficient	2020	<ul style="list-style-type: none">Implemented Identity Verification for UI, PUA, and ERAP as well as enhanced analytics to identify fraudLaunched UI Fraud investigation teams. Engaged with Federal and Local law enforcementImproved to #1 in nation for paternity establishment, #9 for support order establishment. (DCSS)Reduced average number of days to deliver services to members. Significantly reduced number of Quality-of-Care investigations aged over 60 days. (DDD)Reduced leased office space by over 340,000 sq ftDeveloped and launched data dashboards to drive improved, informed, and timely decisions. Launched public facing dashboards accessed via the DES website.Established new self-service capabilities to enhance the client/customer experienceLaunched comprehensive leadership training programImproved Employee Engagement Scores by 5%Stabilized Leadership Team focusing on team and cross agency collaboration and a common visionEngaged community through virtual informational forums and consultations, virtual Meet and Greets, and virtual client Focus Groups and surveysImplemented Governance and Innovation AdministrationDeveloped an IT strategic roadmap
3	Modernize Agency Technology Solutions	2021	Modernize agency technology solutions to improve the client/user experience, reduce cost, and achieve target cybersecurity levels.
4	Provide World Class Customer Experience	2021	Improve timeliness, consistency, service, and safety. Begin analysis of outcomes from an EDI perspective.

Department of Economic Security

Fiscal Year 2022 Strategic Plan

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Ensure Integrity of Payment Eligibility (UI/PUA)	<ul style="list-style-type: none"> OIG Investigations closed OIG Investigations referred for prosecution OIG Dollars recouped Number of initial UI Claims 	UI Fraud investigations : Investigate and refer for prosecution fraudulent payments made in the UI and PUA program.
1	Increase services delivered to vulnerable populations	<ul style="list-style-type: none"> Number of enrollments on the Non-Medical HCBS waitlist AzEIP Active Case Count 	Serve More Clients through Community Partners: Continue and refine standard technical assistance and virtual monitoring. Increase collaboration with stakeholders and subrecipients to allow for spending COVID funding timely and effectively. Child Find implementation: Target referrals to underserved areas.
1	Establish a highly effective and engaged workforce	<ul style="list-style-type: none"> Employee satisfaction with the work environment ALP courses completed/% of supervisors completing program Retention and turnover 	Implement Advanced Leadership Program: Leadership training for all DES leaders. Reduction in Turnover: Better engagement and satisfaction amongst staff and reduced operating costs.
2	Rapidly rebuild and enhance the Economy	<ul style="list-style-type: none"> Percent of eligibility clients served virtually Number of job Placements Number of clients enrolled in temp emergency shelter, rapid rehousing, homeless prevention, and street outreach Households served by Emergency Rental Assistance Program Number of Return-to-Work Bonuses paid Number of participants in Back to Work programs Percent of children placed in a Quality Childcare setting 	Emergency Rental Assistance Program: Increase number of households served by creating process efficiencies, community outreach, and additional services. New Program Implementation: Launch new programs with appropriate staffing, metrics, and dashboards including Back to Work programs, Return to Work Bonus. Increase number of Homeless Clients served: Utilization of the array of homeless services must be maximized to support clients in prevention of homelessness and support for permanent housing. Continue to drive improved planning with community partners.
2,3	Integrate and Modernize Technology and Business Processes	<ul style="list-style-type: none"> Number of IV-D child support cases receiving a child support payment AMS Deployment Percentage Average hours to close an investigation Number of Quality-of-Care reports beyond standard time frames Percent of space utilized Percent of agency on-site hours RiskSense Security Score 	Improve the Timeliness and Consistency of Payments to Families: Deploy enforcement standard work, supported and improved through problem solving and lean leader behaviors. Award and transition to new Centralized Payment Processing vendor. EPC Bank card transition. AMS Deployment: Increase AMS deployment to leaders to drive continuous improvement. C2F Initiative: Continue to drive quality and service improvements within DDD. Optimize Physical Footprint: Ongoing assessment and optimization of floorspace utilization. Refine and Implement IT Roadmap: Implement ATLAS modernization project, APS case management system, Digital 5S program, Client Portal. Improve and maintain minimum RiskSense security score of 725.
4	Improve Member/Client experience	<ul style="list-style-type: none"> DDD Average days to Service DERS Average days to Employment DERS Average days to Adjudication ASA Appeals Timeliness 	Customer/Client Service: Continue to drive improvements in customer service at division levels. Implement Connect to Employment Services (DERS), Improve Appellate Services Administration backlog and timeliness, Implement Person-Centered Service Plan (DDD).

5 Year Plan

Issue 1 Critical Management Through the Pandemic

Description The Arizona Economy has been significantly impacted by the pandemic. As an essential service, DES provides basic needs like nutritional, cash, medical and shelter services funding for the Arizona population. Unemployment has reached record levels in record time. Our developmental disabilities members are especially vulnerable. We will ensure services are provided timely and accurately, while caring for the health and safety of our team as well as the people we serve.

Solutions:

Provide basic needs throughout pandemic

Increase utilization and satisfaction of virtual work environments

Issue 2 Emerging from the Pandemic Stronger, Leaner, and More Efficient

Description DES will strengthen our service delivery to meet the needs of all Arizonans so we emerge from the COVID-19 pandemic stronger, leaner and more efficient for those we serve. In fiscal year 2020, DES will have invested approximately \$10 billion in services to critical Arizonans. We will enhance services by modernizing processes and streamlining service points of contact for our staff of more than 8,200 and the 3 million we serve.

With crisis comes opportunity. DES is committed to using this opportunity to reshape, modernize, and enhance the way DES operates as an organization. We will reduce our costs and footprint, enhance team member engagement, and connect with the people we serve.

Solutions:

Rapidly rebuilding and enhancing the economy

Modernization of business processes

Integrate and modernize technology: Maximize remote and virtual workplace

Issue 3 Modernize Agency Technology Solutions

Description Following the many changes in human services delivery brought on by the pandemic, Modernize Agency Technology Solutions has been included focusing on improving the client and user experience, reducing costs, and improving cybersecurity levels.

Solutions:

Modernize agency technology solutions to improve the client/user experience, reduce cost, and achieve target cybersecurity levels.

Issue 4 Provide World Class Customer Experience

Description Providing World Class Customer Experience has been added with a focus on timeliness, consistency, service, safety, and outcomes.

Solutions:

Improve timeliness, consistency, service, and safety.

◆ Goal 1 To maintain and improve a high performing culture

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
New Hire Turnover-%	41	37.8	42	38	34

Program Summary

ADMINISTRATION

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	21,631.5	22,692.8	29,935.8
Other Appropriated Funds	9,814.1	11,782.7	11,782.7
Other Non Appropriated Funds	100,567.4	97,093.4	97,093.4
Total Funding	132,013.0	131,568.9	138,811.9
FTE Positions	1,061.8	1,062.8	1,066.8

Subprogram Summary

CENTRAL ADMINISTRATION

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	20,356.3	21,639.8	28,882.8
Other Appropriated Funds	7,014.8	9,055.6	9,055.6
Other Non Appropriated Funds	90,544.1	86,473.6	86,473.6
Total Funding	117,915.2	117,169.0	124,412.0
FTE Positions	899.9	899.9	903.9

◆ Goal 1 to N/A

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average calendar days to hire for open positions in the Department	37	45	36	45	45
Number of Investigation Cases opened	6,916	30,000	82,095	82,000	7,000
Number of Investigation Cases closed	7,876		54,658	54,000	8,000
Investigations Workload	1,410	7,045	81,193	81,000	1,500

Subprogram Summary

ATTORNEY GENERAL LEGAL SERVICES

Roberta Harrison, Chief Financial Officer

Phone: (602) 542-0183

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,275.2	1,053.0	1,053.0
Other Appropriated Funds	2,799.3	2,727.1	2,727.1
Other Non Appropriated Funds	8,291.8	8,836.8	8,836.8
Total Funding	12,366.3	12,616.9	12,616.9
FTE Positions	156.9	157.9	157.9

Subprogram Summary

GOVERNOR'S ADVISORY COUNCIL ON AGING

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	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

GOVERNOR'S COUNCIL ON DEVELOPMENTAL DISABILITIES

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,731.5	1,783.0	1,783.0
Total Funding	1,731.5	1,783.0	1,783.0
FTE Positions	5.0	5.0	5.0

Subprogram Summary

ABLE PROGRAM

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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.

Program Summary

DEVELOPMENTAL DISABILITIES

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
A.R.S. § 36-554

Mission:

To empower Arizonans with developmental disabilities to lead self-directed, healthy and meaningful lives.

Description:

The Division of Developmental Disabilities (DDD) provides individuals with developmental disabilities and their families, services and supports that are flexible, high quality, and member-driven. These services provide individuals with opportunities to exercise their rights and responsibilities of independent decision making and engagement in the community.

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
- ▶ Physical & Behavioral
- ▶ ATP-Coolidge - Title XIX
- ▶ State-Funded Long Term Care
- ▶ Medicare Clawback Payments
- ▶ Arizona Early Intervention Program

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	590,373.1	732,127.4	845,737.4
Other Appropriated Funds	50,357.1	60,542.8	61,342.8
Other Non Appropriated Funds	1,637,592.3	1,850,536.4	2,180,236.4
Total Funding	2,278,322.5	2,643,206.6	3,087,316.6
FTE Positions	2,222.0	2,222.0	2,273.4

Subprogram Summary

DEVELOPMENTAL DISABILITIES OPERATIONS

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	142,814.3	165,766.8	192,104.0		
Other Appropriated Funds	13,308.4	17,337.9	17,337.9		
Other Non Appropriated Funds	531,271.9	426,097.6	475,797.6		
Total Funding	687,394.6	609,202.3	685,239.5		
FTE Positions	563.9	563.9	563.9		
◆ Goal 1 To-N/A					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of Current Members who Received Services within 14 Days from Assessment Date	82	85	71	76	82

Subprogram Summary

CASE MANAGEMENT - TITLE XIX

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	21,487.0	23,085.4	27,245.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	48,253.4	62,634.4	62,634.4
Total Funding	69,740.4	85,719.8	89,879.5
FTE Positions	1,025.1	1,025.1	1,076.5

◆ **Goal 1** To provide quality case management services for all eligible consumers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of consumer satisfaction with case management services (Title XIX only)	98.0	98	96.0	97.0	97.0
Average number of consumers with developmental disabilities served	35,618	37,221	36,300	38,100	40,000
Case management ratio (including metro, rural, Title XIX, TCM, and state-only)	1:52	1:40	1:52	1:40	1:40

Subprogram Summary

CASE MANAGEMENT - STATE ONLY

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	6,311.9	6,211.4	6,211.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	6,311.9	6,211.4	6,211.4
FTE Positions	67.3	67.3	67.3

- ◆ **Goal 1** To promote quality case management services for all eligible consumers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average number of consumers with developmental disabilities served	3,991	4,185	3,574	3,579	3,581
Case management ratio (including metro, rural, Title XIX, TCM, and state-only)	1:52	1:40	1:52	1:40	1:40

Subprogram Summary

HOME AND COMMUNITY BASED SERVICES - TITLE XIX

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	381,601.5	498,589.0	576,507.4
Other Appropriated Funds	8,058.9	10,745.3	10,745.3
Other Non Appropriated Funds	1,028,066.1	1,332,753.7	1,612,753.7
Total Funding	1,417,726.5	1,842,088.0	2,200,006.4
FTE Positions	228.0	228.0	228.0

◆ **Goal 1** To-N/A

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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	86.5	90.0	86.8	87.0	87.0
Average number of individuals served (ALTCS)	35,082	36,836	36,300	38,100	40,000
Percent of relatives and caregivers of consumers stating the services received meet the consumer's needs	97.0	97	95.0	96.0	96.0
Percent of relatives and caregivers satisfied with the providers of services received	97.0	97	95.0	96.0	96.0
Percent of eligible adult consumers placed in community employment	12.1	12.5	7.0	9.0	12.0

Subprogram Summary

HOME AND COMMUNITY BASED SERVICES - STATE ONLY

Roberta Harrison, Chief Financial Officer

Phone: (602) 542-0183

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	13,589.0	13,589.0	16,589.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	10.5	10.5	10.5
Total Funding	13,599.5	13,599.5	16,599.5
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To-N/A

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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	99.4	98.0	99.5	99.5	99.5
Average number of individuals served (TCM)	5,014	5,164	5,197	5,386	5,583
Average number of individuals served (DDD State-Only)	3,777	3,966	3,574	3,579	3,581

Subprogram Summary

INSTITUTIONAL SERVICES - TITLE XIX

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	11,330.7	11,109.3	13,304.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	29,990.4	29,040.2	29,040.2
Total Funding	41,321.1	40,149.5	42,344.2
FTE Positions	336.0	336.0	336.0

◆ **Goal 1** To-N/A

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of consumers in ICF/MRs and skilled nursing facilities (*point in time 6/30)	129	110	109	105	105
Number of consumers in Institutional Settings	29	25	28	27	27

Subprogram Summary

PHYSICAL & BEHAVIORAL

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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.

◆ **Goal 1** To-N/A

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of consumers receiving acute care services through the Division of Developmental Disabilities	34,995	38,253	37,038	38,993	40,947

Subprogram Summary

ATP-COOLIDGE - TITLE XIX

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of consumers at ATP in Coolidge at group homes	16	15	12	10	8
Number of consumers at ATP in Coolidge at ICF	56	55	50	45	42

Subprogram Summary

STATE-FUNDED LONG TERM CARE

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,849.8	9,115.3	9,115.3
Other Appropriated Funds	28,989.8	32,459.6	33,259.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	37,839.6	41,574.9	42,374.9
FTE Positions	1.7	1.7	1.7

◆ **Goal 1** To-N/A

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Long Term Care-eligible consumers that receive state-funded room and board to live in community-based homes	4,721	4,877	4,827	4,972	5,121

Subprogram Summary

MEDICARE CLAWBACK PAYMENTS

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	4,388.9	4,661.2	4,661.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	4,388.9	4,661.2	4,661.2
FTE Positions	0.0	0.0	0.0

Subprogram Summary

ARIZONA EARLY INTERVENTION PROGRAM

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
Public Law 108-446

Mission:

To build upon and provide support and resources to assist family members and caregivers to enhance children's learning and development through everyday learning opportunities

Description:

AzEIP is Arizona's statewide interagency system of services and supports for families of infants and toddlers, birth to three years of age, with disabilities or delays, established by Part C of the Individuals with Disabilities Education Act (IDEA). AzEIP uses a team-based approach to provide individualized supports to all potentially eligible and eligible children and their families to enhance the capacity of families/caregivers to support the child's development in each geographic region in Arizona. This is a collaborative effort between team-based early intervention services (TBEIS) contractors, DDD, and ASDB, with AzEIP serving as lead agency.

◆ Goal 1 To-N/A

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Total Infants and Toddlers Eligible and Receiving an Individualized Family Service Plan (continuing and new referrals)	11,180	11,348	10,559	10,770	10,986
Percent increase of referrals	-5.2	1.5	-4.10	2.00	2.00

Program Summary

BENEFITS AND MEDICAL ELIGIBILITY

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
A.R.S. § 41-1954

Mission:

To ensure the strength and economic stability of Arizona by providing timely, temporary benefit assistance, and aid to vulnerable, qualifying Arizonans.

Description:

DES is the human services agency for the State of Arizona that oversees more than 40 different programs and services and distributes benefits to more than 3 million Arizonans. We provide benefit assistance, care and services to some of Arizona's most vulnerable populations including Adult Protective Services, Developmental Disabilities, Nutrition, Cash, and Medical Assistance, Vocational Rehabilitation, Child Support Services, and Unemployment Insurance.

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
- ▶ Pandemic Emergency Assistance

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	39,784.2	38,081.4	38,081.4
Other Appropriated Funds	37,355.5	48,590.0	34,043.5
Other Non Appropriated Funds	2,348,826.7	2,786,163.0	2,786,163.0
Total Funding	2,425,966.4	2,872,834.4	2,858,287.9
FTE Positions	2,583.0	2,749.0	2,749.0

Subprogram Summary

BENEFITS AND MEDICAL ELIGIBILITY OPERATIONS

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	33,849.3	32,146.5	32,146.5
Other Appropriated Funds	14,119.1	10,807.1	10,807.1
Other Non Appropriated Funds	194,944.7	197,236.2	197,236.2
Total Funding	242,913.1	240,189.8	240,189.8
FTE Positions	2,328.0	2,474.0	2,474.0

◆ Goal 1 to-N/A

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent of Clients Served Virtually	N/A	82.1	95.20	95.2	95.2

Subprogram Summary

DISABILITY DETERMINATION SERVICES ADMINISTRATION

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	0.0	0.0	0.0		
Other Appropriated Funds	0.0	0.0	0.0		
Other Non Appropriated Funds	33,923.5	36,778.7	36,778.7		
Total Funding	33,923.5	36,778.7	36,778.7		
FTE Positions	255.0	275.0	275.0		
◆ Goal 1 To-N/A					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
DDSA Error Rate for SSI/SSDI Case Determinations	7.40	6.0	9.80	10	10

Subprogram Summary

TANF CASH BENEFITS

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of TANF Cash Assistance issued timely	98.4	98.5	98.90	98.5	98.5
Number of Days to Determine New TANF Cash Assistance Applications	20.5	20.5	20.83	20.5	20.5

Subprogram Summary

TRIBAL PASS-THROUGH FUNDING

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Monthly average of individuals receiving Cash Assistance benefits through a Tribal Cash Assistance program.	589	560	477	401	401

Subprogram Summary

NUTRITION ASSISTANCE BENEFITS

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	2,099,872.1	2,541,863.3	2,541,863.3
Total Funding	2,099,872.1	2,541,863.3	2,541,863.3
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** to improve quality of supplemental Nutrition Assistance Benefits Program

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Customer Care Center Completion Rate	66.10	61.0	70.00	74.10	74.10
NA Timeliness Rate	95.87	0	97.05	97.00	97.00
Subprogram Summary					
COORDINATED HUNGER					
Roberta Harrison, Chief Financial Officer Phone: (602) 542-0183 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,254.6	1,254.6	1,254.6
Other Appropriated Funds	500.0	500.0	500.0
Other Non Appropriated Funds	20,086.4	10,284.8	10,284.8
Total Funding	21,841.0	12,039.4	12,039.4
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To ensure produce is distributed statewide

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total pounds of produce distributed by Department contracted food banks (millions of pounds)(Not TEFAP Specific)	168.6	73,501,025	209.2	210.0	210.0

◆ **Goal 2** To provide emergency food assistance to individuals in need statewide

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of individuals served by TEFAP	n/a	n/a	319,096	500,000	500,000

◆ **Goal 3** To improve the health of low income individuals at least 60 years of age with nutritious USDA food statewide

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of CSFP Households Served	n/a	n/a	17,579	20,646	20,646

Subprogram Summary

PANDEMIC EMERGENCY ASSISTANCE

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
Laws 2021, First Regular Session, Chapter 408

Mission:

To provide assistance to needy families impacted by the Coronavirus Disease 2019 (COVID-19) pandemic.

Description:

The PEAF provides funding to states...to assist needy families impacted by the Coronavirus Disease 2019 (COVID-19) pandemic. Grantees may use funds to provide certain non-recurrent, short term (NRST) benefits...Additionally, they may use funds for administrative costs (up to a 15-percent cap for states and territories and up to the negotiated cap for tribes). All grantees must use funds to supplement, and not supplant, other federal, state, tribal, territorial, or local funds.

◆ Goal 1 To make direct payments to Child Cash Assistance Cases

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Direct Payments to Child Cash Assistance Cases	N/A	N/A	N/A	12,600	N/A

Explanation: Direct Payments to Child Cash Assistance Cases

Program Summary

CHILD SUPPORT ENFORCEMENT

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
A.R.S. § 41-1954: Laws 1994, Ch 374

Mission:

To Provide timely Child Support Services that are in the best interest of the child.

Description:

DCSS promotes positive parental involvement, economic security and healthcare access for children whose parents are not together. The division: establishes legal paternity, and collects and distributes child support. For parents with a state child support account authorized under IV-D of the Social Security Act, DCSS facilitates collection and distribution of child support by establishing, modifying and enforcing child support and medical support orders. DCSS encourages family responsibility and works to ensure that children are supported by their parents by connecting them to resources that remove barriers and support self-sufficiency.

This Program Contains the following Subprograms:

- ▶ Child Support Enforcement Operations
- ▶ County Participation

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	12,329.5	11,709.0	11,709.0
Other Appropriated Funds	11,692.1	14,707.3	14,707.3
Other Non Appropriated Funds	29,269.4	35,529.4	35,529.4
Total Funding	53,291.0	61,945.7	61,945.7
FTE Positions	626.0	629.0	629.0

Subprogram Summary

CHILD SUPPORT ENFORCEMENT OPERATIONS

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	12,329.5	11,709.0	11,709.0
Other Appropriated Funds	11,692.1	13,653.0	13,653.0
Other Non Appropriated Funds	26,225.6	28,044.0	28,044.0
Total Funding	50,247.2	53,406.0	53,406.0
FTE Positions	626.0	629.0	629.0

- ◆ **Goal 1** To increase IV-D cases and collections, including the number of court ordered cases and compliance with court orders.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Ratio of current IV-D child support collected and distributed to current IV-D support due	60.8	62.7	62.3	63.5	64.9
Increased the percentage of cases referred for the next action within 30 days of application from 22.0% to 44.0%	14.0	28.3	22.0	32.6	37.4

Subprogram Summary

COUNTY PARTICIPATION

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	1,054.3	1,054.3
Other Non Appropriated Funds	3,043.8	7,485.4	7,485.4
Total Funding	3,043.8	8,539.7	8,539.7
FTE Positions	0.0	0.0	0.0

Program Summary

AGING AND ADULT SERVICES

Roberta Harrison, Chief Financial Officer

Phone: (602) 542-0183

A.R.S. § 41-1954

Mission:

To ensure Arizonans have access to systems of support that enable them to live safely, independently, and with dignity and self-determination.

Description:

The Division of Aging and Adult Services (DAAS) supports at-risk Arizonans to meet their basic needs and to live safely, with dignity and independence. Services and programs reach a diverse population of Arizonans from homeless youth to older adults.

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
- ▶ Sexual Violence Services
- ▶ Long-Term Care Ombudsman
- ▶ After School and Summer Youth Program
- ▶ Emergency Rental Assistance Program

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	21,507.5	25,047.8	33,254.2
Other Appropriated Funds	15,105.3	24,329.0	24,329.0
Other Non Appropriated Funds	144,181.9	409,381.9	409,381.9
Total Funding	180,794.7	458,758.7	466,965.1
FTE Positions	378.4	404.4	517.4

Subprogram Summary

AGING AND ADULT SERVICES OPERATIONS

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	8,619.5	8,185.8	16,392.2
Other Appropriated Funds	244.6	234.6	234.6
Other Non Appropriated Funds	17,231.6	23,058.6	23,058.6
Total Funding	26,095.7	31,479.0	39,685.4
FTE Positions	332.4	358.4	471.4

◆ **Goal 1** To improve timeliness of Adult Protective Services investigation process.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Adult Protective Services Number of New Reports Annually	20,178	24,000	23,692	27,251	31,496
Percent of APS cases closed within the 60 day timeframe (Annual Avg)	55	76	50	76	76

Subprogram Summary

ADULT SERVICES

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	8,731.9	11,205.9	11,205.9		
Other Appropriated Funds	0.0	0.0	0.0		
Other Non Appropriated Funds	55,456.8	62,192.9	62,192.9		
Total Funding	64,188.7	73,398.8	73,398.8		
FTE Positions	0.0	0.0	0.0		
◆ Goal 1 To improve timeliness of Home and Community Based Services waitlist					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of individuals on HCBS wait list in home care services cluster 1	1,310	458	1,318	989	742
Number of service enrollments on the waitlist	1,517	538	1,595	1,204	903
Subprogram Summary					
COMMUNITY AND EMERGENCY SERVICES					
Roberta Harrison, Chief Financial Officer Phone: (602) 542-0183 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,724.0	3,724.0	3,724.0
Other Non Appropriated Funds	39,722.7	53,822.2	53,822.2
Total Funding	43,446.7	57,546.2	57,546.2
FTE Positions	0.0	0.0	0.0

◆ Goal 1 To increase the number of Households served

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of households that received utility assistance	39,083	30,338	30,388	43,000	36,374
Number of households that received rental and mortgage assistance	2,706	4,000	2,796	4,000	2,700

Subprogram Summary

COORDINATED HOMELESS

Roberta Harrison, Chief Financial Officer

Phone: (602) 542-0183

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	873.1	873.1	873.1
Other Appropriated Funds	1,649.5	1,649.5	1,649.5
Other Non Appropriated Funds	9,313.4	11,710.2	11,710.2
Total Funding	11,836.0	14,232.8	14,232.8
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To ensure individuals are connected to services available

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Households Receiving Outreach (DES Contracted Provider Numbers)	423	620	1,776	1,510	425

◆ **Goal 2** To provide immediate shelter for individuals who are at risk or homeless

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Households Receiving Temporary Emergency Shelter (DES Contracted Provider Numbers)	10,374	15,000	19,714	16,757	10,375

◆ **Goal 3** To provide financial assistance to families to avoid homelessness

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Households Receiving Homeless Prevention (DES Contracted Provider Numbers)	342	500	2,618	2,225	345

◆ **Goal 4** To rapidly transition individuals from homelessness to housing

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Households Receiving Rapid Rehousing (DES Contracted Provider Numbers)	1,456	1,900	2,771	2,355	1,456

Subprogram Summary

DOMESTIC VIOLENCE PREVENTION

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	3,283.0	3,283.0	3,283.0
Other Appropriated Funds	9,487.2	10,720.9	10,720.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	12,770.2	14,003.9	14,003.9
FTE Positions	0.0	0.0	0.0

- ◆ **Goal 1** To increase victims ability to protect themselves and families from further abuse

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of Clients who indicated safety has improved	94.0	94.0	81.0	90.0	90.0

Subprogram Summary

REFUGEE RESETTLEMENT PROGRAM

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	8,046.3	9,797.6	9,797.6
Total Funding	8,046.3	9,797.6	9,797.6
FTE Positions	12.0	12.0	12.0

- ◆ **Goal 1** To promote refugee social and economic self-sufficiency and well-being.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Clients Receiving Case Management Services	1,843	1,843	1,658	2,000	2,000
Number of Completed Health/Medical Screenings	1,109	1,064	320	3,493	3,500

Subprogram Summary

SEXUAL VIOLENCE SERVICES

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 Laws 2021, First Regular Session, Chapter 409

Mission:

To provide safety and services to the victims of sexual violence and to improve the comprehensive Sexual Violence Program in Arizona.

Description:

Arizona State Laws 2021, First Regular Session, Chapter 409, Section 17 established the Sexual Violence Service Fund, which consists of legislative appropriations, grants and contributions. The Department, in consultation with the federally designated statewide Coalition to End Sexual Violence, must use the fund for allocating grant monies to service providers for victims of sexual violence.

- ◆ **Goal 1** To serve victims of sexual violence through grants for community providers

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Individuals that received sexual violence services	0	0	0	350	0

Explanation: Number of Individuals that received sexual violence services

Subprogram Summary

LONG-TERM CARE OMBUDSMAN

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 Laws 2021, First Regular Session, Chapter 408

Mission:

To enable older Arizonans to maintain the most independence and freedom, avoid institutional care and live in dignity

Description:

Arizona's LTCOP Program's primary purpose is to identify, investigate and resolve complaints made by or on behalf of residents of nursing homes, assisted living facilities and adult foster care homes.

- ◆ **Goal 1** To enable older Arizonans to maintain the most independence and freedom, avoid institutional care and live in dignity

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of facility visits	4,325	0	4,073	4,400	4,500

Explanation: Number of facility visits

Subprogram Summary

AFTER SCHOOL AND SUMMER YOUTH PROGRAM

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
Laws 2021, First Regular Session, Chapter 408

Mission:

Description:

The amount appropriated for the after school and summer youth program line item shall be distributed to a charitable organization that is qualified under section 501(c)(3) of the internal revenue code, that is located in the city of Phoenix and that provides after school and summer youth programs dealing with gang violence for at-risk youth.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	8,000.0	8,000.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	0.0	8,000.0	8,000.0
FTE Positions	0.0	0.0	0.0

- ◆ **Goal 1** To be distributed to a charitable organization that is qualified under section 501(c)(3) of the internal revenue code, that is located in the city of Phoenix and that provides after school and summer youth programs dealing with gang violence for at-risk youth.

Performance Measures

	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of kids enrolled	0	0	0	500	0

Explanation: Number of kids enrolled

Subprogram Summary

EMERGENCY RENTAL ASSISTANCE PROGRAM

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
HR 748, CARES Act, Public Law 116-136

Mission:

To assist eligible households that have difficulty making timely payments of rent and utilities due to the COVID-19 pandemic

Description:

The Consolidated Appropriations Act, 2021 (Pub. L. No. 116-260) established the \$25 billion Emergency Rental Assistance (ERA) program. The funding provided by the ERA program will assist eligible households that have difficulty making timely payments of rent and utilities due to the COVID-19 pandemic. Under the ERA program, Treasury will make payments directly to States (including the District of Columbia), U.S. Territories (Puerto Rico, the United States Virgin Islands, Guam, the Commonwealth of the Northern Mariana Islands, and American Samoa) local governments with more than 200,000 residents, the Department of Hawaiian Home Lands (DHHL), and Indian tribes (defined to include Alaska native corporations) or the tribally designated housing entity of an Indian tribe, as applicable (collectively the “eligible grantees”). Treasury must make direct payments to the eligible grantees no later than 30 days after December 27, 2020. Eligible grantees must use not less than 90 percent of the awarded funds to provide financial assistance to eligible households, including payment of rent, rental arrears, utilities and home energy costs, utilities and home energy costs arrears, and other expenses related to housing incurred due, directly or indirectly, to the COVID-19 pandemic. Eligible grantees may use the remaining funds to provide housing stability services to eligible households, including case management, other services intended to keep households stably housed, and administrative costs

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	1,000.0	1,000.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	0.0	1,000.0	1,000.0
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To assist eligible households that have difficulty making timely payments of rent and utilities due to the COVID-19 pandemic.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Emergency Rental Assistance Utilities Only	0	0	1,755	2,500	2,500
Program - Number of Households Served					
Monthly (Unduplicated) (Monthly Average)					

Explanation: Number of Households Served Monthly

Program Summary	
DIVISION OF CHILDREN, YOUTH AND FAMILIES	
Roberta Harrison, Chief Financial Officer	
Phone: (602) 542-0183	
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	209,511.8	303,395.8	303,395.8
Total Funding	209,511.8	303,395.8	303,395.8
FTE Positions	0.0	0.0	0.0

Program Summary

EMPLOYMENT AND REHABILITATION SERVICES

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
A.R.S. §§ 41-1967; 41-1954; 46-801; 46-136

Mission:

To Drive Economic Opportunity by:

- *Connecting job-seekers and employers in meaningful employment*
- *Bridging and minimizing employment gaps*
- *Promoting family success today and into the future*

Description:

The Division of Employment and Rehabilitation Services (DERS) plays an integral role in improving Arizona's workforce by assisting individuals who are unemployed and underemployed, and those with barriers to employment, to prepare for and obtain gainful employment. DERS supports Arizona employers with recruitment assistance by connecting them to a skilled 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
- ▶ Return to Work Grants
- ▶ UTF GF
- ▶ Child Care Subsidy Non-lapsing
- ▶ Return to Work Bonuses

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	75,203.3	20,394.1	47,057.3
Other Appropriated Funds	393,462.7	1,358,749.6	311,968.9
Other Non Appropriated Funds	1,288,244.3	714,047.5	451,714.5
Total Funding	1,756,910.3	2,093,191.2	810,740.7
FTE Positions	1,523.0	1,317.6	1,317.6

Subprogram Summary

EMPLOYMENT AND REHABILITATION SERVICES OPERATIONS

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	6,142.9	5,833.7	38,946.9
Other Appropriated Funds	20,234.7	18,918.3	18,918.3
Other Non Appropriated Funds	148,224.1	122,133.0	122,133.0
Total Funding	174,601.7	146,885.0	179,998.2
FTE Positions	1,523.0	1,317.6	1,317.6

◆ Goal 1 To-N/A

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Employment Placement Retention Rate	84.2	87.0	68.0	89.0	90.0

Subprogram Summary

JOBS

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>	
General Fund	300.0	300.0	300.0	
Other Appropriated Funds	10,295.9	10,705.6	10,705.6	
Other Non Appropriated Funds	0.0	0.0	0.0	
Total Funding	10,595.9	11,005.6	11,005.6	
FTE Positions	0.0	0.0	0.0	
◆ Goal 1 to-N/A				
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of job placements (TANF) monthly	270	295	295	270
Subprogram Summary				
DAY CARE SUBSIDY				
Roberta Harrison, Chief Financial Officer Phone: (602) 542-0183 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	261,807.3	187,080.2	187,080.2
Other Non Appropriated Funds	154.9	154.9	154.9
Total Funding	261,962.2	187,235.1	187,235.1
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To expand access to quality child care for children receiving subsidy

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent of children placed in quality child care settings	49.0	52.0	51.0	52.0	52.0

Subprogram Summary

INDEPENDENT LIVING REHABILITATION SERVICES

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
(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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	166.0	166.0	166.0
Other Appropriated Funds	770.1	1,123.4	1,123.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	936.1	1,289.4	1,289.4
FTE Positions	0.0	0.0	0.0

◆ Goal 1 To-N/A

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of individuals receiving services in order to achieve or maintain their independence	478	450	258	470	495

Subprogram Summary

WORKFORCE INVESTMENT ACT SERVICES

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	0.0	0.0	1,050.0		
Other Appropriated Funds	69,500.0	53,654.6	93,486.7		
Other Non Appropriated Funds	0.0	0.0	0.0		
Total Funding	69,500.0	53,654.6	94,536.7		
FTE Positions	0.0	0.0	0.0		
◆ Goal 1 to-N/A					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of adults who entered employment	5,148	5,148	4,734	5,154	5,250
Number of youth who entered employment	1,326	1,326	1,533	1,562	1,592
Number of dislocated workers who entered employment	440	440	462	468	474
Percent Retention for Clients Placed	80.0	80.0	57.9	80.0	80.0
Total Job Placements per month (ARIZONA@WORK -AMS Core Deployed Sites)	N/A		N/A	N/A	N/A
Subprogram Summary					
REHABILITATION SERVICES					
Roberta Harrison, Chief Financial Officer Phone: (602) 542-0183 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	6,594.4	6,594.4	6,594.4
Other Appropriated Funds	654.7	654.7	654.7
Other Non Appropriated Funds	45,851.8	47,949.3	47,949.3
Total Funding	53,100.9	55,198.4	55,198.4
FTE Positions	0.0	0.0	0.0

◆ Goal 1 to-N/A

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Individuals in the Vocational Rehabilitation program successfully rehabilitated	1,581	1,627	1,326	1,687	1,700
Average hourly wage-dollars	13.34	13.57	14.12	14.12	14.50

Subprogram Summary

UNEMPLOYMENT INSURANCE

Roberta Harrison, Chief Financial Officer

Phone: (602) 542-0183

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.

◆ Goal 1 to-N/A

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average number of days to obtain employment	61	60	95	60	60

Subprogram Summary

EMPLOYMENT SERVICES

Roberta Harrison, Chief Financial Officer

Phone: (602) 542-0183

(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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,092,893.2	304,234.0	280,301.0
Total Funding	1,092,893.2	304,234.0	280,301.0
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To improve quality of the Employment Services Program

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of individuals employed through ADC Second Chance Centers or Community Based Reentry Centers	2,646	2,646	2,475	2,646	2,650

Subprogram Summary

RETURN TO WORK GRANTS

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 Laws 2021, First Regular Session, Chapter 408

Mission:

To strengthen the workforce by offering education incentives to eligible unemployment claimants.

Description:

To provide financial aid for community college and GED test preparation to eligible individuals transitioning off of unemployment insurance. Individuals are eligible if they received unemployment benefits as of week ending May 15th, 2021.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,120.3	1,176.3	1,176.3
Total Funding	1,120.3	1,176.3	1,176.3
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To provide financial aid for community college and GED test preparation to 1,000 clients

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Clients Served	N/A	N/A	N/A	1,000	N/A

Subprogram Summary

UTF GF

Roberta Harrison, Chief Financial Officer
 Phone: (602) 542-0183
 Laws 2021, First Regular Session, Chapter 408

Mission:

To strengthen the solvency of Unemployment Insurance Trust Fund.

Description:

General Fund appropriation to increase the balance of the Unemployment Insurance Trust Fund.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	7,500.0	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	7,500.0	0.0
FTE Positions	0.0	0.0	0.0

Subprogram Summary

CHILD CARE SUBSIDY NON-LAPSING

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
Laws 2021, First Regular Session, Chapter 408

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	62,000.0	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	62,000.0	0.0	0.0
FTE Positions	0.0	0.0	0.0

Subprogram Summary

RETURN TO WORK BONUSES

Roberta Harrison, Chief Financial Officer
Phone: (602) 542-0183
HR 748, American Rescue Plan Act, Public Law 117-2

Mission:

To help individuals transition from unemployment and return to the workforce.

Description:

Full-time workers will receive \$2,000 for completing 320 hours of employment. Part-time workers that complete 160 hours will receive \$1,000.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	30,200.0	1,086,612.8	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	30,200.0	1,086,612.8	0.0
FTE Positions	0.0	0.0	0.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,265.4	2,340.0	3,429.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,265.4	2,340.0	3,429.8
FTE Positions	7.0	19.0	25.0

5 Year Plan

Issue 1 Statewide Assessment

Description To establish a statewide assessment system that assesses students' skills and knowledge of the academic standards in order to produce the data and tools necessary for parents, educators and policymakers to advance the academic success of Arizona students.

Solutions:

In accordance with the State Board of Education's (Board) Five Year Assessment Plan, adopted in 2019, the vendor for the new statewide assessment in grades 3-12 was selected at the June 2020 meeting. The new statewide assessment will be built by Arizona educators, utilizing Arizona's statewide standards.

Full implementation of the new statewide assessment will occur in the spring of 2022. The new statewide assessment in high school will provide access to a college entrance exam to all students, at no cost to the students. Data from the assessment system will inform Board policies, as the data will accurately reflect students' readiness for college and career.

Issue 2 School Accountability and Improvement

Description To implement the State Board of Education's (Board) Five-Year Assessment Plan, with new statewide assessments starting in the spring of 2022, while reviewing and updating the accountability systems for accuracy and impact, creating a new Five-Year Accountability Plan, communicating timelines of implementation to the educational field and stakeholders and ensuring all Arizona students have access to a high quality education.

Solutions:

As the state moves towards a new statewide assessment system, the Board 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 Board will continually review and inspect potential revisions to the statewide accountability system for traditional schools. Finally, the Board 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. A new Five-Year Accountability Plan is scheduled to be in place by the December of 2021, which will ensure transparency and the continued gathering of student data for the state.

As with any new assessment system, dips in educational gains may be present for the first three years, as students and educators become familiar with the new assessments. 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, the Board will be 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.

Because of school closures and the movement to remote learning due to COVID-19 in the 19-20 and 20-21 school years, the Board will study the impact of learning loss and potential educational gaps as it pertains to Move on When Reading and the pathways to meeting the Achieve 60 Initiative goals for postsecondary attainment. The Board 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 through a diploma seal. As the COVID-19 crisis continues, research on reading proficiency data and trends will continue to determine impact of reading levels for third grade students. The Board will engage in discussions and policy recommendations to drive outcomes to meet the statewide literacy expectation of 72% by 2030 for third grade students.

Issue 3 Educator Oversight and Discipline

Description To prioritize the safety and well-being of students, by keeping disciplined educators out of the classroom

Solutions:

Because of administrative changes, the State Board of Education (Board) was able to increase the number of adjudicated cases from 123 in the 2018-2019 school year, to 210 in the 2019-2020 school year. Although the Board saw a dip in adjudicated cases in the 2020-2021 school year (167) due to the cancellation of hearings because of COVID-19 concerns, the Board anticipates the increase in adjudicated cases to continue, as it implements additional administrative changes. The Board is also taking steps to shorten the wait time on administrative hearings through the Board's Professional Practices Advisory Committee (PPAC), to hit the goal of adjudicating a case within 180 days of receipt. The Board's funding request reflects this goal.

Since 2012, out of 1,055 cases, 399 cases, or 37.8 percent, were sexual/inappropriate in nature and adjudicated by the Board. After meeting with stakeholders, the Board determined significant loopholes existed that allow an educator to elude administrative action, thus allowing an educator to teach at multiple schools and potentially impact multiple students within a career.

The Board was able to close many of these loopholes administratively, while running legislation last year to close the last loophole: noncertified educators. The Board will continue to monitor educator discipline data to drive field awareness, field training, and student safety, as reflected in the Board's funding request.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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 review the school accountability systems for accuracy and impact.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of A Schools in Arizona.	27	27	27	30	0
Percentage of D & F schools.	10	10	0	9	0

- ◆ **Goal 2** To increase the number of adjudicated educator discipline cases

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of adjudicated educator discipline cases in a given school year	210	290	167	250	0

Agency Summary

DEPARTMENT OF EDUCATION

Kathy Hoffman, Superintendent of Public Instruction
 Phone: (602) 364-1972
 A.R.S. Title 15 et seq.

Mission:

To advance equity and excellence for all students by serving school leaders, educators and staff, collaborating with communities, and leading with data-driven best practices.

Description:

The Department of Education is administered by the Superintendent of Public Instruction, an elected position. The Superintendent leads the Department of Education in implementation of education laws and regulations. The Superintendent supports direct services to 235 locally governed school districts, including 14 career and technical education districts and eight accommodation districts. The Superintendent, in conjunction with the State Board for Charter Schools, oversees over 550 charter school sites. The Department executes education laws and regulations 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ OFFICE OF THE SUPERINTENDENT	3,189.8	3,258.4	3,258.4
➤ ADMINISTRATION	507,284.7	588,032.4	588,682.4
➤ SCHOOL FINANCE	6,115,696.0	7,036,468.9	7,036,468.9
➤ HIGHLY EFFECTIVE SCHOOLS	1,022,477.0	2,351,492.4	2,351,992.4
➤ HIGHLY EFFECTIVE TEACHERS AND LEADERS	43,910.3	47,181.0	47,323.4
➤ HIGH ACADEMIC STANDARDS FOR STUDENTS	51,589.9	65,300.4	65,450.4
➤ ACCOUNTABILITY AND ASSESSMENT	44,531.8	52,614.1	56,614.1
Agency Total:	7,788,679.5	10,144,347.6	10,149,790.0
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	5,090,264.3	5,910,547.3	5,915,989.7
Other Appropriated Funds	303,198.3	322,567.6	322,567.6
Other Non Appropriated Funds	2,395,216.9	3,911,232.7	3,911,232.7
Total Funding	7,788,679.5	10,144,347.6	10,149,790.0
FTE Positions	657.2	697.8	703.8

5 Year Plan

Issue 1 Student Equity and Achievement

Description Engaging and empowering Arizona students to reach their full potential and providing opportunities for equitable academic outcomes so all students have access to multiple pathways to achieve life-long success.

Solutions:

- 1.1: Develop and foster community partnerships to support the success of all Arizona students, particularly our most vulnerable student populations.
- 1.2: Provide targeted support to schools for improving outcomes for special populations.
- 1.3: Support and promote implementation of effective teaching and learning frameworks that incorporate a comprehensive system of student supports, which include academic, social-emotional, and physical supports.
- 1.4: Align internal and external systems to support student postsecondary outcomes.
- 1.5: Support and promote implementation of effective models and frameworks for research-based language immersion.

Issue 2 Educator Recruitment and Retention

Description Inadequate retention and recruitment of teachers and other professionals providing specialized student supports, such as school counselors has led to a staffing shortage in schools. Highly effective teachers in the classroom are the biggest predictor of student success. Arizona must foster a robust, statewide teaching profession where educators can grow and thrive professionally and personally.

Solutions:

- 2.1: Support and promote recruitment and retention of diverse educators and leaders.
- 2.2: Expand beginning teacher and leader inductive and mentoring programs.
- 2.3: Provide educator leadership development opportunities.
- 2.4: Increase funding for recruitment and retention.
- 2.5: Build collaborative partnerships to ensure education professionals have access to appropriate resources and preparation, which includes culturally responsive and social-emotional training.
- 2.6: Identify and facilitate opportunities to leverage state resources to support the educator workforce (benefits, facilities, procurement).

Issue 3 Safe and Healthy Schools

Description Integral to every child's education is their social-emotional wellbeing, of which mental and physical health and safety have a primary role. Schools need resources and information to sustain safe, healthy, supportive, and inclusive environments for students, families, and educators.

Solutions:

- 3.1: Support and promote access to nutritious meals and snacks through the USDA Child Nutrition Programs.
- 3.2: Partner with public health agencies to support implementation of health standards in schools.
- 3.3: Support and promote recruitment and retention of school counselors, school psychologists, and school social workers.
- 3.4: Promote and support implementation of Social Emotional Learning competencies.
- 3.5: Implement the recommendations of the School Safety Taskforce.

Issue 4 Strategic Funding

Description The federal government has made historic investment in K-12 education in response to the COVID-19 pandemic. Arizona will oversee four billion dollars in relief and recovery funds for use through September 2024. ADE will provide schools with targeted assistance to maximize availability and use of grant funding to support communities recovering from COVID-19, position our state's educational system to support student success, and ensure Arizona has a 21st century ready workforce.

Solutions:

- 4.1: Provide cross-functional internal leadership and staff development.
- 4.2: Create partnerships and provide guidance to LEAs to support strategic use of funding.
- 4.3: Continue to build agency-wide technical assistance and support systems.
- 4.4: Effectively utilize agency funding to support students, teachers, leaders, families, and communities.

Issue 5 Strategic Data Use

Description The data ADE collects have value beyond the purpose for which they are collected. Through data governance and capacity building, ADE can leverage data to improve outcomes. ADE will collect, create, use and share data strategically in compliance with federal and state law and with consideration of quality, privacy and equity.

Solutions:

- 5.1: Protect student privacy through implementation of best practices in data governance.
- 5.2: Document the scope of data that is collected, stored and reported by ADE.
- 5.3: Facilitate collection of valid and reliable data through data literacy training and technical assistance.
- 5.4: Modernize technology systems for collecting and reporting data.
- 5.5: Make data accessible and usable to staff and public.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	208.0	208.0	208.0
General Fund	6,206,074,665.0	6,516,378,398.0	6,842,197,318.0
Other Appropriated Funds	332,244,628.0	342,211,967.0	352,478,326.0
Non-Appropriated Funds	1,010,856,626.0	1,041,182,325.0	1,072,417,795.0
Federal Funds	2,506,526,750.0	2,044,124,651.0	1,379,653,766.0

Program Summary

OFFICE OF THE SUPERINTENDENT

Kathy Hoffman, Superintendent of Public Instruction
Phone: (602) 364-1972
A.R.S. § Title 15 et seq.

Mission:

To advance equity and excellence for all students by serving school leaders, educators and staff, collaborating with communities, and leading with data-driven best practices.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,957.0	3,025.6	3,025.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	232.8	232.8	232.8
Total Funding	3,189.8	3,258.4	3,258.4
FTE Positions	17.3	20.3	20.3

◆ Goal 1 To increase customer satisfaction.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Maintain the baseline percentage for agency Ombudsman requests resolved within two weeks.***	***	***	***	***	***

Explanation: ***Ombudsman was moved to Constituent Services this objective and performance measure are no longer being tracked.

**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.

***Ombudsman was moved to Constituent Services and a new Objective and Performance measure will be created.

Respond to and answer all media requests within 48 hours. Yes Yes Yes Yes Yes

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of Arizona high school students who enter 9th grade and graduate within four years	79.2*	79.3*	78.19	78**	78**

Explanation: *Graduation is always reported a year in lag using cohort graduation data.

**The COVID-19 pandemic is expected to impact, at minimum, the graduation cohorts of 2021 and 2022. A conservative estimate to hold steady for FY22 and FY23 is set at 78%.

◆ **Goal 2** To ensure student safety by investigating and taking appropriate action on complaints made against professional educators

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of investigative cases closed	2,731	2,250	3,494*	3,843 **	4,035***
Explanation: *Per i-Sight Report **(+10% YOY) ***(+5% YOY)					
Adjudications by State Board of Education	210	290	167	180	250

Explanation:

^^2019 Estimates are based on the unit having all 7 positions filled.

Completed list of evaluated LEA K-3 Literacy	Dec. 2020	Dec. 2021	Dec. 2021	Dec. 2022	Dec. 2023
Plans submitted to the State Board (A.R.S. 15-211).*					

Explanation: *Completion date by scheduled board meeting of indicated month.

Program Summary

ADMINISTRATION

Kate Wright, Chief of Staff
Phone: (602) 364-1972
A.R.S. § 15-231-15-272, P.L. 107-110

Mission:

To advance equity and excellence for all students by serving school leaders, educators and staff, collaborating with communities, and leading with data-driven best practices.

Description:

The Administration Program provides the support for efficient and effective operations through Business and Finance, Human Resources, and Building Operations. This Program provides the facilities and 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	11,026.4	12,286.5	12,936.5
Other Appropriated Funds	637.6	3,051.1	3,051.1
Other Non Appropriated Funds	495,620.7	572,694.8	572,694.8
Total Funding	507,284.7	588,032.4	588,682.4
FTE Positions	233.1	255.1	255.1

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, and audit 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 human resources 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 include facilities, print shop, and central mail distribution functions. Human Resource services include personnel functions. 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	3,794.6	5,021.8	5,671.8		
Other Appropriated Funds	637.6	2,701.1	2,701.1		
Other Non Appropriated Funds	8,269.6	65,243.9	65,243.9		
Total Funding	12,701.8	72,966.8	73,616.8		
FTE Positions	130.4	152.8	152.8		
◆ Goal 1 To improve process efficiency					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of internal maintenance requests completed within 6 business hours while maintaining 98%.	98.15	98*	99.3	99.5	99.5
Explanation: *New Objective					
Average turnaround time on pending classification position actions (in weeks).	1.40	2.00	1.07	2.00	2.00
Percent of print jobs completed on time.	98.93	99.00	100	100	100
◆ Goal 2 To improve employee and customer satisfaction					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Internal customer overall satisfaction rating for Business and Finance services.	4.12	4.12	4.29	4.25	4.30
Employee rating on 'Overall, I am satisfied with my job'.	*	76	85	76	76
Explanation: *Results have been delayed due to COVID-19					
◆ Goal 3 To provide accurate and helpful information to the public					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Issue preliminary draft audit reports of at least 42 Average Daily Membership (ADM) audits to the audited school districts and charter schools during the Fiscal Year, including at least one online school.	43	42	47	42	42
Perform at least 100 federal fiscal monitoring reviews of school districts and charter schools by June 30th of each year.	169	100	128	135	145

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.

Subprogram Summary

INFORMATION TECHNOLOGY

Edward Block, Head of Production Services
 Phone: (602) 542-9229
 A.R.S. § 15-251-15-272, P.L. 107-110

Mission:

To provide information technology application development, and consulting services for integration of Common-Off-The-Shelf (COTS) services or fully custom development on industry-leading platforms, while ensuring network and operations capability 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 leaders, the IT 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 collaborates 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 and operations of the Arizona Education Learning and Accountability System (AELAS), the School Finance Payment Systems, and associated subsystems.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	7,136.0	7,177.9	7,177.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	4,871.5	5,901.0	5,901.0
Total Funding	12,007.5	13,078.9	13,078.9
FTE Positions	35.1	33.9	33.9

◆ **Goal 1** To ensure customer business success

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Service availability on critical applications at 99.75% uptime.	99.875	99.75	99.78	99.75	99.75

◆ **Goal 2** To ensure customer system availability

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Meet/exceed baseline target of 95% of all systems.	95**	97.5**	92.49	94	97.5

Explanation: **New objective/Performance Measure

◆ **Goal 3** To increase quality of customer delivery

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Deploy 95% of all production changes on time and performing as designed.	99.993	95	96.7	95	95

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/valid research, 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, and data reporting that are aligned with the strategic objectives and mission of ADE divisions and the Agency. The section works closely with Assessments, Data Governance, School Improvement 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.

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 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. Accountability and Research is also primarily responsible for producing publicly available data sets that meet state and Federal privacy laws.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	350.0	350.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	0.0	350.0	350.0
FTE Positions	0.0	1.0	1.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of students in grade 3 meeting or exceeding State academic standards in English Language Arts.	**	46**	N/A*	TBD**	TBD**
Percent of students meeting or exceeding State academic standards in English Language Arts 11.	**	29**	N/A*	TBD**	TBD**
Percent of students meeting or exceeding State academic standards in Algebra II.	**	35**	N/A*	TBD**	TBD**

Explanation: *Data not available until 9/2021

**Because of the impact of the COVID-19 pandemic the FY21 Estimate is being presented as the same as FY20. The state is changing assessments in the 2021-2022 school year. FY22 set new targets based on the first administration of the Arizona's Academic Standards Assessment (AASA).

Explanation: *Data not available until 9/2021

**The estimate for FY21 is being held consistent from the FY20 goal. The End of Course Assessments (EOC), i.e., English Language Arts 11, will not be offered in the FY21. A tenth grade assessment will be given in place of the previous English 9, English 10 and English 11 EOCs. FY22 set new targets based on the first administration of the ACT assessment statewide.

Explanation: *Data not available until 9/2021

**The estimate for FY21 is being held consistent from the FY20 goal. The End of Course Assessments (EOC), i.e. Algebra II, will not be offered in the FY21. A tenth grade assessment will be given in place of the previous Algebra I, Geometry and Algebra II EOCs. The state is changing assessments in the 2021-2022 school year. FY22 set new targets based on the first administration of the ACT assessment statewide.

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, vegetables 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.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	95.8	86.8	86.8		
Other Appropriated Funds	0.0	0.0	0.0		
Other Non Appropriated Funds	482,479.6	501,549.9	501,549.9		
Total Funding	482,575.4	501,636.7	501,636.7		
FTE Positions	67.7	67.4	67.4		
◆ Goal 1 To ensure compliance with State and Federal statutes and regulations along with other contractual obligations.					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Summer Food Service Program (includes Seamless).	95**	1,439*	99	75	75
Explanation: *New Objective and Performance Measure. **FY2020 Actual reflects the previous Performance Measure.					
Administrative Review of School Nutrition Programs, Child and Adult Care Food Program, Summer Food Service Program, and School Food Authorities.	99**	65*	80	70	75
Explanation: *New Objective and Performance Measure. **FY2020 reflects previous Performance Measure.					
Percent of attendees that report an increase in nutrition knowledge after attending an HNS nutrition-based trainings.	94**	100*	100	100	100
Explanation: *New Objective and Performance Measure. **FY2020 Actual reflects previous Performance Measure.					
◆ Goal 2 To increase customer satisfaction					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Overall external customer rating on Health & Nutrition Services.	4.34	4.30*	4.31	4.30	4.30
Explanation: *New Objective and Performance Measure.					
Number of educators and allied professionals trained.	636*	900*	900	900	900
Explanation: *New Objective and Performance Measure was created.					
Percent of participants rating “Technical Assistance and monitoring feedback help us understand our legal requirements” in the 21st CCLC External Customer Survey.	88.8	90	85.8	88	90

Program Summary

SCHOOL FINANCE

Lyle Friesen, Associate Superintendent

Phone: (602) 542-8250

A.R.S. § 15-185, 15-901-917, 15-941-15-1033, 37-521

Mission:

To proactively partner with Arizona education organizations to facilitate timely, accurate data collection and precise, transparent payments. We support submittal of accurate student, staff, and transportation data, educate on data reconciliation reports and best practices, and assist with error correction as needed. We use the data collected and statutory formulas to precisely calculate and distribute state payments and publish corresponding data to enable stakeholders to understand and verify calculations. Additionally, School Finance collects and reports critical financial data to the public, education organizations, state leaders and the Federal government.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	4,951,849.6	5,757,710.7	5,757,710.7
Other Appropriated Funds	300,555.0	309,832.4	309,832.4
Other Non Appropriated Funds	863,291.4	968,925.8	968,925.8
Total Funding	6,115,696.0	7,036,468.9	7,036,468.9
FTE Positions	17.0	15.0	15.0

◆ **Goal 1** To provide timely and reliable customer service.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of Instructional Improvement Fund (IIF) payments made on a biannual basis.*	100	100	100	100	100
Percent of Classroom Site Fund payments made on a monthly basis	100	100	100	100	100
Number of days to process budget analysis from July 18.	100	100	103	100	100

Explanation: *Fund payments paid biannually, due to small amounts of money available for some quarters.

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, parents and guardians, government agencies, and community groups, to enable them to achieve their goals.

Description:

The Highly Effective Schools (HES) Division, consisting of programmatic overview of Exceptional Student Services (ESS), Adult Education Services (AES), Nita M. Lowey 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. HES also provides development opportunities to teachers and administrative professionals and supports local efforts focused on parental and community involvement.

The HES Division is responsible for:

1. Exceptional Student Services (ESS): Serves children with disabilities between the ages of 3 years and 22 years; ensuring 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 administration of the IDEA Consolidated Entitlement grant (IDEA B 611/619 funds), the State "High Cost Child" fund as well as the state's "Institutional and Residential Voucher" funds.
2. Nita M. Lowey 21st Century Community Learning Centers (21CCLC): 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. Adult Education Services (AES): 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 are an integral component of Arizona's statewide workforce system and enable adult learners to acquire the knowledge, skills and credentials necessary for effective participation in society. This is critical in order to grow and develop a skilled workforce to benefit employers and build thriving communities. AES currently supports multiple pathways to a high school equivalency; the traditional GED pathway, the College Credit pathway, and the HSE Plus Career Readiness pathway.

This Program Contains the following Subprograms:

- ▶ Exceptional Student Services
- ▶ School Improvement and Intervention
- ▶ Career and Technical Education
- ▶ Title I
- ▶ Emergent Student Services

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	85,693.1	92,052.8	92,552.8
Other Appropriated Funds	157.5	325.0	325.0
Other Non Appropriated Funds	936,626.4	2,259,114.6	2,259,114.6
Total Funding	1,022,477.0	2,351,492.4	2,351,992.4
FTE Positions	254.2	276.2	280.2

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	85,693.1	92,052.8	92,552.8
Other Appropriated Funds	157.5	325.0	325.0
Other Non Appropriated Funds	936,626.4	2,259,114.6	2,259,114.6
Total Funding	1,022,477.0	2,351,492.4	2,351,992.4
FTE Positions	254.2	276.2	280.2

◆ **Goal 1** To ensure that all students with disabilities have access to an excellent education.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of students with IEPs graduating from high school with a regular diploma.	67.65	80	68.98	80	80
Percent of students with IEPs in targeted public education agencies (districts/charters) will meet the state proficiency average for students with disabilities in grades 3-5.**	11.94	12.99	N/A**	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.

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 transform LEA and school systems ensuring equity, excellence, strengths-based leadership, and innovative continuous improvement.

Description:

School Support and Improvement (SSI) provides high-quality professional learning to empower and support schools and LEAs by offering evidence-based practices, equity centered decision-making, and a multitude of resources; training and ongoing support of the Comprehensive Needs Assessment, Root Cause Analysis, and Integrated Action Plan continuous improvement process and implementation; and the opportunity for the co-creation of high expectations and accountability measures. SSI provides support, technical assistance and monitoring through on-site and virtual site visits to federally identified Comprehensive and Targeted Support and Improvement Schools. Through the focus on individual school and LEA specific needs as well as strong, equitable systems of instructional infrastructure, school culture and talent management, SSI's system of support builds the capacity of the LEAs/Charter Holders and site leadership to ensure the continuous improvement cycle resulting in increased student outcomes for all. SSI staff employ evidence-based decision-making providing actionable data to inform the iterative process of continuous improvement planning. SSI provides multi-year professional learning programs including ELEVATE, an Executive Leadership Development Program and Multi-Tiered Systems of Support for LEA and school teams.

◆ Goal 1 To provide technical assistance and training for districts and schools to improve effectiveness

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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	98	90	90
90% 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.	85	80	95	90	90

Explanation: * Attention to "D" and "F" schools is now imperative.
** Due to COVID legislation, schools will not have letter grades.

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 \$32.1 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Annual external customer overall satisfaction rating for CTE.	4.85	4.95	4.95	4.95	5.00
Percent of 12th grade students in the same cohort year who are CTE program concentrators.	34.0	35.0	35.0	35.0	38
Percent of CTE program concentrators who earned an industry recognized credential.	30	21	21	35	36

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.	30	21	21	35	36
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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

Angie Madsen, 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 ensure equitable access to an excellent education for every child.

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 ensure equitable access to an excellent education for every child.

◆ **Goal 1** To ensure compliance with State and Federal statutes and regulations along with other contractual obligations

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of districts in compliance in (Cycle 1) Federal indicator.	76.53	98	98	98	98
Percent of districts in compliance in (Cycle 2) Federal indicator.	88.05	99	99	99	99
Percent of districts in compliance in (Cycle 3) Federal indicator.	72.72	97	97	97	97
Percent of districts in compliance in (Cycle 5) Federal indicator.	100	97	97	97	97
Percent of districts in compliance in (Cycle 6) Federal indicator.	79.01	99	99	99	99

Subprogram Summary

EMERGENT STUDENT SERVICES

Serena Denetsosie, Deputy Associate Superintendent

Phone: (602) 542-5235

A.R.S. § 15-1241, P.L. 89-329, P.L. 101-610, P. L. 107-110

Mission:

To elevate access and opportunities for Indigenous students in a collaborative environment.

Description:

The Office of Indian Education (OIE) administers federal and state programs established to meet the unique educational and cultural needs of Native American students, families, communities, and Tribal Nations. The office implements A.R.S. 15-244, Indian Education Act, by providing outreach to all of the Arizona's local educational agencies (LEAs) on or near reservations and in urban areas with high populations of American Indian students. Additionally, OIE provides technical assistance in collaboration with all units at the Arizona Department of Education (ADE) that interface with these LEAs. Conferences and training, as well as parental involvement activities, are also provided onsite and at ADE.

The Deputy Associate Superintendent, for the Office of Indian Education, serves as a liaison between the tribal education departments and the ADE. The Deputy Associate Superintendent works via collaborative 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Gathering and evaluating stakeholder feedback on the strategic plan implementation.	4**	*	0***	5	5

Explanation: *Objective and performance measure has changed. Estimates will be TBD.

**San Juan Southern Paiute Cancelled

**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.

Description:

The 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.

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.

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

Title IV-A Student Support and Academic Enrichment (SSAE) 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; including Arts 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.

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 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.

This Program Contains the following Subprograms:

- ▶ Office of Arizona Charter Schools Programs (AZCSP)
- ▶ Educator Excellence/Title II - A

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	763.1	1,079.5	1,221.9
Other Appropriated Funds	1,848.2	2,359.1	2,359.1
Other Non Appropriated Funds	41,299.0	43,742.4	43,742.4
Total Funding	43,910.3	47,181.0	47,323.4
FTE Positions	39.4	33.0	35.0

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of academic, governance, and financial monitoring visits conducted.	18	26	26	32	40
Provide Governance and Formative Assessment training for awarded schools.	8	8	8	8	16

Subprogram Summary

EDUCATOR EXCELLENCE/TITLE II - A

Bruce Duplanty, Deputy Associate Superintendent

Phone: (602) 364-2348

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	763.1	1,079.5	1,221.9
Other Appropriated Funds	1,848.2	2,359.1	2,359.1
Other Non Appropriated Funds	41,299.0	43,742.4	43,742.4
Total Funding	43,910.3	47,181.0	47,323.4
FTE Positions	39.4	33.0	35.0

◆ **Goal 1** To provide timely and reliable customer service

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average days for processing of certification services requiring an evaluation.	8.9/13.8**	9.8	11.2	10	9.8

Explanation: The average processing time for certification evaluative services prior to COVID-19 and the move to telecommuting was 8.9 days from receipt to issuance. With the change to telecommuting and the implementation of new systems and processing, this has increased our average processing time from receipting to issuance from an average of 8.9 days to 13.8 days for this time period in FY20. Systems underwent continuous adjustment when necessary and we expected this year's processing time to return to an average of around 10 days during the October through May time frame. Due to staffing changes as well as system challenges and age, we did reach an 11.2 average. As staff gains more knowledge and experience, we are targeting a fast turnaround of 10 days.

Customer service satisfaction rating at the counter and for outreach services.

◆ **Goal 2** To ensure the quality of Arizona's educators through evaluation and certification

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Increase the percent of core academic teaching positions taught by appropriately certified teachers within the state.	91.2	92	89.3	90	90

Program Summary

HIGH ACADEMIC STANDARDS FOR STUDENTS

Felicia Durden, 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 build excellence in Arizona education through the collaborative development of learning standards and the provision of effective professional learning and technical assistance that support the needs of LEAs across the birth to K-12 to post-secondary continuum.

Description:

The High Academic Standards program provides leadership in the development of academic standards for Early Childhood, K-12 content areas, and Career and Technical Education, 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 learning, 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, students transitioning to post-secondary education and certification, and young students ages birth-8 in early education programs, as well as providing career and technical education services to high school students and community colleges.

Additionally, the High Academic Standards for Students team oversees the Arizona Charter School Program, which helps to build systems for effective instruction in new charter schools across the state, and the School Safety & Social Wellness office is to help educators in providing for the emotional, mental, and physical health and safety needs of students.

This Program Contains the following Subprograms:

- ▶ K-12 Academic Standards
- ▶ Early Childhood
- ▶ Title III - OELAS

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	23,944.9	25,001.1	25,151.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	27,645.0	40,299.3	40,299.3
Total Funding	51,589.9	65,300.4	65,450.4
FTE Positions	32.9	33.9	33.9

Subprogram Summary

K-12 ACADEMIC STANDARDS

Sean Ross, Deputy Associate Superintendent
Phone: (602) 542-5342
A.R.S. § 15-704, P.L. 107-110

Mission:

To empower all educators and stakeholders across the birth to K-12 to postsecondary continuum to increase achievement and opportunity for all students.

Description:

The Academic Standards team provides professional learning, guidance, technical assistance, and resources to build educator capacity and increase student achievement across the early childhood, K-12, and postsecondary continuum. We currently provide support for the following academic standards:

- Computer Science
- Early Learning Standards
- English Language Arts
- Educational Technology
- Mathematics
- Physical Education
- Science
- Social Studies
- World and Native Languages

The Academic Standards team provides professional development, guidance, technical assistance, and resources to build capacity in educators in implementing Arizona's content-area standards. These are offered regularly and throughout the state in both virtual and in-person settings to ensure that all teachers and administrators have the necessary skills and knowledge to teach Arizona's standards effectively. In addition to academic standards, the Academic Standards team also provides leadership in the implementation of the following programs and initiatives:

- Arizona Charter School Program
- Preschool Development Grant
- Move on When Reading (MOWR)
- The Early Literacy Grant
- The Excellence in Civic Engagement Program
- The Seal of Biliteracy
- Formative Assessment and Instruction
- Presidential Awards for Excellence in Mathematics and Science Teaching
- 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 and Integration
- State Tutoring Grant

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	23,944.9	25,001.1	25,151.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	8,966.5	17,145.9	17,145.9
Total Funding	32,911.4	42,147.0	42,297.0
FTE Positions	15.9	15.6	15.6

- ◆ **Goal 1** To provide training and professional development to improve the effectiveness of standards based teaching and learning

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Arizona educators who have attended ADE-sponsored Mathematics Standards professional development.	4,500	500	1911	500	500
Number of Arizona educators who have attended ADE-sponsored English Language Arts Standards professional development.	920	500	2994	500	500

Subprogram Summary

EARLY CHILDHOOD

Lori Masseur, Director

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 Head Start programs, Title I preschools, and other state and federally funded preschool programs. 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	4,907.4	9,138.2	9,138.2
Total Funding	4,907.4	9,138.2	9,138.2
FTE Positions	6.3	6.5	6.5

◆ **Goal 1** To ensure compliance with the Office of Special Education Programs requirements

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of preschool children in general education who met age level expectations in literacy development at the end of the school year.	85.5*	93	85	93	90
Explanation: *Due to COVID, no in person instruction took place past March 13, 2020. This resulted in finalizing data checkpoints 8+ weeks prior to the end of the school year. Therefore, age level expectation indicators are based on missing two months of instruction.					
Percentage of preschool children in general education who met age level expectations in physical development at the end of the school year.	92.6*	94	91	94	94
Explanation: *Due to COVID, no in person instruction took place past March 13, 2020. This resulted in finalizing data checkpoints 8+ weeks prior to the end of the school year. Therefore, age level expectation indicators are based on missing two months of instruction.					
Percentage of preschool children in general education who met age level expectations in language development at the end of the school year.	87.76*	90	85	90	90
Explanation: *Due to COVID, no in person instruction took place past March 13, 2020. This resulted in finalizing data checkpoints 8+ weeks prior to the end of the school year. Therefore, age level expectation indicators are based on missing two months of instruction.					
Percentage of preschool children in general education who met age level expectations in social and emotional development at the end of the school year.	89.65*	90	87	90	90
Explanation: *Due to COVID, no in person instruction took place past March 13, 2020. This resulted in finalizing data checkpoints 8+ weeks prior to the end of the school year. Therefore, age level expectation indicators are based on missing two months of instruction.					
Percentage of preschool children in special education who met age level expectations in social and emotional development at the end of the school year.	**	70	N/A**	N/A	N/A
Explanation: **Early Childhood was split between two units and is in the process of developing new measures.					
Percentage of preschool children in special education who met age level expectations in physical development at the end of the school year.	**	80	N/A**	N/A	N/A
Explanation: **Early Childhood was split between two units and is in the process of developing new measures.					
Percentage of preschool children in special education who met age level expectations in language development at the end of the year.	**	60	N/A**	N/A	N/A
Explanation: **Early Childhood was split between two units and is in the process of developing new measures.					

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of preschool children in special education who met age level expectations in literacy development at the end of the school year.	*	71	N/A*	N/A	N/A

Explanation: *Early Childhood was split between two units and is in the process of developing new measures.

Subprogram Summary

TITLE III - OELAS

Laura Alvarez, Deputy Associate Superintendent

Phone: (602) 542-7463

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.

OELAS:

The assistance the subprogram provides to LEAs consists of the following:

- 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	0.0	0.0	0.0		
Other Appropriated Funds	0.0	0.0	0.0		
Other Non Appropriated Funds	13,771.1	14,015.2	14,015.2		
Total Funding	13,771.1	14,015.2	14,015.2		
FTE Positions	10.8	11.8	11.8		
◆ Goal 1 To ensure compliance with State and Federal statutes and regulations along with other contractual obligations					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	*	30	92	30	TBD**
Explanation: *Impacted as a result of school closure*Impacted as a result of school closures and not being able to resume face-to-face instruction due to COVID-19. **New objective and performance measure for FY23					
◆ Goal 2 To increase academic gains of students reclassified as FEP					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
As students become more comfortable with online testing, increase the state reclassification rate to 20% in 2020 and 22% in 2021.	*	22	**	22	TBD***
Explanation: *Impacted as a result of school closures and not being able to resume face-to-face instruction due to COVID-19. **In 2020 we reclassified 8037 students, and in 2021 we reclassified 4704. This % was impacted as a result of school closures. ***New objective and performance measure for FY23					
◆ Goal 3 To increase customer satisfaction.					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
100% of LEA Homeless Liaisons will be certificated in general knowledge of the McKinney Vento Homeless Assistance Act (reauthorized by ESSA).	***	***	23	TBD*	TBD*
Explanation: *New objective and performance measure for FY22 and FY23. **Impacted as a result of school closures and not being able to resume face-to-face instruction due to COVID-19.					
Increase the percentage of LEAs meeting the requirements of the Service Delivery Plan.	**	70	*	70	TBD*
Explanation: **Impacted as a result of school closures and not being able to resume face-to-face instruction due to COVID-19. *Still in the process of evaluating this data. Many of our projects were impacted by school closures and faced many challenges in providing supplemental instructional and support services.					

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.

Description:

The 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.

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.

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

Title IV-A Student Support and Academic Enrichment (SSAE) 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; including Arts 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.

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 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.

This Program Contains the following Subprograms:

- ▶ Assessment
- ▶ Adult Education

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	14,030.2	19,391.1	23,391.1
Other Appropriated Funds	0.0	7,000.0	7,000.0
Other Non Appropriated Funds	30,501.6	26,223.0	26,223.0
Total Funding	44,531.8	52,614.1	56,614.1
FTE Positions	63.4	64.3	64.3

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 AZSCI which are statewide academic assessments that measure student proficiency of the Arizona content standards.
- MSAA (ELA, Math and 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.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	9,528.1	14,523.3	18,523.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	9,636.0	8,156.4	8,156.4
Total Funding	19,164.1	22,679.7	26,679.7
FTE Positions	25.7	26.2	26.2

◆ **Goal 1** To develop relevant and accurate instruments to assess all Arizona students

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Accountability customer satisfaction survey results.	4.05	4.10	4.68	4.20	4.25
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.	33	25	32	30	30
AzMERIT and AIMS Science administered and accurate results reported as scheduled.	*	Yes	Yes**	Yes	Yes
Explanation:					
	*Did not administer due to COVID. ADE was granted a waiver from USDOE.				
	**Administered a field Test for AIMS Science – no results to report (For FY21 only).				
AZELLA administered and accurate results reported as scheduled.	Yes*	Yes	Yes**	Yes	Yes
Explanation:					
	*Able to administer this assessment to nearly 90% of students before COVID				
	**Results were delayed due to extension of test window (For FY21 only)				
MSAA and AIMS A Science administered and accurate results reported as scheduled.	*	Yes	Yes**	Yes	Yes
Explanation:					
	*Did not administer due to COVID. ADE was granted a waiver from USDOE.				
	**Administered a Field Test for AIMS A Science- no results to report (For FY21 only).MSAA results were delayed due to extension of test window (For FY21 only)				

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) Integrated Education & Training programs to earn industry recognized credentials, 5) Civics engagement, and 6) Workforce preparation skills, including digital literacy skills.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	4,502.1	4,867.8	4,867.8		
Other Appropriated Funds	0.0	7,000.0	7,000.0		
Other Non Appropriated Funds	20,865.6	18,066.6	18,066.6		
Total Funding	25,367.7	29,934.4	29,934.4		
FTE Positions	37.7	38.1	38.1		
◆ Goal 1 To increase academic achievement of learners age 16 and over					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of learners age 16 and over increasing academic skills by two or more grade levels as measured by standardized assessments.	40**	50*	16	51*	TBD
Explanation: * Targets for FY21 and FY22 were determined through a negotiation process with USDOE/OCTAE in Spring 2020 and are subject to change due to the pandemic situation and the status of the ability of local adult education providers to administer proctored standardized assessments. The requirement to administer standardized assessments was suspended in FY20 and that suspension has so far continued into FY21.					
** Preliminary data as of 8/12/2020; outcome was severely impacted by the pandemic disruption and local providers' inability to administer proctored standardized assessments to their adult education students to measure skill increases. The requirement to administer standardized assessments was suspended in FY20; furthermore, USDOE/OCTAE issued guidance that FY20 performance outcomes would not be used as an evaluation factor for states.					
***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.	4.5*	9.47	3.37**	5.00***	9.75
Explanation: * Preliminary data as of 8/12/2020; outcome was severely impacted by the pandemic disruption and closures of most GED testing centers.					
** Preliminary data as of 8/10/2021; outcome was severely impacted by the pandemic disruption and closures of most GED testing centers.					
*** Revised target due to pandemic-related challenges with GED testing access.					
◆ Goal 2 To improve customer satisfaction					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of GED transcript requests fulfilled in one business day.	98	97	98	97	97

Agency Summary

DEPARTMENT OF EMERGENCY AND MILITARY AFFAIRS

Major General Kerry L. Muehlenbeck, 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 administered and controlled by the Governor and headed by the Adjutant General 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

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADMINISTRATION	3,703.3	5,679.3	3,753.0
➤ EMERGENCY MANAGEMENT	61,852.9	127,735.4	96,659.2
➤ MILITARY AFFAIRS	99,087.5	139,691.6	77,643.9
Agency Total:	164,643.7	273,106.3	178,056.1
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	9,073.6	13,367.1	27,027.4
Other Appropriated Funds	1,521.2	1,930.4	1,987.4
Other Non Appropriated Funds	154,048.9	257,808.8	149,041.3
Total Funding	164,643.7	273,106.3	178,056.1
FTE Positions	468.6	471.6	471.6

Department of Emergency & Military Affairs

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director: Maj Gen Kerry L. Muehlenbeck
Strategic Planner: Travis Schulte
Last modified: 07/15/2021

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 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 the state's military forces and emergency management capabilities are 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 Arizona National Guard and civilian workforce, 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 recruiting and retaining Citizen Soldiers and Airmen as well as our civilian workforce 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 staff and develop the agency, 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	Supported our state, communities, and tribal partners during an unprecedented 18 months of disasters to include COVID-19 response and wildland fires; established large scale COVID-19 testing and vaccination sites across the state w/ federal, state, county, and private partners that were recognized as national models
2	Build a ready and able force of soldiers, airmen, and civilians to support state missions and federal contingency operations	2018	Army NG: 100.0% of authorized end-strength, plans to sustain growth to support additional force structure assignment. Gained new force structure into Army NG (6 units, 254 Soldiers) Air NG: 97.2% of authorized end-strength
3	Enhance Public Safety through further integration of DEMA resources into state government	2018	JTF-AZ: Supported multiple requests for cyber assistance; Mobilized 1,000 National Guard Members within 72 hrs and completed over 11,000 missions during the COVID-19 response; Assisted local law enforcement during their response to civil unrest; Augmentation of local law enforcement in response to increased migration at the SW border.
4	Secure additional mission sets relevant to state and national needs	2019	161ARW: Potential base expansion opportunity via Sky Harbor CAMP recommendations 162WG: Secured Taiwan relocation to succeed the Netherlands in FY23 Army NG awarded additional Explosive Ordnance Disposal and Engineering Company force structure in FY23-FY25 Emergency Mgmt to assume responsibility for Palo Verde off-site monitoring during nuclear emergency w/ AZNG 91 st Civil Support Team

Department of Emergency & Military Affairs

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase capability to stockpile and surge necessary resources to stabilize state lifelines Increase operational capacity to address complex operations	<ul style="list-style-type: none"> Percent of logistical system evaluation milestones completed on time Percent of infrastructure evaluation to support future requirements that includes pandemic contingencies 	<ul style="list-style-type: none"> Identify a logistical system that tracks personal protective equipment and other resources from receipt by the state to final use to support distro/audit. Identify stakeholders and funding sources to evaluate current facilities and capability knowing that emergency operation centers must stay "active" even with a social distancing requirement.
2	Uniformed Members: Army National Guard (ARNG): Meet or exceed 100% end-strength goal Complete DoD objectives for ARNG Readiness Center construction Grow ARNG aviation opportunities	<ul style="list-style-type: none"> End-strength Percent of Southeastern Arizona Regional Readiness Center construction milestones completed on time Percent of Surprise Readiness Center construction milestones completed on time Percent completion of Aviation Master Plan 	<ul style="list-style-type: none"> Implement Phase 2 Guard Your Future (GYF) program & Mini GYF Pilot Program Secure Additional Force Structure to include additional aviation capacity Upgrading Training Ranges for new training requirements Ground-breaking ceremony scheduled October 2021 for SE AZ Regional Readiness Center Receive design authority, select A&E firm, complete Environmental Condition Report, and begin Environmental Assessment for Surprise Readiness Center
	Air National Guard (ANG): Meet 100% end-strength goal	<ul style="list-style-type: none"> End-strength Percent completion of requirements for Federal Tuition Assistance (TA) pilot program 	<ul style="list-style-type: none"> 161ARW: Increase recruiting in preparation for expanded capability <ul style="list-style-type: none"> Maximize support to local/state military refueling training requests 162WG: Target recruiting career fields with critical manning <ul style="list-style-type: none"> Conduct manning meetings with units to collaborate on meeting end-strength Re-assign Recruiting assets to broaden reach state-wide
	Non-Uniformed Members: Improve Employee Satisfaction	<ul style="list-style-type: none"> Percent of study on workplace attrition (EM) Number of ideas implemented to improve job satisfaction 	<ul style="list-style-type: none"> Conduct a study that reviews compensation and job classification In alignment w/ ADOA, identify telework schedules that meet job requirements based on lessons learned during COVID-19 when normal posture returns
3	Joint Task Force-AZ (JTF-AZ): Maximize support to stakeholders and partner agencies <i>Cyber Joint Task Force (CJTF)</i> <i>Counterdrug Task Force (CDTF)</i> <i>National Guard Civil Support (NGCS)</i>	<ul style="list-style-type: none"> CJTF: Readiness and capacity to respond to a State cyber event CDTF: Number of engagements to reduce demand CDTF: Number of drug prevention coalitions where overdose deaths are highest NGCS: Percent of implementation of state Incident Awareness & Assessment capabilities 	CJTF: Build CJTF relationships with AZ agencies promoting available capabilities in the event of cyber attack. Partner with ASU to conduct Cyber TTX. Create and recruit civilian cyber reservist capability through DEMA and internship with ASU. CDTF: Develop overdose death location map. Increase illicit drug seizures 10%. Pursue law enforcement agencies w/ a stronger drug focus. NGCS: Maximize support of requests to local agencies. Maintain relationships and open lines of communications with federal, state, tribal and local agencies from the past 15 months of experiences.
4	Secure steps and commitments for future missions relevant to state and national needs <i>Air National Guard (ANG)</i> <i>Army National Guard (ARNG)</i> <i>Emergency Management (EM)</i>	ANG 162WG percent completion of: <ul style="list-style-type: none"> Taiwan relocation action items Design/land acquisition for Main Gate ARNG percent completion of: <ul style="list-style-type: none"> MOU for additional mission set in FY22 Application submission for Electronic Warfare Unit 	161ARW: Engage with City of Phoenix/Sky Harbor stakeholders to support competitive Letter of Intent for KC-46; Renew support letters by refueling customers 162WG: Explore options to secure 4.5/5 th Generation fighter pilot training or operational squadron; Facility renovation/manpower transition to meet Taiwan Air Force arrival timelines; Main Gate/Munitions Storage Area Land Acquisition ARNG: Continue to complete requisite work for new mission sets EM: Incorporate JTF-AZ 91 st Civil Support Team into the Off-site Nuclear Response Plan to support Palo Verde Generating Station in the event of an emergency

Program Summary

ADMINISTRATION

Brigadier General Christopher S. Sandison, Deputy Adjutant General
 Phone: (602) 267-2721
 A.R.S. § 26-102(C)(8)

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,921.7	1,956.4	1,956.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,781.6	3,722.9	1,796.6
Total Funding	3,703.3	5,679.3	3,753.0
FTE Positions	35.0	35.0	35.0

- ◆ **Goal 1** To fund state-only projects that support National Guard Readiness.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Implement Coconino County JLUS recommendations and complete feasibility study to identify compatible development opportunities for future business or public/private partnerships at Camp Navajo.	0	1	1	1	0

- ◆ **Goal 2** To analyze workplace attrition in the agency, specifically within Emergency Management.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Conduct a study that analyzes Division of Emergency Management workplace attrition and reviews compensation and job classification.	0	0	0	100	0

- ◆ **Goal 3** To implement ideas to improve employee satisfaction.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Implement non-salary related ideas to improve employee satisfaction and morale.	0	0	0	2	0

Program Summary

EMERGENCY MANAGEMENT

Allen Clark, 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 is 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,809.8	5,107.1	18,767.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	60,043.1	122,628.3	77,891.8
Total Funding	61,852.9	127,735.4	96,659.2
FTE Positions	371.0	371.0	371.0

Subprogram Summary

MITIGATION AND PREPAREDNESS

Vacant, 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,493.6	5,089.7	18,750.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	52,109.2	113,243.8	60,307.5
Total Funding	53,602.8	118,333.5	79,057.5
FTE Positions	295.0	295.0	295.0

◆ **Goal 1** To reduce loss of life and loss of property from all hazards.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Emergency Management Performance Grant (EMPG) Application Approval (days)	36	30	37	35	35
Percent of cabinet-level agencies that have reviewed and updated their COOP plan w/ DEMA	25	50	0	0	25
Cabinet-level state agencies (35) who have been contacted by DEMA regarding current status and approval date of their COOP plans, to be followed by development of COOP update engagement plan to reflect changes/lessons-learned from COVID-19 state health emergency.	0	0	0	35	0

Subprogram Summary

RESPONSE AND RECOVERY

Lawrence "Butch" Wise, Assistant Director

Phone: (602) 464-6350

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 Logistics, is responsible for the timely analysis of natural and human-caused hazards, recovery operations, and regional coordination 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, DEMA offers information, technical assistance, and guidance on the grant processes, as well as develop policy for state-specific application, reporting, and reimbursement policies.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	316.2	17.4	17.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	7,933.9	9,384.5	17,584.3
Total Funding	8,250.1	9,401.9	17,601.7
FTE Positions	76.0	76.0	76.0

◆ **Goal 1** To reduce human suffering during disasters and enhance community recovery after disaster strikes.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Months to award/obligate fifty percent (50%) of Public Assistance Project Worksheets (PWs) following a Governor's Disaster Declaration.	10.05	10	10.76	10	10
State lifeline surge capability.	0	100	100	0	0
Identify a logistical system that tracks personal protective equipment and other resources from receipt by the state to final use to support distro/audit.	0	0	0	100	100
Identify stakeholders and funding sources to evaluate current facilities and their capability knowing that emergency operation centers must stay "active" even with a social distancing requirement	0	0	0	100	100

Program Summary

MILITARY AFFAIRS

Brigadier General Troy T. Daniels, Commander, Joint Task Force

Phone: (602) 267-2836

Arizona Constitution Article XVI; A.R.S. §§ 26-104, 26-151 et seq.

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	5,342.1	6,303.6	6,303.6
Other Appropriated Funds	1,521.2	1,930.4	1,987.4
Other Non Appropriated Funds	92,224.2	131,457.6	69,352.9
Total Funding	99,087.5	139,691.6	77,643.9

FTE Positions

62.6 **65.6** **65.6**

Subprogram Summary

ARMY NATIONAL GUARD

Brigadier General Lonnie J. Branum, Land Component Commander
 Phone: (602) 267-2961
 Arizona Constitution Article XVI; A.R.S. §§ 26-104, 26-151 et seq.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,340.1	2,303.6	2,303.6
Other Appropriated Funds	1,521.2	1,930.4	1,987.4
Other Non Appropriated Funds	7,190.6	18,212.1	13,729.5
Total Funding	11,051.9	22,446.1	18,020.5
FTE Positions	62.6	65.6	65.6

◆ **Goal 1** To recruit and retain highly qualified personnel.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Meet 100% authorized end-strength	104.9	102	100	102	102

◆ **Goal 2** To provide Readiness Centers able to support state missions and Soldier training and readiness requirements.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
AZNG Readiness Centers able to support Soldier Readiness	22	22	22	22	22
AZNG Readiness Centers that meet space requirements	5	6	5	5	6
Complete 100% design, select construction firm, and begin construction of SE AZ Regional Readiness Center in Oct 2021.	0	100	100	100	100
Receive design authority, select A&E firm, complete Environmental Condition Report, and begin Environmental Assessment for Surprise Readiness Center.	0	100	100	100	100

◆ **Goal 3** To increase fulfillment of requests for Defense Support to Civil Authorities (DSCA) by our local, state, and federal partners.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Increase reservist personnel available to respond to a state cyber event	0	10	0	10	20
Percent fill of NG members supporting the enduring Southwest Border mission	101.3	0	0	0	0
Joint Task Force (JTF-AZ) increased support of domestic operations to interagency partners.	100	100	100	100	100
Support establishment of drug prevention coalitions where overdose deaths are highest.	0	0	0	100	100
Support drug demand reduction in communities.	0	0	0	100	100

◆ **Goal 4** To support implementation of the completed Joint Land Use Studies (JLUS) with Coconino and Pinal Counties for existing Army National Guard installations and training areas.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Support implementation strategies of Coconino (2021) and Pinal (by 2022) JLUS studies.	0	1	1	2	2

◆ **Goal 5** To develop Aviation Master Plan

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Development of Action Plan	25	50	50	100	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. §§ 26-104, 26-151 et seq.

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	3,002.0	4,000.0	4,000.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	85,033.6	113,245.5	55,623.4
Total Funding	88,035.6	117,245.5	59,623.4
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To recruit and retain highly qualified personnel.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Meet 100% authorized end-strength	94.8	102	97.2	102	102

◆ **Goal 2** To sustain and increase AZ Air National Guard Force Structure.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Recruit to 105% manning in key career fields	104	105	105.7	105	105
Secure lease extension with Sky Harbor International Airport to enable competition for future basing decisions.	25	100	25	75	100
Complete Environmental Assessment	50	100	100	0	0
Foreign Partner training mission relocation.	0	0	0	100	100
Design/land acquisition for Main Gate Complex.	0	0	0	100	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Successful integration of all aspects of Remotely Piloted Aircraft (RPA) support operations with state agencies and end users.	25	100	50	100	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ SUPPORT	24,215.0	27,094.2	27,094.2
➤ AIR QUALITY	40,082.1	47,203.3	47,662.2
➤ WASTE PROGRAMS	79,618.5	83,164.8	85,701.9
➤ WATER QUALITY	22,935.2	27,422.1	37,883.1
Agency Total:	166,850.8	184,884.4	198,341.4

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	15,000.0	21,288.2
Other Appropriated Funds	64,852.1	75,578.7	82,747.5
Other Non Appropriated Funds	101,998.7	94,305.7	94,305.7
Total Funding	166,850.8	184,884.4	198,341.4

FTE Positions	552.0	552.0	586.7
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Department of Environmental Quality

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Misael Cabrera
Michael Keyack
8/19/2021

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 five strategic issues for focus during this fiscal year to deliver tangible outcomes that benefit public health and the environment.

1. Too many drinking water systems and surface waters are not meeting federal standards and other drinking water systems are threatened by PFAS.
2. Arizona passed a new Surface Water Protection Program and now must implement it.
3. Air quality is not meeting Federal Standards and that will inhibit economic growth in the Phoenix metro area.
4. Arizona stakeholders want ADEQ to assume primacy over the federal Underground Injection Control and Coal Combustion Residuals Programs.
5. The agency's budget is still 15% less than it was in 2009. Program funding sources are beginning to run out of funds.

Summary of Multi-Year Strategic Priorities			
#	Five Year Strategy	Start FY	Progress / Successes
1	Address Known, Ongoing, Unauthorized Impacts (KOUI) to human health and the environment.	2018	<ul style="list-style-type: none">Reduced the net # of Known, Ongoing, Unauthorized Impacts from 97 to 77, total mitigated 266 since FY18. Total mitigated includes 141 drinking water systems serving 613,124 people. Remediated 3R mine surface water contamination.
2	Develop and implement the Surface Water Protection Program.	2022	<ul style="list-style-type: none">FY21 HB2691 signed into law by the Governor.
3	Address ozone non-attainment.	2017	<ul style="list-style-type: none">Passed legislation for voluntary non-traditional emission reduction credits in 2017.Convened Air Quality Coalition made up of community, municipal and business stakeholders in 2018.Assisted major employer by finding over 80 tons of emission reduction credits for a multi-billion dollar expansion in 2021.Assisted over 5,132 motorists through the voluntary vehicle repair program – eliminating an estimated 72,910 lbs. of ozone precursors since 2017.
4	Assume primacy of UIC and CCR Federal Programs.	2017	<ul style="list-style-type: none">Conducted Underground Injection Control primacy stakeholder process. Passed minor conforming changes to statute in 2021. Rule making in progress.Conducted Coal Combustion Residuals stakeholder process.
5	Champion Agency continuation and sustainable program funding.	2021	<ul style="list-style-type: none">Submitted Agency Sunset report to Auditor GeneralAddressed Auditor General questions throughout audit field work.Completed screening of Agency fee structure.

Department of Environmental Quality

Fiscal Year 2022 Strategic Plan 2-pager

Next FY Focus

Strat	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Reduce the number of Known, Ongoing Unauthorized Impacts from 68 to 51 including: - Reduce the Net # of Drinking Water Systems not meeting federal standards from 29 to 24. - Reduce net # of Impaired Surface Water Reaches from 107 to 101.	<ul style="list-style-type: none"> Number of KOUIs. Number of net Drinking Water Systems not meeting federal standards. Number of net Impaired Surface Waters. 	<ul style="list-style-type: none"> Stop PFAS plume before it reaches Tucson's central drinking water wells by conducting a pilot PFAS treatment system. (Baseline) Leverage WIFA loans & WIIN Act for small systems. (\$1.0M in new FY22 Funding + Ext. Source) Expand assistance to small drinking systems including technical, managerial and financial support. (Baseline)
2	Focus on the steps necessary to implement the Surface Water Protection Program.	<ul style="list-style-type: none"> Percent complete of fully implementing program. (goal: 75% complete) 	<ul style="list-style-type: none"> Complete the proposed rule package and publish for public comment (\$1.2M in new FY22 Funding).
3	Find and certify 210 tons of ozone offsets (VOCs and NOx) in the Greater Phoenix non-attainment area by June 30, 2022.	<ul style="list-style-type: none"> Tons of ozone precursor offsets certified. 	<ul style="list-style-type: none"> Analyze, prioritize and implement countermeasures to reduce ozone precursors in the Phoenix Area and create offsets. (Baseline) Work with Maricopa and Pinal counties and stakeholders to identify voluntary air emission reduction credits. (Baseline)
4	Assume Underground Injection Control Program	<ul style="list-style-type: none"> Percent complete of fully implementing the UIC program. (goal: 75% complete) 	<ul style="list-style-type: none"> Complete the final UIC rule and primacy packages and submit for EPA approval. (Baseline)
4	Enactment of authorizing statute to facilitate CCR primacy.	<ul style="list-style-type: none"> Percent complete of fully implementing the CCR program (goal: 33% complete) 	<ul style="list-style-type: none"> Facilitate stakeholder process, obtain approval from the Governor's office, obtain bill sponsor and facilitate enactment of bill. (Baseline)
5	Review viability of Agency fees and develop recommended solutions that are sustainable.	<ul style="list-style-type: none"> Percent complete of agency requests submitted in FY22. (goal: 100% complete) 	<ul style="list-style-type: none"> Conduct stakeholder meetings and compile recommendations for FY23. (Baseline) Conduct regularly scheduled meetings with OSPB. (Baseline) For appropriated funds, we're going to include recommendations in the FY23 EBR. (Baseline) For fee adjustments requiring statutory change, include recommendations in ADEQ legislative proposals to the Governor's office. (Baseline) For fee adjustments requiring only rule change, adhere to standard rule exemption process. (Baseline)
5	Secure Agency continuation from the Legislature.	<ul style="list-style-type: none"> Percent complete of Agency Sunset process. (goal: 100%) 	<ul style="list-style-type: none"> Advocate for Agency continuation for no less than 8 years. (Baseline) Prepare response to Auditor General report and findings. (Baseline) Address Auditor findings not associated with funding shortages prior to Legislative vote. (Baseline)

5 Year Plan

Issue 1 Too many drinking water systems and surface waters are not meeting federal standards and other drinking water systems are threatened by PFAS.

Description Too many drinking water systems and surface waters are not meeting federal standards and other drinking water systems are threatened by PFAS.

Solutions:

Address Known, Ongoing, Unauthorized Impacts (KOUI) to human health and the environment.

Issue 2 Arizona passed a new Surface Water Protection Program and now must implement it.

Description Arizona passed a new Surface Water Protection Program and now must implement it.

Solutions:

Develop and implement the Surface Water Protection Program

Issue 3 Air quality is not meeting Federal Standards and that will inhibit economic growth in the Phoenix metro area.

Description Air quality is not meeting Federal Standards and that will inhibit economic growth in the Phoenix metro area.

Solutions:

Address ozone nonattainment

Issue 4 Arizona stakeholders want ADEQ to assume primacy over the federal Underground Injection Control and Coal Combustion Residuals Programs

Description Arizona stakeholders want ADEQ to assume primacy over the federal Underground Injection Control and Coal Combustion Residuals Programs

Solutions:

Assume primacy of UIC and CCR Federal Programs

Issue 5 The agency's budget is still 15% less than it was in 2009. Program funding sources are beginning to run out of funds.

Description The agency's budget is still 15% less than it was in 2009. Program funding sources are beginning to run out of funds.

Solutions:

Champion Agency continuation and sustainable program funding

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	587.0	587.0	587.0
General Fund	15,000.0	15,000.0	15,000.0
Other Appropriated Funds	89,035.7	89,035.7	89,035.7
Non-Appropriated Funds	76,970.9	76,970.9	76,970.9
Federal Funds	17,334.8	17,334.8	17,334.8

◆ **Goal 1** To transition into and align with the Arizona Management System

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
No. of Agency FTE Count	454	467	443	467	467

Explanation: Number of active employees in HRIS (excluding board and commission members, interns, volunteers, and “pool” positions)

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	16,782.4	17,347.8	17,347.8
Other Non Appropriated Funds	7,432.6	9,746.4	9,746.4
Total Funding	24,215.0	27,094.2	27,094.2
FTE Positions	175.5	173.4	173.4

◆ **Goal 1** To fully support and champion delivery of ADEQ's mission

◆ **Goal 2** To support environmentally responsible economic growth

◆ **Goal 3** To Recruit, Train, and Retain Top Environmental Talent

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
No. of Single Points of Failure	7	0	3	0	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
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 commission.

This Program Contains the following Subprograms:

- ▶ Monitoring & Assessment
- ▶ Facility Emissions Control
- ▶ Air Improvement Planning
- ▶ Oil & Gas
- ▶ Vehicle Emissions Control

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	34,589.2	41,744.0	42,202.9
Other Non Appropriated Funds	5,492.9	5,459.3	5,459.3
Total Funding	40,082.1	47,203.3	47,662.2
FTE Positions	107.5	106.3	108.3

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,425.2	2,471.3	2,471.3
Other Non Appropriated Funds	2,105.4	1,813.2	1,813.2
Total Funding	4,530.6	4,284.5	4,284.5
FTE Positions	30.8	30.5	30.5

◆ **Goal 1** To enhance Arizona's unique environment

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Population breathing Good Air (%)	99	99	98	99	99

Explanation: The number (percentage) of Arizona citizens 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>).

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,684.5	6,189.5	6,189.5
Other Non Appropriated Funds	166.2	181.3	181.3
Total Funding	3,850.7	6,370.8	6,370.8
FTE Positions	31.8	31.4	31.4

◆ **Goal 1** To support environmentally responsible economic growth

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Return to Compliance Time (Days)	32.4	32.5	17.1	30	30

Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.

Compliance Rate (%)	86.1	90	90.6	90	90
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Explanation: Percent of compliance at the time of inspection.

Permit Lead Time (Days)	32.5	28.4	23.5	28.4	28.4
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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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,907.7	2,552.7	3,011.6
Other Non Appropriated Funds	1,544.9	1,568.6	1,568.6
Total Funding	3,452.6	4,121.3	4,580.2
FTE Positions	25.6	25.9	27.9

◆ Goal 1 To enhance Arizona's unique environment

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
No. of Net Non-attainment areas	16	15	15	15	14

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
No. of known, ongoing, and unauthorized impacts to public health or the environment	2	1	0	0	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	207.7	255.5	255.5
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	207.7	255.5	255.5
FTE Positions	1.8	2.4	2.4

◆ **Goal 1** To support environmentally responsible economic growth

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Return to Compliance Time (Days)		33.8	N/A	33.8	33.8
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Compliance Rate (%)	100	90	100	90	90
Explanation: Percent of compliance at the time of inspection.					
Permit Lead Time (Days)	9.4	9.3	25	9.3	9.3
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 emissions 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	26,364.1	30,275.0	30,275.0
Other Non Appropriated Funds	1,676.4	1,896.2	1,896.2
Total Funding	28,040.5	32,171.2	32,171.2
FTE Positions	17.5	16.1	16.1

◆ **Goal 1** To support environmentally responsible economic growth

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Return to Compliance Time (Days)	6.4	6.8	4.2	5	5
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Compliance Rate (%)	94.8	95	97.9	95	95
Explanation: Percent of compliance at the time of inspection.					
Permit Lead Time (Days)	0	1	4.3	3.6	3.6
Explanation: The number of calendar days between receipt of application and the decision to "grant" or "deny" the permit.					
Compliance Rate for Vehicles (%)	95.97	95.8	96.6	96	96
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	15,000.0	15,407.2
Other Appropriated Funds	5,318.7	4,822.1	6,952.0
Other Non Appropriated Funds	74,299.8	63,342.7	63,342.7
Total Funding	79,618.5	83,164.8	85,701.9
FTE Positions	149.0	145.5	150.5

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	407.2
Other Appropriated Funds	3,737.1	2,932.5	4,665.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,737.1	2,932.5	5,073.1
FTE Positions	22.1	20.4	25.4

◆ **Goal 1** To support environmentally responsible economic growth

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Compliance Rate (%)	91.1	95	91.7	95	95
Explanation: Percent of compliance at the time of inspection.					
Return to Compliance Time (Days)	108	88	136.9	88	88
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Permit Lead Time (Days)	57.92	28.4	21.7	25	25
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Contaminated Sites Closed (%)	77.8	92.5	88.2	90	90
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)	7.03	6.42	8.48	9.1	9.1
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	0	0
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,188.9	1,291.1	1,291.1
Other Non Appropriated Funds	1,065.0	1,215.3	1,215.3
Total Funding	2,253.9	2,506.4	2,506.4

FTE Positions

18.5

16.5

16.5

◆ **Goal 1** To support environmentally responsible economic growth

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Compliance Rate (%) 75 85 64.8 75 75

Explanation: Percent of compliance at the time of inspection.

Return to Compliance Time (Days) 51.8 51.8 66.1 60 60

Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.

Permit Lead Time (Days) 86.3 74.7 85 85

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Contaminated Sites Closed (%) 66.3 71.4 64.7 69 69

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) 4.79 3.69 4.54 4.54 4.54

Explanation: The time, expressed in years, between when a contaminated site is initially identified till when actual remediation begins.

No. of known, ongoing, and unauthorized impacts to public health or the environment 2 1 3 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	392.7	449.7	995.0
Other Non Appropriated Funds	952.4	1,148.7	1,148.7
Total Funding	1,345.1	1,598.4	2,143.7

FTE Positions

6.7 6.7 6.7

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	148.8	0.0
Other Non Appropriated Funds	54,453.2	42,756.1	42,756.1
Total Funding	54,453.2	42,904.9	42,756.1
FTE Positions	58.6	58.1	58.1

◆ Goal 1 To support environmentally responsible economic growth

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Compliance Rate (%)	73	85	71	78	78
Explanation:	Percent of compliance at the time of inspection.				
Return to Compliance Time (Days)	83.5	75	77.6	75	75
Explanation:	The average time it takes facilities to return to compliance on individual compliance conditions.				
Permit Lead Time (Days)	0	3.1	3.3	3	3
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Contaminated Sites Closed (%)	95.2	96.3	96	96.5	96.5
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)	8.87	7.54	8.34	7.2	7.03
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	21	13	13	8	4
Explanation: No. of known, ongoing, and unauthorized impacts to public health or the environment					
No. of Net Open Leaking UST sites	253	223	228	196	183
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 contaminated sites; reviews plans for and oversees privately-funded cleanup activities; investigates and remediates WQARF priority and preliminary investigation sites using state funds; identifies responsible parties; negotiates settlements with potentially responsible parties; 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	15,000.0	15,000.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	14,972.8	15,023.7	15,023.7
Total Funding	14,972.8	30,023.7	30,023.7
FTE Positions	30.1	30.4	30.4

◆ **Goal 1** To accelerate cleanups

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Contaminated Sites Closed (%)	16.2	20	14.3	13.6	13.6
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)	6.37	6.35	6.13	6.13	6.13
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	0	0	1	3	2
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 activities; 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	586.9	837.1	837.1
Total Funding	586.9	837.1	837.1
FTE Positions	2.6	5.2	5.2

◆ **Goal 1** To accelerate clean ups

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Contaminated Sites Closed (%)	81.8	80.5	84.3	84.3	84.3
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)	3.48	3.48	3.42	3.58	3.58
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	5	4	4	3	2
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	617.1	591.1	591.1
Total Funding	617.1	591.1	591.1
FTE Positions	1.0	1.0	1.0

◆ **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; negotiates settlements with potentially responsible parities; and develops evidence and data needed for cost recovery and settlement actions by the Attorney General's Office.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,652.4	1,770.7	1,770.7
Total Funding	1,652.4	1,770.7	1,770.7
FTE Positions	9.4	7.2	7.2

◆ Goal 1 To accelerate clean ups

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
No. of known, ongoing, and unauthorized impacts to public health or the environment.	4	3	5	4	3

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	5,881.0
Other Appropriated Funds	8,161.8	11,664.8	16,244.8
Other Non Appropriated Funds	14,773.4	15,757.3	15,757.3
Total Funding	22,935.2	27,422.1	37,883.1
FTE Positions	120.0	126.8	154.5

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	0.0	0.0	2,288.5		
Other Appropriated Funds	4,705.2	7,849.4	9,837.1		
Other Non Appropriated Funds	42.4	818.2	818.2		
Total Funding	4,747.6	8,667.6	12,943.8		
FTE Positions	26.0	27.0	35.7		
◆ Goal 1 To support environmentally responsible economic growth					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Compliance Rate (%)	72	80	78.2	83	83
Explanation: Percent of compliance at the time of inspection. The minimum goal is the agency goal.					
Return to Compliance Time (Days)	80.8	75	121.2	75	75
Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.					
Permit Lead Time (Days)	48	22	17.2	17.9	17.9
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
No. of known, ongoing, and unauthorized impacts to public health or the environment.	9	4	3	2	2
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:					
<i>To protect and enhance public health and the environment in Arizona.</i>					
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	0.0	0.0	1,042.5		
Other Appropriated Funds	1,312.4	562.7	1,334.2		
Other Non Appropriated Funds	1,950.4	2,516.7	2,516.7		
Total Funding	3,262.8	3,079.4	4,893.4		
FTE Positions	25.8	23.9	27.9		

◆ **Goal 1** To support environmentally responsible economic growth

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Compliance Rate (%) 73 88 92.5 88 88

Explanation: Percent of compliance at the time of inspection. The minimum goal is the agency goal.

Return to Compliance Time (Days) 66.9 53.8 180.1 50 50

Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.

Permit Lead Time (Days) 79.4 3 6.8 2.6 2.6

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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No. of known, ongoing, and unauthorized impacts to public health or the environment. 5 3 2 1 1

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	1,537.5
Other Appropriated Funds	170.6	1,202.2	2,340.0
Other Non Appropriated Funds	8,237.7	6,954.5	6,954.5
Total Funding	8,408.3	8,156.7	10,832.0
FTE Positions	24.6	35.4	43.4

◆ **Goal 1** To enhance Arizona's unique environment

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
No. of Net Individual Pollutant Impairments in Surface Water Bodies	253	223	174	170	170
No. of Net Impaired Surface Waters	180	170	107	101	101

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	1,012.5
Other Appropriated Funds	1,539.0	1,603.6	2,286.6
Other Non Appropriated Funds	4,542.9	5,446.7	5,446.7
Total Funding	6,081.9	7,050.3	8,745.8
FTE Positions	40.9	37.8	44.8

◆ **Goal 1** To support environmentally responsible economic growth

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Compliance Rate (%)	50	70	46.5	70	70
Return to Compliance Time (Days)	73.2	70	99.4	70	70
Permit Lead Time (Days)	18.4	15.2	23.2	15	15

Explanation: Percent of compliance at the time of inspection. The minimum goal is the agency goal.

Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Population served Healthy Drinking Water (%) 99 99 99 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, Fluoride, Lead, Copper, etc.)

No. of Net Drinking Water Systems Serving Drinking Water Not Meeting Federal Standards 39 30 29 24 20

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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No. of known, ongoing, and unauthorized impacts to public health or the environment 39 30 29 24 20

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	434.6	446.9	446.9
Other Non Appropriated Funds	0.0	21.2	21.2
Total Funding	434.6	468.1	468.1

FTE Positions

2.7 2.7 2.7

◆ **Goal 1** To support environmentally responsible economic growth

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Compliance Rate (%) 90 98 81.8 98 98

Explanation: Percent of compliance at the time of inspection. The minimum goal is the agency goal.

Return to Compliance Time (Days) 73.2 75 28.4 50 50

Explanation: The average time it takes facilities to return to compliance on individual compliance conditions.

Permit Lead Time (Days) 47.3 5.4 5.4 6.4 6.4

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.

Agency Summary: (\$ Thousands)

Program	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
➤ ECONOMIC OPPORTUNITY	8,411.7	12,954.9	13,104.9
➤ ARIZONA FINANCE AUTHORITY	221,532.8	152,003.9	140,003.9
Agency Total:	229,944.5	164,958.8	153,108.8

Funding:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	479.0	12,470.3	620.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	229,465.5	152,488.5	152,488.5
Total Funding	229,944.5	164,958.8	153,108.8
FTE Positions	44.0	44.0	45.7

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	44.0	44.0	44.0
General Fund	470.3	470.3	470.3
Other Appropriated Funds			
Non-Appropriated Funds	11,391.4	11,391.4	11,391.4
Federal Funds	34,017.2	34,017.2	34,017.2

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	479.0	470.3	620.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	7,932.7	12,484.6	12,484.6
Total Funding	8,411.7	12,954.9	13,104.9
FTE Positions	24.0	24.0	25.7

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Develop competitive analysis on the state's regulatory and tax structure.	6		NA	NA	na
Launch proof-of-concept project for AWEDS, initiate development of AWEDS Phase 1 by 6/30/20.	1		NA	NA	NA
Percentage of project to be completed.	0	75	75	100	0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Participate in the Census 2020 Count Review Program.	100		NA	NA	NA
Issue 4,000 new credentials/count of participants in FY2020.	1,038		na	NA	NA
Implement Maryvale-style partnerships in other communities.	0		na	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.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Develop report of workforce needs and emerging technologies by June 30, 2020.	50		NA	NA	NA

- ◆ **Goal 4** To increase the quality of industry-specific data in the Quarterly Census of Employment & Wages program.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Unclassified accounts classified.	0	22,000	21,481	22,000	0

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 with Laws 2016, Chapter 372.

This Program Contains the following Subprograms:

- ▶ Arizona Industrial Development Authority
- ▶ Water Infrastructure Finance Authority
- ▶ Greater Arizona Development Authority

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	12,000.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	221,532.8	140,003.9	140,003.9
Total Funding	221,532.8	152,003.9	140,003.9
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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1.5	1.5	1.5
Total Funding	1.5	1.5	1.5
FTE Positions	0.0	0.0	0.0

Subprogram Summary

WATER INFRASTRUCTURE FINANCE AUTHORITY

Daniel A. Dialessi, CFA, Executive Director

Phone: (602) 364-1314

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	12,000.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	221,506.5	139,977.6	139,977.6
Total Funding	221,506.5	139,977.6	139,977.6
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of projects that have corrected or prevented public health or environmental problems (including projects which address non-compliance and maintainance of compliance).	12	4	30	4	4

- ◆ **Goal 2** To maintain the fiscal integrity of the Funds administered by WIFA and ensure continuous enhancement for future generations.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of total available funds invested.	99	99	99	99	99

◆ **Goal 3** To effectively and efficiently deliver financial and technical assistance.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of weeks from Board action to circulate draft loan documents.	0.5	1.5	0.5	1.5	1.5
Average number of days for WIFA to process a disbursement request.	3.1	14	3.5	14	14

◆ **Goal 4** To market agency programs and advocate the importance of safe, reliable water through presentations, networking and outreach.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of conferences/outreach events attended/presented at per year.	14	4	30	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) 364-1314

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	24.8	24.8	24.8
Total Funding	24.8	24.8	24.8
FTE Positions	1.3	1.3	1.3

◆ **Goal 1** To increase development of public infrastructure projects.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	195.0	191.3	191.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	195.0	191.3	191.3
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	656.4	663.9	738.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	656.4	663.9	738.9
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. Funding must be obtained for the build of a new software application. At present, the SBOE is using year-end residues to fund the project. However, the heightened requirements for data protection and information security has caused the SBOE to anticipate software upgrades and server replacement in the very near future.

Issue 2 Information Security must be upgraded. This is a work in progress with the ever changing IT security requirements to protect all computer applications.

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 The Board has completed construction of a permanent hearing room in the capital Annex building at 400 W. Congress, Tucson, AZ. This project is 98% complete for FY 2020. Enhancements of the electrical wiring is expected to be completed in FY23.

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. Much of this logistics burden has been relieved and the dependency for use of personnel from a gratuitous agency to set up the rooms for hearings and returning files back to Phoenix has been minimized.

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	7.0	7.0	7.0
General Fund	663.9	663.9	663.9
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 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	90	100	75	100	0

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Cost per appeal (in dollars)	72	63	103	103	85

Explanation: Board member compensation is included in the cost per appeal.

Appeals received	2,184	2,900	2326	2150	2500
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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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Enhance training for staff members. This performance measure is for the percentage of staff members who have completed training.	75	100	80	100	0

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.	15	100	90	100	100
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Explanation: Maintain existing funding.

- ◆ **Goal 4** To Complete the processing of the Board's rules.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
An exception to the Governor's moratorium for 2020 was requested, however the time had expired for the Notice of Proposed Rulemaking. A new docket opening has been completed. The Board will continue to seek input for modifications to expired rules. This performance measure is a percentage of the project completion.	75	100	75	100	100

- ◆ **Goal 5** To obtain legislation that will reduce the number of unnecessary appeals.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	50	100	75	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,072.3	1,153.3	1,380.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	36.2	23.4	23.4
Total Funding	1,108.5	1,176.7	1,403.4
FTE Positions	14.5	14.5	16.5

5 Year Plan

Issue 1 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 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 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 4 Improve timeliness for Imminent Danger of Death (IDD) process

Description An inmate may apply for compassionate release if he or she is deemed within end of life in the next 4 months or less. These hearings require the Board to act quickly to ensure release before end of life.

Solutions:

Schedule all IDD hearings with 5 business days of receipt and transmit any recommendation to the Governor's office within 5 business days.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	14.5	14.5	14.5
General Fund	1,153.3	1,153.3	1,153.3
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	23.3	23.3	23.3
Federal Funds	0.0	0.0	0.0

◆ **Goal 1** To meet hearing timeframes in accordance with the law

◆ **Goal 2** To establish continuous board member training and development

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ INTERIM EVENTS	3,721.8	6,947.8	10,276.0
➤ STATE FAIR	157.5	8,349.7	8,863.1
Agency Total:	3,879.3	15,297.5	19,139.1
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Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	2,000.0	4,000.0
Other Appropriated Funds	3,879.3	13,297.5	15,139.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,879.3	15,297.5	19,139.1
FTE Positions	29.6	184.0	272.3

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

	FY2024 Estimate	FY2025 Estimate	FY2026 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

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	2,000.0	4,000.0
Other Appropriated Funds	3,721.8	4,947.8	6,276.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,721.8	6,947.8	10,276.0
FTE Positions	29.6	71.2	105.6

◆ **Goal 1** To increase the number of non-fair rental days.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Non-fair rental days over previous year	303	-242	317	-220	240
New promoters requesting space	12	6	1	4	5
Repeat promoters annually	27	32	18	27	31

◆ **Goal 2** To maximize the use of existing parking space.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Parking lot rentals	25	25	12	15	15
New strategic partners renting parking lots	4	1	1	1	3

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	157.5	8,349.7	8,863.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	157.5	8,349.7	8,863.1
FTE Positions	0.0	112.8	166.7

◆ **Goal 1** To develop partnerships with business, industry, community, and volunteer groups.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
New partners acquired	15	17	1	3	8
Exhibit space used by partners for business showcase (square feet)	55,000	85,000	91,000	10,000	30,000

◆ **Goal 2** To maximize all fair revenue sources.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
New revenue streams identified	6	4	1	1	1
New revenue received from alternative sources (in dollars)	228,000	100,000	1,000,000	2,000,000	100,000

◆ **Goal 3** To increase midweek fair attendance.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Increase Wednesday attendance.	-12,234	0	0	3,000	5,000
Fair attendance (in thousands)	1,263	1,225	0	100	100

◆ **Goal 4** To maximize the satisfaction of fair guests.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of guest service contacts	99	150	0	80	80
Improvements implemented	25	15	7	4	9

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	<u>657.4</u>	<u>840.0</u>	<u>840.0</u>
Total Funding	657.4	840.0	840.0
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 2021, the Board Investigator exceeded the Board's goal (96%) for the percentage of recommendations accepted at an expedited review. The very high acceptance rate (99.76%) makes Board meetings more efficient. The Board received 3,435 applications. This represents a 22.9% decrease in applications from FY 2020 (4,460), which was an all-time high for the Board. The Board continues to processes applications very efficiently and overall wait times for applicants continues to decline. The average number of days spent processing applications from receipt to expedited review decreased by more than one full day (7.19 days total), which represents a 15% decrease. For the second year straight year, the Board is in 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 (89.32%).

In upcoming fiscal years, the Board will continue to take steps to reduce the time for processing applications and continue to 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 improved its website in FY 2021, and will have its application processes available for submission online by FY 2022.

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. In addition, allowing for hearings by videoconference will enable those who have been affected by the Covid-19 pandemic to attend their hearing virtually helping to maintain the safety of all participants.

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.
- Update Board Rules to allow for testimony by telephone or electronic means.

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

	FY2024 Estimate	FY2025 Estimate	FY2026 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	750.0	750.0	750.0
Federal Funds	0.0	0.0	0.0

◆ **Goal 1** To make fair and consistent determinations on good-cause-exception applications.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of investigator recommendations for expedited reviews accepted.	99.95	96	99.76	96	96
Percent of applications approved.	98.62	96	98.20	96	96
Explanation: Excludes applications that are closed administratively.					
Percent of approvals by expedited review.	96.15	95	95.06	95	95
Percent of approvals by administrative hearing.	3.85	5	4.94	5	5

◆ **Goal 2** To provide applicants with timely decisions on their good-cause-exception applications.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of good-cause-exception applications received	4,460	3,400	3435	3500	3600
Number of applications disposed.	4,496	3,400	3529	3500	3600
Ratio of cases opened to cases closed.	1:1.01	1:1	1:1.03	1:1	1:1
Average number of days to disposition	19.20	30	20.50	30	30
Average number of days spent processing application.	13.68	20	14.19	20	20
Average number of days spent processing application from receipt to expedited review.	8.45	12	7.19	12	12
Average days from expedited review to hearing.	35.73	35	36.66	35	35
Average days from scheduled hearing to hearing decision/completion.	69.71	65	61.90	65	65
Percent of applications that undergo an expedited review within 20 days (processing time).	100	100	100	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of applications complete on initial submission.	91.18	85	89.32	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 cooperations 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.

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ STATE FORESTER	75,573.5	113,413.6	171,613.6
➤ EASTERN COUNTIES ENVIRONMENT GRANTS	250.0	250.0	250.0
➤ STATE FIRE MARSHAL	863.2	1,448.4	1,791.6
Agency Total:	76,686.7	115,112.0	173,655.2
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	15,219.0	53,769.4	112,312.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	61,467.7	61,342.6	61,342.6
Total Funding	76,686.7	115,112.0	173,655.2
FTE Positions	151.1	232.5	235.5

Department of Forestry & Fire Management

Fiscal Year 2022 Strategic Plan

Agency Director:
Strategic Planner:
Last modified:

David Tenney
Bill Boyd
6/1/2021

Vision: An Arizona whose diverse landscapes are healthy and whose people are protected from the theft of fire.

Mission: Foster, maintain, and enhance collaboration with partners, stakeholders, and cooperators' to: proactively promote the health and safety of Arizona' 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 of 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 and high priority forest restoration throughout Arizona. Implement the Healthy Forest Initiative program and increase effectiveness of the invasive plant program.

Promoting Public Safety: Increase overall compliance rates of facilities inspected by the Office of the State Fire Marshal (OSFM).

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 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Improve the Natural Environment	2019	Successfully engaged with the United States Forest Service (USFS) on Four Forest Restoration Initiative(4FRI) Request for Proposal development. Hazardous Fuels Reduction (HVR) program implemented in 2016 is now the HFI program. Increased acres treated 2017-2020. Invasive Plant Eradication fund and program created in 2020.
2	Promote Public Safety	2016	Kaizen blitz of Office of the State Fire Marshal (OSFM) has been implemented. Worked with ADCRR on addressing locking and fire safety issues at state correctional facilities, including scheduling for visits and for improvements to be made, as well as a joint training initiative.
3	Increase Fire Management Program Effectiveness and Efficiency	2018	Negotiations with the feds allow for more frequent invoicing. Completed basic cost share training for fire staff personnel. New fire invoice software identified and will be implemented for FY2022.
4	Maximize Agency Effectiveness and Efficiency	2016	DFFM started implementing Arizona Management System (AMS) in 2016 under previous leadership. Agency AMS Liaison with Government Transition Office appointed. Successfully implemented teleworking agency wide. Agency full reboot in process.
5	Hire, develop and retain an informed and engaged workforce	2019	HFI positions have been identified, positions descriptions in process. Employee Engagement Survey participation and positive response results increased and was above the state agency average.

Department of Forestry and Fire Management

Fiscal Year 2022 Strategic Plan

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Implementation of 4 Forest Restoration Initiative (4FRI) contract after award to treat 30-40,000 acres per year for 20 years.	Number of acres awarded under 4FRI Contract. Percentage of Milestones Completed	Influence the implementation and successful execution of 4FRI contract. Year three: Vendor Negotiations and Awarding of RFP; development and deployment of plan of prioritization and effectiveness.
1	Increase number of acres treated in priority areas for invasive plant treatment.	Dollars encumbered under grant program. Acres under agreement/plan in priority areas. Values at risk protected Dollars of non-state funding leveraged	Create multi-year state-funded invasive plant species eradication program. Year three: Implement strategic plan created in 2021.
1	Increase number of acres treated using the Healthy Forest Initiative (HFI) program.	Dollars encumbered under grant program. Acres Planned and Treated Values at risk protected. Good Neighbor Authority (GNA) Acres Treated/Planned % of HFI Milestones Completed (HFI Crews formed, Staff Hired, Vehicles Procured)	Enhance HFI program through leveraging federal and state funds to maximize acres treated. Utilize new SRP partnership to accomplish additional forest and watershed restoration on Forest Service land. Year one: HFI rolled out at 50% Develop annual action plan with ADCRR for inmate crew rollout and increase collaboration with other HFI relevant state agencies.
2	Increase the OSFM meeting the national fire code requirements relating to the organization and deployment of Code Enforcement, Plan Review, Investigation, and Public Education Operations. Implementation of 2018 Fire Code National Standards.	% of Fire Safety Inspections resulting in Fire Code Compliance on educational, public safety buildings, detention centers, healthcare, etc. % of On-time Fire Safety Inspections on educational, public safety, detention centers, healthcare facilities, etc.	Evaluation of minimum performance requirements regarding effectiveness and efficiency of the OSFM based upon an approved Community Risk Reduction (CRR) Plan. Year three: Conduct Community Risk Assessment (CRA); Establish a process to identify and analyze community risk that impact the services of the OSFM
3	Track local cooperator cost share obligations. Improve cost-share negotiations or outcomes Develop a Return-on-Investment model for values at risk protected vs Fire Suppression Dollars spent	Track cooperator's cost share on 100% of the fires within a cooperator's jurisdiction % of Milestones Completed on Time % of Milestones Completed on Time	Improve coordination and collaboration with partners for efficient response and use of resources. Design and implement a process for assessing the effectiveness of cost-share negotiations Establish actionable metrics. Year three: Collect data on costs share; Utilize aspects of Risk Management and Incident Business Management Practices, along with cooperation of partners
4	Increase % of staff trained in and utilizing AMS tools. Increase AMS Assessment Score	% of staff trained in and utilizing AMS tools. AMS Assessment Score	Automate our auditing functions by investing in a fire billing software that will improve the accuracy, timing, and speed of payments to our vendors. Increase the standardization of work products.
5	Fill new positions authorized in FY22 Budget Review of all DFFM Job Classifications and realignment of positions.	% of Authorized New Positions Filled % of Job Classifications Reviewed	Develop and implement recruiting strategies. Year One: Review and align DFFM job classifications.

5 Year Plan

Issue 1 Improving the natural environment.

Description Promote and assist in landscapescale and forest restoration throughout Arizona. Increase the effectiveness of our Healthy Forest Initiative 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.
- Implement the Healthy Forest Initiative. .

Issue 2 Promoting public safety.

Description Increase overall compliance rates of facilities inspected by the Office of the State Fire Marshal.

Solutions:

- Building inspection frequency and plan review requirements re-established.
- Community risk assessment, inspections based on code requirements.

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 cooperater 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.

Issue 5 Hire, develop and retain an informed and engaged workforce

Description Human resources engage the workforce with teleworking, while creating a training curriculum that is consistent.

Solutions:

Percentage of workforce participating and compliantce of teleworking.

Percentage of staff trained.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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

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 cooperations 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.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	14,105.8	52,071.0	110,271.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	<u>61,467.7</u>	<u>61,342.6</u>	<u>61,342.6</u>
Total Funding	75,573.5	113,413.6	171,613.6
FTE Positions	141.6	219.5	219.5

◆ **Goal 1** To improve the natural environment.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Acres under agreement/plan for the HVR program.	4,292	60,000	3843	2000	2000

◆ **Goal 2** To increase fire management program effectiveness and efficiency.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent of cooperator agreements with standardized equipment rates.	100	100	100	75	75

◆ **Goal 3** To maximize agency effectiveness and efficiency.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Increase AMS maturity score.	1.5	5.0	1.5	2.0	2.5

◆ **Goal 4** To hire, develop and retain an informed and engaged workforce.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
To increase the percentage of participation of agency employees	0	40	81	80	80

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 cooperations 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.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Maintain the percentage of funding appropriated for this purpose that passes through.	100	100	0	100	0

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 cooperations 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.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	863.2	1,448.4	1,791.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	863.2	1,448.4	1,791.6
FTE Positions	9.5	13.0	16.0

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 cooperations 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.

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	706.7	1,168.7	1,511.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	706.7	1,168.7	1,511.9
FTE Positions	8.7	12.0	15.0

◆ **Goal 1** To promote public safety.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of customer buildings compliant with the state fire code.	0	100	48.42	75	75

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 cooperations 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.

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	156.5	279.7	279.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	156.5	279.7	279.7
FTE Positions	0.8	1.0	1.0

◆ **Goal 1** To provide fire training.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Dollars (in thousands) passed thru to fire school.	100	100.0	100	100	0

Agency Summary

BOARD OF FUNERAL DIRECTORS AND EMBALMERS

Natasha Culbertson, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	362.4	402.8	552.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	362.4	402.8	552.1
FTE Positions	3.3	4.0	5.0

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 FY22.

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 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 programming 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 70% 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 including seeking necessary legislative change.

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	5.0	5.0	5.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	532.8	532.8	532.8
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
New Applications received	206	225	200	225	225
Licenses issued including renewals	1,854	1,875	1858	1875	1875
Applications denied	0	0	3	0	0
Average days to process license	30	30	60	60	60
Number of investigations	45	50	57	70	70
Number of inspections	69	75	84	75	75
Number of complaints received	45	50	57	80	80
Average number of days to investigate	95	120	136	130	130
Average number of days to renew license	1.7	1	15	10	10

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	69	75	84	75	75

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Complaints processed	45	50	57	80	80
Disciplinary actions taken	4	8	2	8	8
Completed establishment inspections	69	75	84	75	75
Number of complaints received	45	50	57	80	80
Average days to investigate complaint	95	120	136	130	130
Number of licenses	1,854	1,875	1858	1875	1875

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 Arizona's diverse wildlife resources and manage for safe, compatible outdoor recreation opportunities for current and future generations.

Description:

The Arizona Game and Fish Department (AZGFD) 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ CENTRAL ADMINISTRATIVE	18,881.7	23,133.3	23,133.3
➤ WILDLIFE CONSERVATION	76,340.6	94,607.7	96,098.1
➤ RECREATION	18,052.1	19,816.1	19,816.1
Agency Total:	113,274.4	137,557.1	139,047.5
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	42,818.4	46,791.7	48,282.1
Other Non Appropriated Funds	70,456.0	90,765.4	90,765.4
Total Funding	113,274.4	137,557.1	139,047.5
FTE Positions	617.2	702.1	702.1

Game and Fish Department

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Ty Gray
Ryan Babel
7/15/2021

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 and beginning to implement 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 continuing to promote and move services online and to develop 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	<p>PointGuard, an add-on product benefiting customers available during the hunt application process had over \$500K in sales.</p> <p>Created standard work for the process to expand efforts to build new public-private alliances.</p> <p>Launched two new revenue generating pilots that originated from employee solicited ideas.</p> <p>Partnership with private enterprise provided \$100K in improvements to the Ben Avery Shooting Facility.</p>
2	Manage Arizona's diverse wildlife resources and conserve their habitats	2017	<p>Over 90 unique wildlife translocation actions included Bighorn Sheep, 3 species of springsnails and 9 species listed as Threatened or Endangered.</p> <p>Since 2020, the Department, partners and volunteers have put over 2.4 million gallons of water on the ground for wildlife.</p>
3	Provide safe, ethical, responsible, and diverse outdoor recreational opportunities	2017	<p>Trout produced at Canyon Creek Hatchery increased to "supercatchable" 14 inches. Resulted in increased creel rates and customer satisfaction.</p> <p>Eradicated invasive New Zealand Mudsnaails from Page Springs Hatchery with a first of its kind treatment and study in a cold-water hatchery.</p>
4	Modernize technological infrastructure	2017	<p>All 84 Walmarts in the state transitioned to selling licenses online for customers.</p> <p>Early in FY21 the Department celebrated a year of online only hunt applications and continues to successfully provide this improved service.</p>

Game and Fish Department

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase Revenue	Discretionary Revenue	Retain revenue increases realized from recent efforts and continue to explore and expand upon areas to increase revenue from traditional and nontraditional sources.
		Revenue produced at Ben Avery Shooting Facility	Implement the Ben Avery Shooting Facility Business Plan for financial sustainability that includes new shooting and program opportunities, range enhancements and other products and services to better serve the public.
1	Build workforce capacity while increasing financial agility	Volunteer Value in dollars	Expand volunteer match supporting the Department's CMS Grant by increasing eligible hours through the use of technology & identification of opportunities previously not tracked.
2	Actively manage and conserve Arizona's wildlife	Number of sites for Wildlife Population Enhancement actions	Coordinate with the Fish and Wildlife Service to update the Department's Section 6 work plan & the Department's 10(a)(1)(A) permit and the Service's associated Biological Opinion.
		Number of Wildlife Waters Redeveloped	Implement new drought contingency plan for wildlife waters - prioritize waters for redevelopment and in need of remote water sensors, update the Department's wildlife water standards, streamline the sharing of information with cooperators, and develop future budget requests.
2	Habitat Conservation	Number of Acres of Habitat Improved	Apply for 5 external habitat grants from federal, state, or NGO partners.
3	Provide safe recreational opportunities	% of Hatchery Improvement Projects	Transition Bubbling Ponds Hatchery to include sportfish production. Complete Phase 1 budget request projects at Bubbling Ponds, Silver Creek, and Tonto Creek Hatcheries.
		Pounds of Sportfish Stocked	
		% of Boating Access Days	Finalize a list of access points impacted by drought in 2021/2022 and identify mitigation efforts that can be used to minimize the impact to the boating public.
		Number of Officer Field Days	Maintain a schedule of three recruitments per year.
3	Increase digital engagement across multiple platforms	Number Digitally Reached	Promote content bilingually through the Department's social media platforms such as live streams, videos, stories, Q&As, events, etc.
4	Develop the Wildlife Conservation System (Enterprise Resource Planning)	Number of third-party dealers providing online licenses to customers	Establish milestones for the process of communicating and transitioning remaining dealers selling paper licenses.

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. 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, development, and associated infrastructure can negatively impact 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 Ensure financial sustainability to fund critical work

Description The Department receives no General Fund tax dollars, 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. Recent events have increased some revenue sources and the Department is in a unique position to recruit, retain and reactivate customers and their associated discretionary dollars.

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.
- Encourage employee innovation and pilot and implement ideas with potential.
- Improve systems to enhance monitoring of budget and expenditures, and to ensure transparency.
- Modernize technological infrastructure to improve efficiencies in operations.
- When required, enforce the use of licenses, tags, watercraft registrations and 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 species 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 services online and decrease wait times for customers.
- Provide information and education regarding wildlife and recreation.

Issue 5 Effective Workforce

Description Implementation of the Department's Mission, values and competencies demands 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 engaged, highly productive workforce to accomplish Agency objectives.
- Increase volunteer opportunities by implementing recruitment, communication, and technology strategies to extend the mission and capacity of the Agency.
- Develop future leaders.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	623.0	623.0	623.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	48,282.1	48,282.1	48,282.1
Non-Appropriated Funds	37,603.7	37,603.7	37,603.7
Federal Funds	50,954.2	50,954.2	50,954.2

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	8,597.5	12,458.7	12,458.7
Other Non Appropriated Funds	10,284.2	10,674.6	10,674.6
Total Funding	18,881.7	23,133.3	23,133.3
FTE Positions	95.8	99.7	99.7

◆ **Goal 1** To ensure financial sustainability to fund critical work.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
To retain discretionary revenue increases from identified sources of 1.5 million dollars.	1,370,000	1,500,000	1,575,692	1,500,000	0
Expand value and contributions of volunteers. Eligible time used as dollar match, supporting the Department's Comprehensive Management System Grant.	0	0	0	1,189,000	1,189,000

◆ **Goal 2** To modernize technological infrastructure.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of third-party dealers transitioned to providing online licenses to customers.	0	100	36	70	0

Program Summary

WILDLIFE CONSERVATION

Clay Crowder, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	26,988.6	26,965.7	28,456.1
Other Non Appropriated Funds	49,352.0	67,642.0	67,642.0
Total Funding	76,340.6	94,607.7	96,098.1
FTE Positions	416.5	471.2	471.2

Subprogram Summary

WILDLIFE CONSERVATION

Clay Crowder, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	11,399.9	19,244.4	20,384.8
Other Non Appropriated Funds	11,930.8	17,658.3	17,658.3
Total Funding	23,330.7	36,902.7	38,043.1
FTE Positions	114.3	168.3	168.3

◆ **Goal 1** To actively manage and conserve Arizona's wildlife.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Number of sites for wildlife population enhancement actions	98	88	96	64	61
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Number of Wildlife Waters Redeveloped.	0	0	0	21	15
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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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	15,588.7	7,721.3	8,071.3
Other Non Appropriated Funds	37,421.2	49,983.7	49,983.7
Total Funding	53,009.9	57,705.0	58,055.0

FTE Positions

302.2

302.9

302.9

◆ **Goal 1** To perform habitat conservation.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Habitat improvement (Acres)	880,636	615,000	634,586	575,000	575,000
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Subprogram Summary

SPORTFISH PROGRAM

Julie Carter, 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 Aquatics 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 active wildlife conservation and safe recreational opportunities.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Complete 60% of identified hatchery improvement projects.	40	60	36	60	60

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	7,232.3	7,367.3	7,367.3
Other Non Appropriated Funds	10,819.8	12,448.8	12,448.8
Total Funding	18,052.1	19,816.1	19,816.1
FTE Positions	104.9	131.2	131.2

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1.4	102.7	102.7
Total Funding	1.4	102.7	102.7
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To provide safe recreational opportunities.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of days in the field Department Officers perform biological and law enforcement activities to enhance wildlife conservation and public safety	0	9,118	10,402	10,488	10,488
Increase digital reach to 1 million people each month for the Department's official social media channels.	0	0	0	1,000,000	2,000,000

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,251.9	3,030.1	3,030.1
Other Non Appropriated Funds	2,751.0	2,270.4	2,270.4
Total Funding	6,002.9	5,300.5	5,300.5
FTE Positions	36.7	36.0	36.0

◆ **Goal 1** To ensure financial sustainability to fund critical work and provide safe recreational opportunities.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Stock 750,000 pounds of sportfish.	674,000	750,000	738,403	750,000	750,000

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	261.7	230.1	230.1
Other Non Appropriated Funds	5,360.1	6,534.1	6,534.1
Total Funding	5,621.8	6,764.2	6,764.2
FTE Positions	35.9	51.5	51.5

- ◆ **Goal 1** To increase revenue and provide safe recreational opportunities.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
To increase revenue at the Ben Avery shooting facility	2,523,606	3,030,000	2,717,771	3,100,000	3,100,000

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,693.4	4,086.1	4,086.1
Other Non Appropriated Funds	1,074.6	1,574.1	1,574.1
Total Funding	4,768.0	5,660.2	5,660.2
FTE Positions	22.9	34.0	34.0

◆ **Goal 1** To provide safe recreational opportunities.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average percent of days that access to identified watercraft facilities are available to the public.	0	0	0	97	97

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	25.3	21.0	21.0
Other Non Appropriated Funds	1,632.7	1,967.5	1,967.5
Total Funding	1,658.0	1,988.5	1,988.5
FTE Positions	9.4	9.7	9.7

◆ **Goal 1** To increase revenue and provide safe recreational opportunities.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Increase dollars from non-resident Off-Highway Vehicle indicia sales by 10%.	72,156	75,000	77,718	85,490	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ENFORCEMENT	8,768.7	12,283.6	12,283.6
➤ CERTIFICATION	2,211.5	2,278.4	2,278.4
➤ DIVISION OF RACING	4,989.7	19,601.4	19,776.4
➤ BOXING	153.1	189.6	189.6
Agency Total:	16,123.0	34,353.0	34,528.0
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	2,509.5	15,759.5	15,759.5
Other Appropriated Funds	12,749.3	17,073.1	17,248.1
Other Non Appropriated Funds	864.2	1,520.4	1,520.4
Total Funding	16,123.0	34,353.0	34,528.0
FTE Positions	99.0	155.8	157.8

Department of Gaming

Fiscal Year 2022 Strategic Plan 2-Pager

Agency Director:
Strategic Planner:
Last modified:

Ted Vogt
Andrew Hawkes
07/30/2021

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 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 an amended AZ Tribal-State Gaming Compact and federal regulatory oversight of horse racing. 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	<ol style="list-style-type: none">1. Created the equine safety committee, started necropsy protocol, achieved 100% pre-race exams, implemented advanced protocol in FY20.2. Initiated racetrack substance abuse violation breakthrough project.3. Continued regulatory negotiation meetings to modernize the Compact.4. Awarded inaugural problem gambling grant in FY20, increasing youth awareness.
2	Strengthen Resource Network	FY19	<ol style="list-style-type: none">1. Increased problem gambling treatment options.2. Cultivated core strategic partners and proactively engaged in X meaningful collaborations in FY21.3. Increased trainings offered to stakeholders. In FY20, conducted 65 trainings reaching 2,037 attendees.4. Problem gambling treatment providers can now be trained and certified online.
3	Provide World-Class Customer Experience	FY15	<ol style="list-style-type: none">1. Completed several licensing/certification breakthrough projects resulting in significant lead time reductions.2. Streamlined Annual Compact Compliance Reviews.3. Completed Phase 1 (of 2) of E-Licensing project.4. Created real time self exclusion list in FY20.5. Developed and implemented new system for collecting customer feedback in FY21.
4	Increase Operational Effectiveness, Compliance, and Efficiency	FY19	<ol style="list-style-type: none">1. Implemented a significant # of documented process improvements, resulting in money, time, and resource savings.2. Conducted initial phase of Internal Compliance Review Program.3. Created and implemented process for remote gaming device certifications and compliance audits.4. Successfully transitioned and sustained 85% of the workforce to remote working environment.
5	Develop a World-Class Team	FY17	<ol style="list-style-type: none">1. Increased Employee Engagement score from 81% engagement in FY17 to 90% in FY20.2. Initiated an Employee Experience breakthrough project in FY21.

Department of Gaming

Fiscal Year 2022 Strategic Plan 2-Pager

Current Annual Focus

Strategy #	FY21 Annual Objectives	Objective Metrics	Annual Initiative
1	Increase fair and safe operation of gaming activities	# of substance abuse violations, % of racing rules project complete, problem gambling survey score	1) Continue racetrack substance abuse breakthrough project and continue implementing countermeasures. 2) Modernize racing rules aligning with new state and federal legislation as applicable.
1	Decrease racehorse fatalities	thoroughbred horse fatalities per 1,000 starts, % of pre-race exams observed	3) Continue racehorse fatality breakthrough project.
1	Establish regulatory system for event wagering and fantasy sports betting.	% of EW and FS rules project complete, Licensing lead times	4) Finalize and implement rules. 5) Standardize new licensing and inspection processes.
1	Emphasize and enhance problem gambling services in response to expanded gaming	% complete of Division of Problem Gambling (DPG's) Campaign project, # of members of the public reached, # of self exclusions, # of noncompliant issues, % complete of DPG Assessment	6) Run campaign to educate more Arizonans about DPG's services. 7) Conduct DPG assessment as required in Appendix M. 8) Help gaming facilities comply with new responsible gaming requirements outlined in Appendix M.
2	Bolster strategic partnerships	% complete of intern program project, Event Wagering and Fantasy Sports Stakeholder Survey Score	9) Create a formal intern program. 10) Establish monthly call with event wagering and fantasy sports contest franchises, operators, and vendors.
3	Expand online services to stakeholders	% of payment types online, % of self-exclusions performed online, % complete of Phase 2 e-licensing project, # of online DPG trainings complete, % of event wagering operators with real-time self-exclusion access	11) Add all remaining payment types to payment portal. 12) Complete Phase 2 of e-licensing project. 13) Create and publish Problem Gambling 101 training. 14) Integrate self-exclusion platform with event wagering operators.
4	Utilize multimedia to modernize agency operations	# of multimedia projects published	15) Hire Media Content Specialist to use multimedia to create external media content, improve employee engagement, and optimize department website and commission meetings.
4	Strengthen culture of continuous improvement	% of Coach the Coaches Project Complete	16) Develop internal "Coach the Coaches" training
4	Strengthen ADG's compliance and efficiency	% of ICR findings remedied. % of DPG database reports functional.	17) Resolve findings from FY21's Internal Compliance Review. 18) Improve the DPG database's reporting functionality.
5	Expand knowledge base of staff and enhance employee experience	Employee Experience Score	19) Complete Employee Experience Breakthrough Project.

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:

FY22 Initiatives:

- 1) Continue racetrack substance abuse breakthrough project and continue implementing countermeasures.
- 2) Modernize racing rules aligning with new state and federal legislation as applicable.
- 3) Continue racehorse fatality breakthrough project.
- 4) Finalize and implement rules.
- 5) Standardize new licensing and inspection processes.
- 6) Run campaign to educate more Arizonans about DPG's services.
- 7) Conduct DPG assessment as required in Appendix M.
- 8) Help gaming facilities comply with new responsible gaming requirements outlined in Appendix M.

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:

FY22 Initiatives:

- 9) Create a formal intern program.
- 10) Establish monthly call with event wagering and fantasy sports contest franchises, operators, and vendors.

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:

FY22 Initiatives:

- 11) Add all remaining payment types to payment portal.
- 12) Complete Phase 2 of e-licensing project.
- 13) Create and publish Problem Gambling 101 training.
- 14) Integrate self-exclusion platform with event wagering operators.

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:

FY22 Initiatives:

15) Hire Media Content Specialist to use multimedia to create external media content, improve employee engagement, and optimize department website and commission meetings.

16) Develop internal “Coach the Coaches” training

17) Resolve findings from FY21’s Internal Compliance Review.

18) Improve the DPG database’s reporting functionality.

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 positions filled well into the future.

Solutions:

FY22 Initiatives:

19) Complete Employee Experience Breakthrough Project.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	155.8	155.8	155.8
General Fund	0.0	0.0	0.0
Other Appropriated Funds	155.8	155.8	155.8
Non-Appropriated Funds	0.0	0.0	0.0
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	8,753.6	12,283.6	12,283.6
Other Non Appropriated Funds	15.1	0.0	0.0
Total Funding	8,768.7	12,283.6	12,283.6
FTE Positions	63.0	87.3	87.3

- ◆ **Goal 1** To ensure integrity of Gaming in Arizona.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
# of noncompliant issues identified by the Department.	223	150	75	150	200

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,211.5	2,278.4	2,278.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	2,211.5	2,278.4	2,278.4
FTE Positions	24.0	28.0	28.0

◆ **Goal 1** To improve services to stakeholders.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Lead time to issue temporary vendor certification	1.4	1.5	1.4	1.5	1.5
Lead Time to Issue New Employee Certification	12	12	12.3	12	12
Lead Time to Issue Renewal Employee Certification	12.8	12	12.4	12	12
Lead Time to Issue AB Vendor Certification	10	20	12.2	15	15
Lead Time to Issue D Vendor Certification	8.3	15	11.4	10	10
Lead Time to Issue AB Renewal Certification	9.3	15	9.4	10	10
Lead Time to Issue D Vendor Renewal Certification	6.8	15	10.3	10	10

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,509.5	15,759.5	15,759.5
Other Appropriated Funds	1,631.1	2,321.5	2,496.5
Other Non Appropriated Funds	849.1	1,520.4	1,520.4
Total Funding	4,989.7	19,601.4	19,776.4
FTE Positions	10.0	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,509.5	15,759.5	15,759.5
Other Appropriated Funds	1,631.1	2,321.5	2,496.5
Other Non Appropriated Funds	849.1	1,520.4	1,520.4
Total Funding	4,989.7	19,601.4	19,776.4
FTE Positions	10.0	38.5	40.5

◆ **Goal 1** To improve the regulation of Racing and Boxing/MMA Divisions.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Racing Licensing Lead Time	22	22	18.9	20	20
# of Racehorse Fatalities Per 1,000 Starts	2.1	2.0	2.3	2	2
% of Horses That Race That Receive a Pre-race Exam	100	100	100	100	100

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	153.1	189.6	189.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	153.1	189.6	189.6
FTE Positions	2.0	2.0	2.0

◆ **Goal 1** To improve the regulation of Racing and Boxing/MMA Divisions.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Boxing Events.	6	8	5	25	22
Number of MMA Events.	8	10	4	17	15

Agency Summary

DEPARTMENT OF HEALTH SERVICES

Don Herrington, Interim 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADMINISTRATION	20,807.4	22,049.8	23,586.0
➤ ARIZONA STATE HOSPITAL	75,619.3	76,823.9	75,125.9
➤ PUBLIC HEALTH SERVICES	777,832.1	823,733.3	724,187.4
Agency Total:	874,258.8	922,607.0	822,899.3
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	92,627.7	103,419.2	103,455.4
Other Appropriated Funds	63,361.5	60,939.0	58,801.4
Other Non Appropriated Funds	718,269.6	758,248.8	660,642.5
Total Funding	874,258.8	922,607.0	822,899.3
FTE Positions	1,444.8	1,444.8	1,444.8

Department of Health Services

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Cara M. Christ, MD
Carla Berg
07/26/2021

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	Developed and implemented Maternal Mortality Action Plan to support workforce capacity and system of care including launch of AIM safety bundles. Developed ACEs Action Plan with coordinated efforts in resiliency and public health partnerships to increase awareness of ACEs and health related outcomes.
2	Promote and Support Public Health and Safety	2016	Implemented GME and CME on Pain & Addiction Curriculum and launched MAT mentoring. Implemented statewide efforts to address Hepatitis A outbreak. Led state response to the COVID-19 pandemic including expansion of surveillance, testing, vaccination, contact tracing, systems and school support, and business compliance.
3	Improve Public Health Infrastructure	2017	Continued progress on implementation of ADHS Culture Plan with a focus on retention, development, communication, empowerment, and wellness. Engagement score has increased from 1.7 in 2012 to 5.3 in 2021. Continued retention and recruitment initiatives to reduce staff turnover. Initiated Mental Health First Aid infrastructure at ADHS with the first cohort of certified instructors.
4	Maximize Agency Effectiveness	2017	Continued strengthening of agency-wide AMS implementation. Implemented IT plan including cloud optimization , ensuring statewide security controls, and WIC Portal.
5	Implement the Arizona Health Improvement Plan (AzHIP)	2015	Continued progress on health priority action items led by ADHS. Established strategies and plan with Steering Committee and stakeholders for new 2021 - 2025 priorities and initiated Pandemic Recovery/Resiliency planning discussions.

Department of Health Services

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Establish agreements to improve health outcomes	1. Percent of Maternal Mortality Action Plan items completed on time 2. Maternal mortality rate	Create social media campaign content on prenatal care and warning signs. Pilot reminder system to improve prenatal and postpartum care visits. Develop CME course for emergency department staff on early warning signs and increase knowledge of clinical management of hypertension in pregnancy.
1	Support State Hospital as a Center of Psychiatric Excellence	1. ASH Performance Audit score	Staff education on current and upcoming requirements. Ongoing review of plans of correction developed from Audits to evaluate survey readiness and compliance.
1	Align services with needs of vulnerable populations	1. Percent of ADHS ACEs Action Plan items completed on time 2. Number of home visits completed	Enhance resilience and well-being through training of trauma-informed care, protective factors, and resources to support families. Characterize the data that leads to exposure of ACEs among Arizona's children.
2	Prepare for and respond to public health emergencies	1. Percent of COVID-19 recovery actions items completed on time	Implement recovery initiatives to consider and address impacts and lessons learned of the COVID-19 pandemic with a focus on health disparities.
2	Address public health risks	1. Percent of Immunizations Action Plan items completed on time 2. Percent increase in COVID-19 vaccination coverage in communities with highest social vulnerability index	Improve COVID-19 and childhood vaccination rates in Arizona through education campaigns and partnerships with local public health and community groups to offer school-based and community-located COVID-19 vaccination opportunities.
		1. Percent of Licensing facility high priority complaints investigated	Implement action items to improve response from initial complaint to disposition in licensing facilities.
2	Promote healthy and safe communities	1. Percent of STD Action Plan items completed on time 2. Percent of pregnant patients with syphilis with a completed public health interview	Improve access to STD screening, testing, and treatment. Increase the number and timeliness of syphilis investigations.
		1. ASH assault rate	Ongoing NVCI staff training, clinical intervention, behavioral and nursing care planning.
3	Enhance public health workforce	1. Percent of ADHS Culture Plan action items completed on time	Enhance investment in the agency workforce by increasing participation in wellness activities, empowering team members, improving personal and professional development, increasing recognition and improving retention, and improving communication.
		1. ASH staff turnover	Continue implementation of Retention and Recruitment plan.
4	Optimize agency resources	1. Percent of IT and Informatics plan action items completed on time	Advance several processes to more automated and electronic solutions and implement agency-wide solutions including the Master Patient Index and a Content Management System for the ADHS website.
5	Implement action items for high-impact strategies	1. Percent of AzHIP milestones completed on time	Begin implementation of new action items and communicate progress with partners and stakeholders for the 2021 - 2025 priorities: <ul style="list-style-type: none">● Health Equity● Health in All Policies / Social Determinants of Health● Mental Well-being● Rural & Urban Underserved Health● Pandemic Recovery & Resiliency

5 Year Plan

Issue 1 Improve health outcomes impacting the health and wellness of Arizonans

Description ADHS continuously monitors patterns and trends in the health status of Arizonans and leverages the State Health Assessment to identify successes and challenges related to health issues to then drive data for action. Strategic priorities for the 5-year plan then include areas of opportunity where the state experiences the greatest morbidity, mortality, and years of potential life lost.

Solutions:

Ensure agreements improve health outcomes:

- Reduce maternal mortality and morbidity

Identify and address emerging health issues:

- Reduce infant death
- Improve Arizona's ranking in the America's Health Ranking annual report
- Reduce STD rates in the state

Support the Arizona State Hospital as a Center of Psychiatric Excellence

- Meet 100% of items in compliance during performance audits

Align services with the needs of vulnerable populations

- Increase the number of home visits provided to support women's and children's health
- Reduce the number of adverse childhood experiences children are exposed to
- Increase the number of AHCCCS members enrolled in tobacco cessation services to reduce adult smoking rates

Issue 2 Promote and support public health and safety

Description ADHS ensures that the public health system of Arizona is prepared for public health emergencies, works to monitor, prevent, and control infectious diseases and environmental health concerns, improves health and well-being through education and health promotion, and advances policies impacting chronic disease risk factors. Within ADHS, the State Hospital promotes hope and wellness for our patients and creates opportunities to participate in planning, delivering, and evaluating services that assist with recovery.

Solutions:

Prepare for and respond to public health emergencies:

- Lead the COVID-19 public health response
- Receive reported pathogen case reporting on time
- Ensure employee response to after hours call downs
- Ensure all suspect EID cases are reported within the communicable disease surveillance system

Promote healthy relationships and non-violent behavior:

- Ensure all staff receive NVCI training
- Increase teen pregnancy prevention services provided and reduce teen birth rate
- Reduce the rate of assaults at ASH per 1,000 patient days

Address quality of care issues and public health risks:

- Receive newborn screening bloodspot cards on time
- Reduce the number of opioid deaths
- Increase the percentage of kindergarteners vaccinated with MMR
- Reduce licensing application office time for medical and residential facilities licensing
- Ensure long term care facility complaints are addressed

Promote healthy and safe communities:

- Improve nutrition, physical activity, and breastfeeding trainings are completed to increase the percent of adults at a healthy weight

Issue 3 Improve the public health infrastructure of Arizona

Description The ability to achieve health and wellness for all Arizonans requires sufficient capacity to address health issues through a strong public health infrastructure including funding and workforce capacity. ADHS is the statewide public health agency and has a variety of programs that contribute to the state's public health capacity, as well as partnerships that engage community resources to support state efforts. These efforts impact Arizonans throughout their lifespan and include:

- Controlling epidemics;
- Educating people on healthy habits, such as nutrition/eating and getting physical activity;
- Assisting people with tobacco cessation and disease self-management;
- Ensuring safe food and water;
- Testing virtually all newborns for metabolic disorders;
- Improving access to physical and behavioral health;
- Responding to public health emergencies;
- Monitoring hospitals, nursing homes, assisted living centers, ambulances, child care centers, & other licensed facilities and professionals; and
- Documenting every vital event in Arizona, including all births, deaths, and adoptions. ADHS also operates the Arizona State Hospital (ASH), which provides high acuity, inpatient psychiatric services to Arizona's most vulnerable residents. Three distinct facilities are operated on ASH's campus: civil, forensic, and the Arizona Community Protection and Treatment Center (ACPTC).

Solutions:

Build awareness of public health value:

-Implement the agency Communications Plan

Engage community partners:

-Complete the transition of the new 5-year Arizona Health Improvement Plan (AzHIP) 2021 - 2025

Enhance workforce development:

-Implement the agency Culture Plan and increase employee engagement
-Implement the agency retention and recruitment plans
-Reduce ASH turnover rate

Plan and implement the agency role in the health information exchange:

-Implement the IT Action Plan

Issue 4 Maximize Agency Effectiveness

Description By examining processes through a lens of continuous quality improvement and using strategic planning, ADHS seeks to methodically preserve a level of excellence in all agency endeavors. The agency provides services in an effective and efficient manner engaging with partners statewide to achieve results.

Solutions:

Improve coordination and consistency across programs:

-Implement the AzHIP priorities with a vision of healthy people, healthy communities

Leverage AMS to achieve results:

-Increase AMS maturity throughout all programs

Optimize agency resources:

-Increase the percent of labs reporting electronically
-Reduce the number of x-ray and non-ionizing facilities 90 days or less from inspection due date

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	10,246.4	10,747.7	12,283.9
Other Appropriated Funds	10,561.0	11,302.1	11,302.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	20,807.4	22,049.8	23,586.0
FTE Positions	125.0	125.0	125.0

◆ **Goal 1** To Improve Public Health Infrastructure

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of Culture Plan Action Items Completed	41	17	15	20	15

◆ **Goal 2** To Maximize Agency Effectiveness

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
IT Plan Action Items	28	32	25	30	26

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	72,134.4	71,290.3	71,290.3
Other Appropriated Funds	3,484.9	5,533.6	3,835.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	75,619.3	76,823.9	75,125.9
FTE Positions	653.8	653.8	653.8

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	72,134.4	71,290.3	71,290.3
Other Appropriated Funds	3,484.9	5,533.6	3,835.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	75,619.3	76,823.9	75,125.9
FTE Positions	653.8	653.8	653.8

◆ Goal 1 To Improve Health Outcomes

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
ASH Performance Audit Score	89.5%	100%	93	100%	100%

◆ **Goal 2** To Promote and Support Public Health and Safety

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Rate of Assaults per 1,000 Patient Days	7.03	4.14	7.68	4.14	4.14

◆ **Goal 3** To Improve Public Health Infrastructure

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Arizona State Hospital Turnover Rate	10.8	10	10.7	10	10

Program Summary

PUBLIC HEALTH SERVICES

Don Herrington, Interim 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	10,246.9	21,381.2	19,881.2
Other Appropriated Funds	49,315.6	44,103.3	43,663.7
Other Non Appropriated Funds	718,269.6	758,248.8	660,642.5
Total Funding	777,832.1	823,733.3	724,187.4
FTE Positions	666.0	666.0	666.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	6,091.8	12,659.4	11,159.4
Other Appropriated Funds	35,694.7	24,723.4	24,242.3
Other Non Appropriated Funds	718,269.6	758,248.8	660,642.5
Total Funding	760,056.1	795,631.6	696,044.2
FTE Positions	603.6	603.6	603.6

◆ Goal 1 To Promote and Support Public Health and Safety

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of Complaints Initiated On Time	5.9%	100%	50%	100%	100%

◆ Goal 2 To Improve Public Health Infrastructure

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Recruitment Plan Action Items Completed on Time	10	18	16	20	15

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	125.0	1,125.0	1,125.0
Other Appropriated Funds	1,000.0	2,500.0	2,500.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,125.0	3,625.0	3,625.0
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To Promote and Support Public Health and Safety

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Immunizations Plan Action Items	18	14	6	15	16
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	656.8	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	656.8	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	6,613.2	13,074.9	13,074.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	6,613.2	13,074.9	13,074.9
FTE Positions	23.9	23.9	23.9

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	407.4	590.7	590.7
Other Appropriated Funds	988.3	1,000.0	1,000.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,395.7	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Immunization rate among 2-year old children		0	0	0	0
Percent of infectious disease trainings provided to county health departments conducted on schedule.		0	0	0	0
Percent of diagnosed urgent infectious diseases reported to ADHS within legally mandated timeframes		0	0	0	0
Percent of communicable and infectious disease lab reports submitted electronically.	72%	90%	98%	100%	100%

◆ **Goal 2** To Promote and Support Public Health and Safety

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of Suspect Emerging Disease Cases Included in the Epidemiological Surveillance Program	100%	100%	100%	100%	100%
COVID-19 Response Action Items Completed On Time	0	25	10	12	12
Sexually Transmitted Disease Breakthrough Plan Action Items	31	9	9	13	15

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	132.7	198.0	198.0
Other Appropriated Funds	1,862.9	2,305.0	2,305.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,995.6	2,503.0	2,503.0
FTE Positions	35.5	35.5	35.5

◆ **Goal 1** To Implement Arizona Health Improvement Plan

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
AzHIP 2021-2025 Milestones Completed On Time	0	20	15	15	15

◆ **Goal 2** To Promote and Support Public Health and Safety

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Opioid Deaths	1,167	1,044	1359	1900	1900

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,833.2	3,818.1	3,818.1
Other Appropriated Funds	884.4	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,717.6	3,818.1	3,818.1
FTE Positions	3.0	3.0	3.0

◆ Goal 1 To Improve Health Outcomes

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Maternal Mortality Plan Action Items	42	27	16	18	18
Adverse Childhood Experiences Plan Action Items	30	26	5	10	10

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	355.9	400.0	400.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	355.9	400.0	400.0
FTE Positions	0.0	0.0	0.0

◆ Goal 1 To Implement Arizona Health Improvement Plan

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
AzHIP Milestones Completed On Time	0	20	15	15	15

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	2,000.0	2,000.0
Other Appropriated Funds	1,500.6	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,500.6	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	415.6	100.0	141.5
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	415.6	100.0	141.5
FTE Positions	0.0	0.0	0.0

◆ Goal 1 To Promote and Support Public Health and Safety

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Opioid Plan Action Items	42	21	21	23	23

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	11,309.8	16,393.0	16,393.0
Total Funding	11,309.8	16,393.0	16,393.0
FTE Positions	12.0	12.0	12.0

Governor's Office Of Highway Safety

Fiscal Year 2022 Strategic Plan

Agency Director:
Strategic Planner:
Last modified:

Alberto Gutier
Nicole Costanza
11/09/2021

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 develops and implements the 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 and serious injuries.

GOHS is strategically focused on highway safety issues including, but not limited to:

1. Reduce statewide traffic fatalities, crashes, and serious injuries
2. Decrease impaired driving crashes and fatalities
3. Decrease street racing, speed and reckless driving
4. Decrease pedestrian & bicyclists fatalities and injuries
5. Decrease motorcycle fatalities
6. Educating Arizona citizens on the importance of seat belt and child safety seat usage and the dangers of distracted driving
7. Decrease Wrong-Way Driving Incidents and Fatalities

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Increase Statewide DUI Training	2018	<ul style="list-style-type: none">• Continue expanding the tablet-based Drug Recognition Expert (DRE) database for Arizona• Implement new phlebotomy training with community colleges statewide• Completed 1,318 impaired driving training classes for 2020• Completed training for 6,536 officers at 90 law enforcement agencies, who issued a total of 6,535 electronic search warrants in 2020
2	Decrease Distracted Driving fatalities	2021	<ul style="list-style-type: none">• With A.R.S. 28-914 taking affect December 31st, 2020, implementing distracted driving awareness, law enforcement can issue citations
3	Increase Street Racing Taskforce	2020	<ul style="list-style-type: none">• Continuing to expand the street racing taskforce: Phoenix, Scottsdale, Glendale, Tempe, Tucson, Peoria and DPS
4	Increase motorcycle safety training, pedestrians and bicycles education and awareness	2019	<ul style="list-style-type: none">• Continue to educate the public on motorcycle, pedestrian and bicycle awareness through campaign with Cox media• Continuing to train the public on motorcycle safety through our partnership with AMSAF and other law enforcement agencies

Governor's Office Of Highway Safety

Fiscal Year 2022 Strategic Plan

Current Annual Focus

Strategy #	FY21 Annual Objectives	Objective Metrics	Annual Initiatives
#1	Reduce and Minimize Impaired Driving Fatalities	<ul style="list-style-type: none"> Number of DUI arrests Number of traffic stops Number of officers trained Number of KYL contacts 	<ul style="list-style-type: none"> 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), Drug Impairment Training for Education Professionals (DITEP) and Electronic Search Warrants
#2	Reduce Distracted Driving	<ul style="list-style-type: none"> Number of citations 	<ul style="list-style-type: none"> Increase number of citations issued for violation of A.R.S. 28-914 Increase education for drivers statewide with law enforcement and other non-profit agencies on distracted driving consequences
#3	Reduce Street Racing / Reduce Speeding, Aggressive and Reckless Driving	<ul style="list-style-type: none"> Number of citations 	<ul style="list-style-type: none"> Increase education on the dangers and risks associated with street and drag racing Continue compressive traffic enforcement, issuing citations of high profile street racers Continue the Speed Enforcement Task Forces statewide to decrease speeding related crashes and fatalities
#4	Reduce Motorcycle Fatalities	<ul style="list-style-type: none"> Percentage of fatalities 	<ul style="list-style-type: none"> Continue to provide motorcycle safety training scholarships (AMSAF) Continue motorcycle enforcement details, including split lane and speeding Continue motorcycle safety media campaign
#5	Decrease Unrestrained Driver and Passenger Fatalities	<ul style="list-style-type: none"> Annual seat belt rate Number of installations 	<ul style="list-style-type: none"> 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
#6	Reduce Pedestrian and Bicyclist Fatalities	<ul style="list-style-type: none"> Number of fatalities 	<ul style="list-style-type: none"> Increase citations issued in cities and counties that have jay walking ordinances Continue expanding bike rodeos and helmet use specifically for children
#7	Decrease Wrong-Way Driving Fatalities	<ul style="list-style-type: none"> Number of incidences Number of fatalities 	<ul style="list-style-type: none"> Increase enforcement by DPS and local agencies Enforce the new state rule on DUI

5 Year Plan

Issue 1 To minimize the number of traffic fatalities in 2023

Description In 2022 GOHS set a fatality goal of 986. Based on the trends in fatalities in 2021, the number for 2020 has been reduced to 968 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 and distracted driving, 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

	FY2024 Estimate	FY2025 Estimate	FY2026 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 decrease impaired driving crashes and fatalities.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Contracts for any type of alcohol-detection devices.	20	20	20	20	20
Agencies funded for DUI enforcement.	81	78	80	78	80
Officers receiving standardized field sobriety/horizontal gaze nystagmus/drug recognition expert/phlebotomy training. (Based on a federal fiscal year)	615	1,000	1015	1,200	1200
Alcohol-related fatalities (prior calendar year).	256	260	307	260	260

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	423	325	400
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- ◆ **Goal 2** To Identify reasons for increased serious traffic injuries

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Agencies participating in public information & education/enforcement projects.	20	20	20	20	20
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).	90.6	90.6	91	91	91

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	3,934	3,900	4003	3,900	3900
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◆ **Goal 3** To increase the efficiency and effectiveness of grants and programs promoting highway safety

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Agency FTE Count	13	13	11	12	12
Percent of Arizona Management System Adoption	0	0	0	0	0
Explanation: Metric is pending					
Number of Regrettable Attrition	0	0	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	60	60	60	60	60

◆ **Goal 4** To expand Electronic Search Warrants for Blood on DUI arrests

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Registered enforcement officers with access to E-Warrant data base Period covers SFY ending June 30th .	6,439	7,000	6599	7,500	7500

◆ **Goal 5** To minimize statewide traffic fatalities, crashes and serious injuries.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Default performance measure	0	0	10	10	10

Explanation: Update and followup with all Agency's on Enforcement Reporting

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 of 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	3,195.6	2,906.0	3,856.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	794.0	1,217.5	1,120.3
Total Funding	3,989.6	4,123.5	4,976.6
FTE Positions	41.5	41.5	44.5

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	46.3	46.3	46.3
General Fund	2,906.0	2,906.0	2,906.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	1,230.0	1,353.0	1,488.0
Federal Funds	0.0	0.0	0.0

- ◆ **Goal 1** To create a unified identity for the organization (Internal and External)

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of museum visitors and researchers	53,711	10,000	12,709	15,000	18,500
Explanation: Reduced visitation due to museum closures and limited hours.					
Number of volunteer hours	1,736	500	2,145	2,400	2,650
Explanation: Volunteer hours completed virtually or off-site.					

- ◆ **Goal 2** To enhance financial resources to advance our mission and ensure long-term sustainability and growth.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
increase earned various incomes	1,295,471	872,000	2,336,441	925,000	1,145,000

Explanation: FY21 reflects \$1.6 revenue from sale of donated property

- ◆ **Goal 3** To become the most trusted authority on Arizona history.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
improve collections accessibility	79,920	79,700	134,078	136,760	139,495
Explanation: Total of archival records and 3D artifact records available online					
Number of Journal of Arizona History downloads.	0	0	34,076	35,780	37,569

Explanation: Reflects the number of Jurnal of AZ History online downloads

- ◆ **Goal 4** To improve our ability to collect, preserve, interpret, and disseminate Arizona's history.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
improve quality of collections	80	220	131	170	200

Explanation: Number of non-relevant items deaccessioned

- ◆ **Goal 5** To attract audiences by creating transformative experiences through history.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Museum visitation	0	0	9,265	12,000	16,000

Explanation: FY21 visitation severely impacted by COVID museum closures

Agency Summary

PRESCOTT HISTORICAL SOCIETY

Lisa Hayes, 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. A 10,000 square foot Education Center, financed entirely by the non-profit Sharlot Hall Historical Society, was completed in the summer of 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	863.2	900.6	1,023.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	601.9	628.9	628.9
Total Funding	1,465.1	1,529.5	1,652.3
FTE Positions	11.0	11.0	12.0

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
- . Maximize the utilization of the new education facility 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 opportunities 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 provide 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 convert the West Wing of the Lawler Exhibit Center into permanent and changing exhibit galleries.
- ☒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 3 years, if not sooner, five 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	11.0	11.0	11.0
General Fund	1,000.0	1,100.0	1,200.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	600.0	600.0	600.0
Federal Funds	0.0	0.0	0.0

◆ **Goal 1** To increase museum visitation annually.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of people served (includes museum, festival, and theatre attendees; and researchers)	25,000	18,000	10000	20,000	25000
Percent of museum clients pleased with service	99	99	99	99	99
Number of volunteer hours	19,000	23,000	12000	25,000	28000
Explanation: Attendance was significantly impacted by Covid19 pandemic.					
Number of museum researchers	2,000	2,200	1000	2,400	2800
Explanation: Research opportunities were and are impacted by Covid19 pandemic					
Number of website unique visitors	475,000	480,000	350000	490,000	500000

◆ **Goal 2** To continue phased facility expansion and modification, bringing needed square footage for exhibits and other uses to support goal 1 above.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Capital campaign dollars raised to build new square footage (in thousands)	180,000	50,000	0	100,000	50000
Increase in number of dues-paying members	1,700	1,800	533	1800	1900

Explanation: Memberships impacted by Covid19 pandemic

◆ **Goal 3** To increase the private, non-state funding support for expansion and operations

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Dollars of supplemental non-state funds per annum in thousands	748	559	0	614	0

Explanation: FY 19 & 20 includes funds restricted for capital projects

Agency Summary

DEPARTMENT OF HOMELAND SECURITY

Tim Roemer, Director
Phone: (602) 542-7013
A.R.S. § 41-4252

Mission:

To 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.

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, as well as, driving best-in-class, enterprise-wide security solutions in an effort to ensure that all cybersecurity initiatives are coordinated and compliant.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	11,757.2
Other Non Appropriated Funds	23,574.4	29,280.0	29,280.0
Total Funding	23,574.4	29,280.0	41,037.2
FTE Positions	14.0	14.0	18.0

Department of Homeland Security

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
modified:

Tim Roemer
Terry Riordan
07/12/21

Vision:

To be the nationwide best practice for grant management and administration as well as a premier leader in cybersecurity 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, as well as, driving best-in-class, enterprise-wide security solutions in an effort to ensure that all cybersecurity initiatives are coordinated and compliant.

Executive Summary:

The focus of the Department for Fiscal Year 2022 will be: to comply with all grant guidelines including obligating funds within 45 days of receipt of the 2021 grant award and monitoring subrecipients to ensure their compliance with grant guidelines; assist in identifying resources that can be used and shared statewide to strengthen the ability to work together to address common threats and vulnerabilities across the state; enhance public safety, improve enterprise efficiencies, and enhance the overall cybersecurity, privacy, and resiliency of all data and systems throughout the State through statewide collaboration and leveraging partnerships.

The Department will develop and implement a telework program and increase efficiency by exploring automated systems, analyzing reimbursement data and engaging with stakeholders to minimize the amount of days to process completed reimbursements.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Effectively manage homeland security grant funds	2017	<ul style="list-style-type: none">Operation Stonewall Grants have funded 429,477 hours of law enforcement overtime, 150,254 vehicle stops, and 6,177 arrests, in an effort to secure our borderAZDOHS has monitored 996 subrecipient projects through site visits and desk reviews to ensure 100% compliance on grant awardsMonitoring 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	<ul style="list-style-type: none">Developed a cyber fraud investigation team with the Maricopa County Attorney's OfficeEstablished the Arizona Cyber Safety Speakers Bureau to provide community trainingConducted a Cyber Disruption Workshop for northern Arizona
3	Create a more efficient Department	2017	<ul style="list-style-type: none">Engaged our stakeholders on a 1-on-1 basis to ensure education and mentorship occursConducted stakeholder seminars to improve the reimbursement processConducted outreach and updated website to provide current policies and proceduresDecreased the AZDOHS average reimbursement processing time from 42 to 10.38 calendar days, in order to minimize stakeholder capital outlay (75% reduction)

Department of Homeland Security

Current Annual Focus

Fiscal Year 2022 Strategic Plan 2-pager

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
#1	Maintain compliance with federal grant guidance	Percent compliance with federal grant mandates Number of projects monitored	<ul style="list-style-type: none">• 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
#2	Maintain or improve the States' cybersecurity risk score	Retain statewide cybersecurity risk score of 725	<ul style="list-style-type: none">• Build the statewide capacity to defend against cyber attacks• Provide cybersecurity tools, incident response services and assessment capabilities to safeguard the networks and systems that support the essential operations of the State of Arizona
#3	Decrease or reduce days to reimburse stakeholders Increase the number or percentage of eligible telework hours	Average number of days to process completed reimbursement requests Percent of eligible telework hours	<ul style="list-style-type: none">• Continuously seek ways to improve our internal processes• Engage with stakeholders on a 1-on-1 basis• Continuously collect and analyze data to determine reasons for delays• Explore automated systems to enhance grant related processes• Develop and implement the telework program to include: establish eligibility criteria and schedules, update standard work, identify equipment needs, establish reporting and evaluation requirements, and design/redesign floor plans and functionality

5 Year Plan

Issue 1 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 20.0%. 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.

Issue 2 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 2020 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.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	30.0	30.0	30.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	4.5	4.5	4.5
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	31.5	31.5	31.5

- ◆ **Goal 1** To effectively manage homeland security grant funds

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Operation Stonegarden Vehicle Stops	106,187	100,000	150,254	150,000	150,000
Explanation: Total number of vehicle stops during Operation Stonegarden					
Operation Stonegarden Apprehensions	5,177	5,000	6,177	6,200	6,200
Explanation: Total number of illegal aliens turned over to Border Patrol during Operation Stonegarden					
Operation Stonegarden OT Hours	295,160	300,000	429,477	425,000	425,000
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Federal allocation compliance rate	100	100	100	100	100
Explanation: Results expressed as a percentage.					
Projects Monitored	213	225	253	250	250
Explanation: Total combined number of projects AZDOHS has monitored via site visits and desk reviews to ensure grant compliance					
Reimbursement Process Improvements	10.6	10	10.4	10.0	10.0
Explanation: Decrease the AZDOHS average reimbursement processing time from 42 to 28 calendar days to minimize stakeholder capital outlay					
Funding Reallocated	3,175,000	3,000,000	3,497,000	3,600,000	3,600,000
Explanation: Total amount of funding reallocated to prevent funds from reverting back to the Federal government					
Projects Reallocated	71	70	65	70	70
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
# of Agency FTE Count	16	16	14	30	30
Explanation: Number of active employees in HRIS (excluding board and commission members, interns, volunteers, and “pool” positions)					
# of Regrettable Attrition	0	0	0	2	2
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	0	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)"					
To Maintain or Improve the States' cybersecurity risk score	0	0	725	725	725
Explanation: Maintain or Improve the States' cubersecurity risk score					
Phishing Click Rate	0	0	0	6	6
Explanation: Number Expressed in a Percentage					

Agency Summary

ARIZONA DEPARTMENT OF HOUSING

Tom Simplot, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	332.5	320.9	320.9
Other Non Appropriated Funds	131,611.8	274,601.8	253,601.8
Total Funding	131,944.3	274,922.7	253,922.7
FTE Positions	77.0	77.0	77.0

Department of Housing

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Tom Simplot
Cindy Stotler
07/15/2021

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 focus for FY22 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	<ul style="list-style-type: none">Exceeded annual goal, producing 2,336 new rental units. The number of units financed with 4% LIHTC increased by 71.5% over FY 2020 (1,268 of the total 2,336 units).Assisted 1,373 homebuyers with down payment and closing cost assistance of \$23M restoring market balance within underperforming zip codes.
2	Reduce Homelessness	2021	<ul style="list-style-type: none">Housed 319 households experiencing homelessness through the Rapid Rehousing Program.Prevented 852 Households from being evicted through continuing Phase II of the Eviction Prevention Program.Expanded shelter opportunities by providing funding for US Vets, CASS, CPLC, Saint Vincent de PaulEstablished relationships with shelter and housing providers and began weekly roundtables to discuss issues and gaps in homelessness services.Assisted Balance of State Continuum of Care (CoC) with HUD Emergency Housing Voucher implementation statewide.Entered into MOU with Yavapai CoC to house 46 homeless families.
3	Improve low income communities	2018	<ul style="list-style-type: none">Improved outreach and engagement with low-income communities by delivering over \$9 million in CDBG funding to 36 projects for infrastructure improvements, housing rehab, community facilities, and public services2021 LIHTC – funded 8 rural projects with 907 units934 Weatherization units were completed100% lease-up of regular Housing Choice Vouchers in Yavapai County FY2021.
4	Enhance agency practices to align with business needs	2020	<ul style="list-style-type: none">New permitting system selected and contracted, system designed to streamline permitting and inspection processes and improve reporting and tracking.Agency continued teleworking and seeking outsourcing opportunities to reduce staffing and footprint.

Department of Housing

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy

FY22 Annual Objectives

Objective Metrics

Annual Initiatives

Strategy	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1.	<ul style="list-style-type: none"> Produce more affordable housing units in both urban and rural communities 	<ul style="list-style-type: none"> Number of urban and rural affordable housing units developed % increase in units funded over prior year 	<ul style="list-style-type: none"> Streamline the application review process and the Qualified Action Plan (QAP) for all stakeholders. Conduct focus groups to enhance stakeholder engagement well in advance of public hearings related to the QAP. Utilize all funding sources, including the new State LIHTC Program, to increase financing for the production of at least 50% more new affordable rental units than previous year. Increase partner engagement and seek creative opportunities to increase housing development Statewide.
2.	<ul style="list-style-type: none"> Re-envision the homelessness breakthrough project 	<ul style="list-style-type: none"> % increase in shelter/transitional housing units % increase in homeless persons placed in regional shelter or transitional housing outside the Human Services Campus 	<ul style="list-style-type: none"> Convene State agencies, form a leadership group, and determine goals for Homelessness Breakthrough. Create goal-driven subcommittees with appropriate State agencies, local jurisdictions, service providers, and community organizations. Improve Statewide communication and coordination of homeless services Work with other State Agencies to create supportive housing for SMI population. Implement Breakthrough goals and increase regional shelter/transitional housing units.
	<ul style="list-style-type: none"> Re-house homeless persons through the Rapid Rehousing Program 	<ul style="list-style-type: none"> Number of households assisted Ave number of days to house homeless persons with RRH assistance 	<ul style="list-style-type: none"> Continue financial assistance to organizations managing Rapid Rehousing Programs. Analyze target populations being served and implement a focused effort of getting people experiencing homelessness into permanent housing within as close to 30 days as possible.
	<ul style="list-style-type: none"> Aid inmates leaving state prison with short term housing solutions to reduce recidivism 	<ul style="list-style-type: none"> Number of offenders receiving housing assistance each month % of eligible offenders participating in pilot. 	<ul style="list-style-type: none"> Continue financial assistance pilot at Lewis Prison's Eagle Point Second Chance Center. Track program data prepared by ASU to analyze major findings, recommendations and lessons learned to improve program outcomes. Reorganize and collaborate with partners as needed.
	<ul style="list-style-type: none"> Effectively utilize Federal Homeowner Assistance Funding to prevent homelessness 	<ul style="list-style-type: none"> Number of households assisted % of eligible households submitting applications Number of foreclosures prevented 	<ul style="list-style-type: none"> Outsource program to provide homeowner assistance with mortgage and utility payments quickly and efficiently to prevent foreclosures. Conduct a Needs Assessment to effectively serve constituents and target outreach.
3.	<ul style="list-style-type: none"> Ensure investment of federal funding into AZ low-to moderate income rural communities 	<ul style="list-style-type: none"> % of CDBG awards to rural projects % of rural housing projects funded with LIHTC & HTF 	<ul style="list-style-type: none"> Ensure at least 50% of CDBG funding is awarded to rural projects in low to moderate income communities. Ensure at least 25% of LIHTC and Housing Trust Funds are awarded to rural projects in low to moderate income communities.
	<ul style="list-style-type: none"> Continue providing rehabilitation and weatherization to preserve & improve aging housing stock 	<ul style="list-style-type: none"> Number of sub-standard owner-occupied housing units rehabilitated 	<ul style="list-style-type: none"> Focus efforts on providing assistance to priority populations and aging mobile/modular homes. Procure new weatherization database to improve construction work flow and tracking.
4.	<ul style="list-style-type: none"> Enhance the agency's permitting system to streamline plan review and improve customer service Improve statewide permit and inspection reporting Reduce the number of installation inspections per permit 	<ul style="list-style-type: none"> Number of permit applications Average days for plan review completion. 	<ul style="list-style-type: none"> Salesforce solution selected and awarded contract. Implementation goal is October 2021. Provide online and realtime project status. Implement electronic plan review. Provide system access to authorized jurisdictions under inspection agreements for realtime tracking.
		<ul style="list-style-type: none"> Average number of installation inspections per permit Average time between permit and final inspection approval. 	<ul style="list-style-type: none"> Continue to collaborate with local jurisdictions to ensure installation inspection uniformity across the state. Continue to provide training on standardized procedures as needed for new installation inspection partners. Provide technical assistance to authorized jurisdictions under an inspection agreement with excessive permit and inspection turnaround time.
		<ul style="list-style-type: none"> Standardize telework assignments 	<ul style="list-style-type: none"> Review space needs in light of telework and outsourcing of Federal programs.

5 Year Plan

Issue 1 Enhance agency practices to align with business needs

Description The Department must modernize systems and adapt to a changing workplace. In a post-pandemic era, teleworking is predominant, staff and customers expect online access, electronic processes, and real time reports available 24/7. Systems need to be highly functional and the need for assigned office space is dwindling as staff is more mobile and their days physically in the office are shrinking.

The Manufactured Housing division of the Arizona Department of Housing is a fee-based regulatory function. It currently utilizes an antiquated set of desktop and web applications for providing numerous public services to its fee-paying customers. Implementing a modern software system for plan review, permitting, and inspections will provide fee paying customers with better customer service, including faster plan review, real time inspection results, and real time permit tracking statewide.

Solutions:

The Department has two Manufactured Housing strategy areas and one agency-wide strategy to enhance agency practices:

Enhance the agency's permitting system to streamline plan review and improve customer service, improve statewide permit and inspection reporting: (1) Salesforce permitting solution is selected and awarded a contract, implementation goal is October 2021; (2) provide online and real time project status; (3) implement electronic plan review; (4) provide system access to authorized jurisdictions under inspection agreements for real time tracking.

Reduce the number of installation inspections per permit: (1) continue to collaborate with local jurisdictions to ensure installation uniformity across the state; (2) continue to provide training on standardized procedures as needed for new installation inspection partners; and (3) provide technical assistance to authorized jurisdictions under an inspection agreement with excessive permit and inspection turnaround time.

Right size the footprint and space needs for ADOH: (1) review space needs in light of telework and outsourcing of Federal programs.

Issue 2 Increase affordable housing opportunities

Description The Department will focus efforts and funding on producing affordable housing units in both urban and rural areas of the State. Since the early 2000's housing production has not kept up with Arizona's strong population growth. We currently estimate a housing shortage of over 250,000 units Statewide. The overall housing shortage in Arizona is driving up rental and home prices, making housing unaffordable for many longtime Arizona residents. Most low income households are so cost burdened that one unexpected bill or cut in work hours can cause them to lose their housing and become homeless. The State is also seeing an increase in persons experiencing homelessness. The housing shortage makes it very difficult to find available housing for homeless persons, even with rental assistance like Rapid Rehousing and Section 8 Housing Choice Vouchers. Fast growing metro areas in the State are also seeing land and construction costs rising, making it very difficult to finance affordable housing. Innovative and collaborative strategies involving both the public and private sector are needed to dramatically increase affordable housing in the State.

Solutions:

The Department's strategies to increase affordable housing opportunities include: (1) streamlining the application review process and the Qualified Allocation Plan (QAP) for all stakeholders; (2) conducting focus groups to enhance stakeholder engagement well in advance of public hearings related to the QAP; (3) utilizing all funding sources, including the new State LIHTC Program, to increase financing for the production of at least 50% more new affordable rental units than the previous year; and (4) increasing partner engagement and seeking create opportunities to increase housing development statewide.

Issue 3 Reduce homelessness

Description The Department will coordinate efforts to reduce homelessness by working with other public and private partners and making resources available to avoid evictions and foreclosures, increase shelter capacity, and re-house the homeless. Homeless numbers are growing in the State while shelter and housing units are scarce. The unsheltered homeless grew by 18% from 2019 to 2020, increasing at a higher rate than the sheltered and overall homeless count. The most current Point-In-Time count showed approximately 9,700 unsheltered homeless across the State. Income loss from the 2020 Pandemic increased homelessness, put extra pressure on service providers, and exposed many shortcomings in housing and homeless policies. However, Federal CARES Act funding to isolate and care for infected residents and mitigate the spread of COVID 19 resulted in some innovative housing models. Those models can be used to quickly create additional shelter and transitional housing units with a greater success rate of housing stability.

During the 2020 Pandemic, many renters and homeowners struggled to pay for housing and utilities. Federal programs assisted residents with rent and utility costs and, in 2021, the American Rescue Plan Act created a Homeowner Assistance Fund (HAF) to help struggling homeowners. The challenge with federal assistance programs is to get the funding to the residents before they experience evictions or foreclosures that make them at-risk for homelessness. The Department will utilize past experience, National best practices, and an online application and payment program to implement the HAF Program. The HAF Program goal is to prevent foreclosure by quickly and efficiently disbursing the funds to struggling low income homeowners.

The Department will also continue to support successful ongoing programs and partnerships such as Rapid ReHousing and Re-Entry Housing. The Department will continue 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.

In order for Arizona to make progress it will take a coordinated effort. The Department is actively cultivating partnerships and increasing communication and collaboration among service providers to effectively leverage the \$2.6 billion in federal funding flowing into the state via the American Rescue Plan Act.

Solutions:

The Department is taking a multi-pronged approach, starting with a renewed commitment to the Statewide Homeless Breakthrough Project.

Re-envision the homelessness breakthrough project: (1) convene State agencies, form a leadership group, and determine goals for Homelessness Breakthrough; (2) Create goal-driven subcommittees with appropriate State agencies, local jurisdictions, service providers, and community organizations; (3) Improve Statewide communication and coordination of homeless services; (4) Work with other State Agencies to create supportive housing for the seriously mentally ill population; and (5) implement Breakthrough goals and increase regional shelter/transitional housing units.

Re-house homeless persons through the Rapid Rehousing Program: (1) continue financial assistance to organizations managing Rapid Rehousing Programs and (2) analyze target populations being served and implement a focused effort of getting people experiencing homelessness into permanent housing within as close to 30 days as possible.

Aid inmates leaving state prison with short term housing solutions to reduce recidivism: (1) continue financial assistance pilot at Lewis Prison's Eagle Point Second Chance Center and (2) track program data prepared by ASU to analyze major findings, recommendations, and lessons learned to improve program outcomes. Reorganize and collaborate with partners as needed.

Effectively utilize Federal Homeowner Assistance Funding to prevent homelessness: (1) outsource program to provide homeowner assistance with mortgage and utility payments quickly and efficiently to prevent foreclosures and (2) conduct a needs assessment to effectively serve constituents and target outreach.

Issue 4 Improve low income 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 and rehabilitation of sustainable, energy-efficient, accessible affordable housing; working with rural cities and counties to make good and timely investments in community development and revitalization through federal resources; and effectively utilizing our Housing Choice Vouchers in Yavapai County.

The Department will increase efforts to target its resources to ensure equity in funding and opportunity for rural and minority communities. Activities that are financed through Department resources that create better living environments include: 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; and improved infrastructure and community facilities in Arizona's 13 rural counties.

Solutions:

The Department has two focus areas to improve low income communities:

Ensure investment of federal funding into Arizona low to moderate income rural communities: (1) ensure at least 50% of CDBG funding is awarded to rural projects in low to moderate income communities and (2) ensure at least 25% of LIHTC and Housing Trust Funds are awarded to rural projects in low to moderate income communities.

Continue to provide rehabilitation and weatherization to preserve and improve aging housing stock: (1) focus efforts on providing assistance to priority populations and aging mobile/modular homes and (2) procure new weatherization database to improve construction work flow and tracking.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	77.0	77.0	77.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	322.2	322.2	322.2
Non-Appropriated Funds	33,300.0	33,300.0	33,300.0
Federal Funds	105,600.0	105,600.0	105,600.0

◆ **Goal 1** To Increase Affordable Housing Opportunities

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of low-income rental units funded annually.	1,849	1,850	2,372	3,558	3,558
% increase in units funded over prior year	0	0	n/a	50	50

◆ **Goal 2** To Reduce Homelessness

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
% increase in shelter/transitional housing units	0	0	n/a	25	25
% increase in homeless persons placed in regional shelter or transitional housing outside the Human Services Campus	0	0	n/a	25	25
Number of households assisted	0	0	n/a	324	324
Average number of days to house homeless persons with RRH assistance	0	0	n/a	45	45
Number of offenders receiving housing assistance each month	0	0	n/a	15	15
% of eligible offenders participating in pilot.	0	0	n/a	75	75
Number of households assisted	0	0	n/a	3600	3600
% of eligible households submitting applications	0	0	n/a	91	91
Number of foreclosures prevented	0	0	n/a	2224	2224

◆ **Goal 3** To Improve Low Income Communities

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
% of CDBG awards to rural projects	0	0	n/a	50	50
% of rural housing projects funded with LIHTC & HTF	0	0	n/a	25	25
Number of sub-standard owner-occupied housing units rehabilitated	0	0	n/a	750	750

◆ **Goal 4** To Enhance Agency Practices to Align with Business Needs

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of permit applications	0	0	n/a	1800	1800
Average days for plan review completion	0	0	n/a	30	30
Average number of installation inspections per permit	0	0	n/a	3	3
Average time between permit and final inspection approval	0	0	n/a	135	135

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	500.0	7,900.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	500.0	7,900.0	0.0
FTE Positions	3.0	6.0	6.0

Agency Summary

INDUSTRIAL COMMISSION OF ARIZONA

James Ashley, Director
 Phone: (602) 542-4411
 A.R.S. § 23-108.01

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.

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 labor. The ICA also provides workers' compensation benefits to claimants of uninsured employers and bankrupt self-insured employers.

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADMINISTRATIVE SERVICES	5,368.0	5,851.1	5,851.1
➤ WORKERS COMPENSATION CLAIMS ASSURANCE	2,520.2	2,809.0	2,809.0
➤ ADJUDICATION OF DISPUTES	4,356.9	4,539.3	4,539.3
➤ LABOR LAW ADMINISTRATION	1,250.2	1,330.3	1,330.3
➤ OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION	7,470.1	6,537.7	6,537.7
➤ SPECIAL FUND CLAIMS PROCESSING	17,353.3	15,704.6	15,704.6
➤ LEGAL COUNSEL	1,337.3	1,358.1	1,358.1
➤ MUNICIPAL FIREFIGHTERS CANCER REIMBURSEMENT PROGRAM	0.0	95.0	15,080.0
Agency Total:	39,656.0	38,225.1	53,210.1

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	95.0	80.0
Other Appropriated Funds	19,598.3	20,122.0	20,122.0
Other Non Appropriated Funds	20,057.7	18,008.1	33,008.1
Total Funding	39,656.0	38,225.1	53,210.1
FTE Positions	215.0	216.0	216.0

Industrial Commission of Arizona

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

James Ashley
Jason Porter
07/14/2021

Vision: To be 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 labor. The ICA also provides workers' compensation benefits to claimants of uninsured employers and bankrupt self-insured employers.

Executive Summary: With core missions to protect and assist workers both before and after a workplace injury, to collaboratively work with employers and employees to promote workplace safety and health, and to efficiently resolve labor-related complaints, the ICA's 2022 strategic plan is focused on proactive, collaborative workplace safety; continually-improved customer service, operations, and technology; and an engaged, high-performing workforce.

The ICA will continue to: (1) expand the reach and impact of the Arizona Division of Occupational Safety and Health ("ADOSH") in an effort to eliminate hazards before injuries occur; (2) improve the operational efficiency of the ADOSH Whistleblower Unit and Labor Department; and (3) use appropriate tools to reduce the volume of workers' compensation litigation in the Special Fund and ALJ Divisions.

The ICA's foundation of IT solutions has been expanded to include multiple state-of-the-art Salesforce platforms, community portals, and online services – better serving stakeholders and ICA staff. Continued efforts will focus on leveraging technology to improve manual, paper-based processes in the ADOSH & Accounting Divisions; enhancing virtual services; and increasing efficiency of ICA staff.

Finally, significant progress has been made to develop a high-performing, engaged workforce. Continued efforts will focus on building employee skills and morale through effective Gemba Walks, continued development of standard work, and improved employee training.

Summary of Multi-Year Strategic Priorities			
#	Five Year Strategy	Start Year	Progress / Successes
1	Model State for Worker Safety and Health	2018	<ul style="list-style-type: none">FY18-21: Construction/high-hazard consultation visits increasing (FY18-530 visits; FY19-753; FY20-866; FY21-1,067)FY18-21: Safety & health partnerships increasing (FY21-162)FY19-21: Statewide work-related injuries decreasing (FY19 : ~168 (notified claims/100,000 workers/month); FY20: ~154, FY21: ~156)FY20: Voluntary Protection Program (VPP) recognition in PhoenixCY17-19: Opioid use in workers' compensation decreasing (CY17-35% claims with at least 1 opioid Rx; CY18-28%; CY19-22%)FY20: Average abatement time reduced to under 9 daysFY20-21: 27,060 employees trained by ADOSH; 6,941 hazards abated; 48,376 employees benefited from ADOSH Consultation
2	Operational Excellence Through Continuous Improvement	2018	<ul style="list-style-type: none">FY18-21: 11 strategic/operational breakthroughs achieved (construction visits, electronic records, Special Fund processing, earned paid sick time ("EPST") time limit, EPST avg. pending time, faster pay, Special Fund audit, full & final/noncompensable settlements, ALJ alternative dispute resolution ("ADR"), notification backlog, supervisory reviews)FY18-21: Successfully deployed 100% of AMS elements with a maturity score of 3.78 (FY20) and 3.8 (FY21)FY21: Eliminated Labor Dept. backlogs in Payment Compliance, Youth Labor, Minimum Wage, and EPST programs
3	Efficient Customer Service Through Wise Use of Technology	2018	<ul style="list-style-type: none">FY19-21: Launched and stabilized Salesforce-based Claims/Administrative Law Judge ("ALJ") computer system w/ enhanced customer portal (stakeholder usage increasing)FY19: Launched Salesforce-based Legal case management systemFY20: ICA website redesign; online payment portal launched; & Accounting document control system deployedFY20-21: Launched Salesforce-based systems in the Labor Dept., ADOSH Compliance/Whistleblower Unit, & Accounting Division; completed statewide Cloud First Initiative
4	High Performing and Agile Workforce	2018	<ul style="list-style-type: none">FY19-20: Increased professional development by over 100%FY19: Developed skill matrices for all agency positionsFY19-21: Increasing development of standard work (FY19 -207 standard work documents published; FY20-226, FY21-223)FY20-21: Updated agency Continuity of Operations Plan; completed agency succession planning; virtual Huddle Boards deployed; divisional onboarding standard work completed
5	Reduce Volume of Workers' Compensation Litigation (Without Impacting Due Process)	2020	<ul style="list-style-type: none">FY18-21: Full & Final settlements increasing (FY18/19-303 settlement approved; FY20-391; FY21-628)FY19: Adopted complete evidence-based treatment guidelinesFY19-20: Number of employers obtaining insurance as a result of ICA efforts increasing (FY19-510; FY20-678, FY21-751)FY18-21: Increased Special Fund settlements (359 total)FY20-21: 1,095 adjusters completed Claims training programFY20-21: Approximately 3 in 10 ALJ cases resulting in settlementFY21: 269 ALJ ADR sessions conducted (87 matters resolved)

Industrial Commission of Arizona

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Expand the reach and impact of ADOSH programs on Arizona's employers and employees	<ul style="list-style-type: none"> # of participants in ADOSH partnership programs # of high-hazard consultation visits Average Compliance lapse time (in days) % of Tucson VPP milestones completed # of employees trained # of employees impacted by Consultation visits # of hazards abated 	<ul style="list-style-type: none"> ADOSH Division focus and A3 plan for achieving 170 active ADOSH partnerships (~5% increase); 1,100 high-hazard consultation visits (~10% increase); and 10% increase in # of employees trained and # of employees impacted Develop and launch 2 CBT occupational safety & health training programs Complete agency VPP pursuit @ Tucson Building (A3) Continue ADOSH Division A3 plan for reducing average Compliance lapse time
	Reduce backlog of pending cases in the ADOSH whistleblower program	<ul style="list-style-type: none"> Age (in days) of oldest pending whistleblower claim # of whistleblower cases closed/dismissed % backlog reduction 	<ul style="list-style-type: none"> Division focus on reduction of whistleblower backlog and lapse time (A3) Transition whistleblower inventory to Salesforce case management system
2	Reduce backlog of wage and retaliation claims	<ul style="list-style-type: none"> # of retaliation claims closed & age of oldest claim # of wage claims closed & age of oldest claim % of investigator audit criteria met % of intake audit criteria met 	<ul style="list-style-type: none"> A3 project plan with emphasis on reduction of wage & retaliation backlogs while maintaining Labor quality standards Publish 12 standard work document re usage of new Labor system
3	Fully deploy Compliance/Whistleblower and Budget & Finance systems and train staff	<ul style="list-style-type: none"> # of Compliance matters in process in new system % of forms submitted via webform (ADOSH) Avg. lapse time (in days) of Compliance files in new system % reduction in time needed to complete monthly \$ reports 	<ul style="list-style-type: none"> Fully deploy and strategically improve ADOSH Compliance/Whistleblower Salesforce system and Accounting Budget & Finance Salesforce system Publish 20 standard work documents re usage of new systems
	Continue to enlarge footprint of ICA technologies to expand virtual services, enhance IT security, and improve onsite and telework efficiency	<ul style="list-style-type: none"> % of ICA assets processed complete and accurate % of forms submitted via webform (Labor) % inbound/outbound electronic documents (Claims) % of SSO/MFA/VPN milestones completed 	<ul style="list-style-type: none"> Fully implement capital asset management system w/ standard work Deploy new Salesforce-based solutions and functionalities (Consultation) Deploy IT security improvements: single sign-on ("SSO"), multi-factor authentication ("MFA") & "always on" virtual private network ("VPN") (A3)
4	Improve employee performance and morale through effective Gemba Walks, continued development of standard work, and improved employee training	<ul style="list-style-type: none"> # of standard work documents published # of Gemba Walks conducted # employees participating in agency/HR training sessions # exit/stay interviews conducted 	<ul style="list-style-type: none"> Continue agency focus on standard work development Agency focus on Gemba Walks to better support onsite & telework performance Develop and deploy Salesforce standard work repository & begin migration Develop and deploy employee training/lunch & learn program Emphasis on exit and stay interview program
5	Reduce workers' compensation litigation in Special Fund	<ul style="list-style-type: none"> # of full & final/non-compensable settlements # of settlements approved (normalized by # of new cases) # of Special Fund transactions processed by EFT % Special Fund reserve audits completed 	<ul style="list-style-type: none"> ADR emphasis – Achieve 36 full & final/non-compensable settlements Implement Special Fund reserve review program (A3) Deploy Electronic Funds Transfer ("EFT") functionality for Special Fund
	Expand the ICA ADR program and deploy targeted Claims training to the payer community	<ul style="list-style-type: none"> # of settlements approved (normalized by # of new cases) # of cases referred to mediation/settlement conference # of settlements resulting from ICA ADR program # of targeted Claims trainings provided 	<ul style="list-style-type: none"> Expand usage of the ICA ADR program by increasing participation by 50% (A3) Develop and deploy targeted Claims training program (A3)
	Create informal process to assist in the resolution of medical billing disputes	<ul style="list-style-type: none"> # billing disputes submitted # billing disputes resolved # of stakeholders participating in MRO training 	<ul style="list-style-type: none"> Pilot program for informal MRO billing dispute services Focus on development of strategic stakeholder relationships

5 Year Plan

Issue 1 FIVE YEAR 2022-2027 STRATEGIC PLAN

Description VISION:

To be 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 labor. The ICA also provides workers’ compensation benefits to claimants of uninsured employers and bankrupt self-insured employers.

EXECUTIVE SUMMARY:

With core missions to protect and assist workers both before and after a workplace injury, to collaboratively work with employers and employees to promote workplace safety and health, and to efficiently resolve labor-related complaints, the ICA’s 2022 strategic plan is focused on proactive, collaborative workplace safety; continually-improved customer service, operations, and technology; and an engaged, high-performing workforce.

The ICA will continue to: (1) expand the reach and impact of the Arizona Division of Occupational Safety and Health (“ADOSH”) in an effort to eliminate hazards before injuries occur; (2) improve the operational efficiency of the ADOSH Whistleblower Unit and Labor Department; and (3) use appropriate tools to reduce the volume of workers’ compensation litigation in the Special Fund and ALJ Divisions.

The ICA’s foundation of IT solutions has been expanded to include multiple state-of-the-art Salesforce platforms, community portals, and online services – better serving stakeholders and ICA staff. Continued efforts will focus on leveraging technology to improve manual, paper-based processes in the ADOSH & Accounting Divisions; enhancing virtual services; and increasing efficiency of ICA staff.

Finally, significant progress has been made to develop a high-performing, engaged workforce. Continued efforts will focus on building employee skills and morale through effective Gemba Walks, continued development of standard work, and improved employee training.

Solutions:

STRATEGY 1: Model State for Worker Safety and Health

Start Year: 2018

Progress/Successes

*FY18-21: Construction/high-hazard consultation visits increasing (FY18-530 visits; FY19-753; FY20-866; FY21-1,067)

*FY18-21: Safety & health partnerships increasing (FY21-162)

*FY19-21: Statewide work-related injuries decreasing (FY19: ~168 (notified claims/100,000 workers/month); FY20: ~154, FY21: ~156)

*FY20: Voluntary Protection Program (VPP) recognition in Phoenix

*CY17-19: Opioid use in workers’ compensation decreasing (CY17-35% claims with at least 1 opioid Rx; CY18-28%; CY19-22%)

*FY20: Average abatement time reduced to under 9 days

*FY20-21: 27,060 employees trained by ADOSH; 6,941 hazards abated; 48,376 employees benefited from ADOSH Consultation

FY 22 Annual Initiatives:

-
- *ADOSH Division focus and A3 plan for achieving 170 active ADOSH partnerships (~5% increase); 1,100 high-hazard consultation visits (~10% increase); and 10% increase in # of employees trained and # of employees impacted
 - *Develop and launch 2 CBT occupational safety & health training programs
 - *Complete agency VPP pursuit @ Tucson Building (A3)
 - *Continue ADOSH Division A3 plan for reducing average Compliance lapse time
 - *Division focus on reduction of whistleblower backlog and lapse time (A3)
 - *Transition whistleblower inventory to Salesforce case management system

STRATEGY 2: Operational Excellence Through Continuous Improvement

Start Year: 2018

Progress/Successes:

- *FY18-21: 11 strategic/operational breakthroughs achieved (construction visits, electronic records, Special Fund processing, earned paid sick time ("EPST") time limit, EPST avg. pending time, faster pay, Special Fund audit, full & final/noncompensable settlements, ALJ alternative dispute resolution ("ADR"), notification backlog, supervisory reviews)
- *FY18-21: Successfully deployed 100% of AMS elements with a maturity score of 3.78 (FY20) and 3.8 (FY21)
- *FY21: Eliminated Labor Dept. backlogs in Payment Compliance, Youth Labor, Minimum Wage, and EPST programs

FY 22 Annual Initiatives:

- *A3 project plan with emphasis on reduction of wage & retaliation backlogs while maintaining Labor quality standards
- *Publish 12 standard work document re usage of new Labor system

STRATEGY 3: Efficient Customer Service Through Wise Use of Technology

Start Year: 2018

Progress/Successes:

- *FY19-21: Launched and stabilized Salesforce-based Claims/Administrative Law Judge ("ALJ") computer system w/ enhanced customer portal (stakeholder usage increasing)
- *FY19: Launched Salesforce-based Legal case management system
- *FY20: ICA website redesign; online payment portal launched; & Accounting document control system deployed
- *FY20-21: Launched Salesforce-based systems in the Labor Dept., ADOSH Compliance/Whistleblower Unit, & Accounting Division; completed statewide Cloud First Initiative

FY 22 Annual Initiatives:

- *Fully deploy and strategically improve ADOSH Compliance/Whistleblower Salesforce system and Accounting Budget & Finance Salesforce system
- *Publish 20 standard work documents re usage of new systems
- *Fully implement capital asset management system w/ standard work
- *Deploy new Salesforce-based solutions and functionalities (Consultation)
- *Deploy IT security improvements: single sign-on ("SSO"), multi-factor authentication ("MFA") & "always on" virtual private network ("VPN") (A3)

STRATEGY 4: High Performing and Agile Workforce

Start Year: 2018

Progress/Successes:

*FY19-20: Increased professional development by over 100%

*FY19: Developed skill matrices for all agency positions

*FY19-21: Increasing development of standard work (FY19 -207 standard work documents published; FY20-226, FY21 -223)

*FY20-21: Updated agency Continuity of Operations Plan; completed agency succession planning; virtual Huddle Boards deployed; divisional onboarding standard work completed

FY 22 Annual Initiatives:

*Continue agency focus on standard work development

*Agency focus on Gemba Walks to better support onsite & telework performance

*Develop and deploy Salesforce standard work repository & begin migration

*Develop and deploy employee training/lunch & learn program

*Emphasis on exit and stay interview program

STRATEGY 5: Reduce Volume of Workers' Compensation Litigation (Without Impacting Due Process)

Start Year: 2020

Progress/Successes:

*FY18-21: Full & Final settlements increasing (FY18/19-303 settlement approved; FY20-391; FY21-628)

*FY19: Adopted complete evidence-based treatment guidelines

*FY19-20: Number of employers obtaining insurance as a result of ICA efforts increasing (FY19-510; FY20-678, FY21-751)

*FY18-21: Increased Special Fund settlements (359 total)

*FY20-21: 1,095 adjusters completed Claims training program

*FY20-21: Approximately 3 in 10 ALJ cases resulting in settlement

*FY21: 269 ALJ ADR sessions conducted (87 matters resolved)

FY 22 Annual Initiatives:

*ADR emphasis – Achieve 36 full & final/non-compensable settlements

*Implement Special Fund reserve review program (A3)

*Deploy Electronic Funds Transfer ("EFT") functionality for Special Fund

*Expand usage of the ICA ADR program by increasing participation by 50% (A3)

*Develop and deploy targeted Claims training program (A3)

*Pilot program for informal MRO billing dispute services

*Focus on development of strategic stakeholder relationships

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	216.0	216.0	216.0
General Fund	80.0	80.0	80.0
Other Appropriated Funds	20,122.0	20,122.0	20,122.0
Non-Appropriated Funds	29,832.9	29,832.9	29,832.9
Federal Funds	3,175.2	3,175.2	3,175.2

◆ **Goal 1** To become a model state for worker safety and health.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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	153.9		159.53	N/A	N/A
Explanation: FY22 Scorecard: ICA - Work Related Injuries					
Cumulative % of VPP milestones completed at the end of each reporting period, measured based on milestone plan outlined on A-3		91	60	100	N/A
Explanation: FY22 Scorecard: ICA Voluntary Protection Program - Tucson					

◆ **Goal 2** To become a high performing and agile workforce.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of active employees in HRIS (excluding board and commission members, interns, volunteer, and "pool" positions)	196	215	203	215	215
Explanation: FY22 Scorecard: # of Agency FTE Count					
Total # of Standard Work documents published during the fiscal year to date, reported on the last day of each reporting month.	227	200	223	125	N/A
Explanation: FY22 Scorecard: ICA - Standard Work Publications					

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	5,357.3	5,840.7	5,840.7
Other Non Appropriated Funds	10.7	10.4	10.4
Total Funding	5,368.0	5,851.1	5,851.1
FTE Positions	38.0	38.0	38.0

◆ **Goal 1** To provide efficient customer service through the wise use of technology.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total # of webpages launched, reported at the end of each reporting month.	25	24	26	N/A	N/A
Explanation: FY22 Scorecard: N/A					
Tracking Purposes Only-No Targets: # of transactions processed in ICA Payment Portal during reporting month	395		787	N/A	N/A
Explanation: FY22 Scorecard: N/A					
% of Cloud First milestones completed at the end of each reporting month, measured using the Cloud-First A3 milestone list	100	100	N/A	N/A	
Explanation: FY22 Scorecard: N/A					
# of applicable assets purchased in reporting month processed complete and accurate the first time through divided by # of total assets processed in reporting month	88	24	90	95	
Explanation: FY22 Scorecard: Acct. - ICA Assets Processed Complete & Accurate					

◆ **Goal 2** To become a high performing and agile workforce

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Tracking Purposes Only-No Targets:
 # of hours teleworked by employees (110 and 110C) in reporting month divided by the total # of hours worked by all employees in reporting month

Explanation: FY22 Scorecard: N/A

◆ **Goal 3** To reduce volume of workers' compensation litigation (without impacting due process).

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Tracking Purposes Only:
 # of customer service interactions logged in reporting month

Explanation: FY22 Scorecard: N/A

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.

Explanation: FY22 Scorecard: N/A

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,482.5	2,755.4	2,755.4
Other Non Appropriated Funds	37.7	53.6	53.6
Total Funding	2,520.2	2,809.0	2,809.0
FTE Positions	35.0	35.0	35.0

- ◆ **Goal 1** To achieve operational excellence through continuous improvement.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Age (in # of days) of the oldest pending AMW claim (not referred to bad faith) at COB on the last day of each month.	132	50	104	50	50

Explanation: FY22 Scorecard: Claims - AMW Determination Time Limit

Average number of days from receipt of all necessary information to issuance of LEC award	75	46	118	46	46
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Explanation: FY22 Scorecard: Claims - Loss of Earning Capacity (LEC) Awards

Age (in days) of the oldest properly-filed workers' compensation claim that has not yet been notified at the end of each reporting month	20	15	20	N/A
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Explanation: FY22 Scorecard: Claims - Age of Oldest Properly-Filed Claim to be Notified

◆ **Goal 2** To provide efficient customer service through the wise use of technology.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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.	51		52	N/A	N/A
Explanation: FY22 Scorecard: N/A					
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.	33		36	N/A	N/A
Explanation: FY22 Scorecard: N/A					

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	4,356.9	4,539.3	4,539.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	4,356.9	4,539.3	4,539.3
FTE Positions	37.0	37.0	37.0

◆ **Goal 1** To achieve operational excellence through continuous improvement

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average number of days to issue an Administrative Law Judge (ALJ) award.	27.4	25	41	30	30

Explanation: FY22 Scorecard: ALJ - Awards

◆ **Goal 2** To reduce volume of workers' compensation litigation (without impacting due process)

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	30.5		30	N/A	N/A
Explanation: FY22 Scorecard: ALJ - Approved Settlements					
Tracking Purposes Only-No Targets: # of Full & Final settlements approved by ALJ during reporting month.	496		628	N/A	N/A
Explanation: FY22 Scorecard: N/A					
Cumulative # of mediations and settlement conferences held by ALJ Division as of the last day of each reporting month	100		269	408	N/A
Explanation: FY 22 Scorecard: ALJ - Cases Referred to Medication/SC					

Program Summary

LABOR LAW ADMINISTRATION

Lisa Padgett, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,250.2	1,305.3	1,305.3
Other Non Appropriated Funds	0.0	25.0	25.0
Total Funding	1,250.2	1,330.3	1,330.3
FTE Positions	17.0	17.0	17.0

◆ **Goal 1** To achieve operational excellence through continuous improvement.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of days from receipt of EPST claim to date claim resolution is completed with all necessary documentation completed for oldest EPST claim closed	236	200	197	N/A	N/A
Explanation: FY22 Scorecard: N/A					
# of days from receipt of EPST Retaliation claim to date claim resolution completed with all necessary documentation completed for oldest EPST Retaliation claim closed during reporting month.	664	610	519	90	90
Explanation: FY22 Scorecard: Labor - EPST Retaliation - Processing Tme Limit					
# of days from receipt of Wage claim to date claim resolution completed with all necessary documentation completed for oldest Wage claim closed during reporting month	237	200	197	125	125
Explanation: FY22 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	118		90	N/A	N/A
Explanation: Measure was tracked but was not on the FY 21 Scorecard					
# of wage claims closed in reporting year		2,695	3,034	3,295	N/A
Explanation: FY22 Scorecard: Labor - Wage - # of Wage Claims Closed					
# of minimum wage claims closed in reporting month		94	142	N/A	N/A
Explanation: FY22 Scorecard: N/A					
# of EPST claims closed in reporting month		470	559	N/A	N/A
Explanation: FY22: Scorecard: N/A					
# of retaliation claims closed in reporting month		67	110	104	N/A
Explanation: FY22 Scorecard: Labor - Retaliation - # of Claims Closed					
# of youth labor complaints closed during reporting month		67	94	N/A	N/A
Explanation: FY22 Scorecard: N/A					
Age (in days) of the oldest pending youth labor complaint at the end of each reporting period		610	0	N/A	N/A
Explanation: FY 22 Scorecard: N/A					
Age (in days) of the oldest pending minimum wage claim at the end of each reporting period		295	113	N/A	N/A
Explanation: FY22 Scorecard: N/A					

◆ **Goal 2** To provide efficient customer service through the wise use of technology.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Tracking Purposes Only-No Targets: Total number of claims/complaints submitted to Labor Department via webform during reporting month divided by the total number of claim/complaint forms submitted to the Labor Department in reporting month			91	N/A	N/A
Explanation: FY22 Scorecard: Labor - % of Forms Submitted Via Webform					
Tracking Purposes Only-No Targets: # of documents electronically uploaded by Labor program claimants/complainants in reporting month			N/A	N/A	N/A
Explanation: Target was not tracked in FY 21					
Tracking Purposes Only-No Targets: # of claimants who select e-mail communication on incoming claim form in reporting month divided by the total number of claim forms received in reporting month			87.8	N/A	N/A
Explanation: FY22 Scorecard: N/A					

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,986.0	3,466.8	3,466.8
Other Non Appropriated Funds	3,484.1	3,070.9	3,070.9
Total Funding	7,470.1	6,537.7	6,537.7
FTE Positions	62.0	62.0	62.0

◆ **Goal 1** To become a model state for worker safety and health.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
The number of safety consultations for high-hazard employers completed during the fiscal year	866	900	1,067	1,104	N/A
Explanation: FY22 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.	153	161	162	171	N/A
Explanation: FY22 Scorecard: ADOSH Outreach - Partnership Programs					
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.	2,364	2,400	4,577	5,040	N/A
Explanation: FY22 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.	21,667	24,912	26,709	29,400	N/A
Explanation: FY22 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.	11,172	13,968	15,888	17,484	N/A
Explanation: FY22 Scorecard: ADOSH Outreach - Employees Trained					
Monthly safety lapse time in reporting month plus monthly health lapse time in reporting month divided by 2		44	61	45	N/A
Explanation: FY22 Scorecard: ADOSH - Avg. Compliance Lapse Time					
Total pending time (in days) for all pending whistleblower cases entered into IMIS (measured from the date the case is entered into the system) at the end of each reporting month and then divided by the total number of cases in the system at the end of the reporting month		279	412	N/A	N/A
Explanation: FY22 Scorecard: N/A					

Program Summary

SPECIAL FUND CLAIMS PROCESSING

Terry Ann Apodaca, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	940.6	950.3	950.3
Other Non Appropriated Funds	16,412.7	14,754.3	14,754.3
Total Funding	17,353.3	15,704.6	15,704.6
FTE Positions	12.0	12.0	12.0

- ◆ **Goal 1** To reduce volume of workers' compensation litigation (without impacting due process)

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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.	22	30	41	30	30

Explanation: FY22 Scorecard: Special Fund - Voluntary Settlements

Cumulative # of supervisory reviews completed in FY, measured at the end of each reporting period

Explanation: FY22 Scorecard: N/A

All audit scores for Special Fund claim files audited during the month divided by number of files audited during the month

Explanation: FY22 Scorecard: Special Fund - Audit (All Claims)

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,224.8	1,264.2	1,264.2
Other Non Appropriated Funds	112.5	93.9	93.9
Total Funding	1,337.3	1,358.1	1,358.1
FTE Positions	14.0	14.0	14.0

- ◆ **Goal 1** To achieve operational excellence through continuous improvement.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of no insurance investigations resulting in employers obtaining workers' compensation insurance during the fiscal year	678	504	751	576	576

Explanation: FY22 Scorecard: Legal - WC Insurance Obtained

- ◆ **Goal 2** To reduce volume of workers' compensation litigation (without impacting due process)

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Cumulative # of mediations or settlement conferences conducted in Special Fund cases, measured at the end of each reporting period	18	6	N/A	N/A	N/A

Explanation: FY22 Scorecard: N/A

Program Summary

MUNICIPAL FIREFIGHTERS CANCER REIMBURSEMENT PROGRAM

Sylvia Simpson, Chief Financial Officer
Phone: (602) 542-4654
A.R.S. § 23-1701, et seq.

Mission:

To efficiently administer all applicable laws related to Municipal Firefighter Cancer assessments and reimbursements.

Description:

The Municipal Firefighter Cancer Reimbursement program requires the Industrial Commission to assess an annual fee on cities and towns and to proportionally distribute the fund based on actual amounts paid by municipalities for firefighter and fire investigator cancer-related workers' compensation expenses.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	95.0	80.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	15,000.0
Total Funding	0.0	95.0	15,080.0
FTE Positions	0.0	1.0	1.0

- ◆ **Goal 1** To achieve operational excellence through continuous improvement.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total amount assessed and collected during the fiscal year.	0	0	N/A	15,000,000	15,000,000

Explanation: FY 22 Scorecard: N/A

Agency Summary

DEPARTMENT OF INSURANCE FINANCIAL INSTITUTIONS

Evan G. Daniels, Director

Phone: (602) 364-3100

AZ Const. art. XV § 5; A.R.S. Titles 6, 20

Mission:

To protect consumers, provide certainty on regulatory matters, and perform with efficiency and integrity as good stewards of taxpayer resources.

Description:

The Department of Insurance and Financial Institutions (DIFI) licenses, monitors, investigates, examines and facilitates compliance of, and ensures the safety and soundness of, regulated entities; helps resolve consumer complaints against financial-services and insurance entities; takes action in response to violations of law; encourages competition, innovation and economic development; collects taxes and assessments that support State government operations; combats auto theft and insurance fraud through public awareness campaigns; and provides funding for law enforcement and dedicated prosecutors.

Dept. of Insurance and Financial Institutions

Fiscal Year 2022 Strategic Plan

Agency Director:
Strategic Planner:
Last modified:

Evan Daniels
Frank Ceballos
05/18/2021

Vision: Facilitating growing, healthy, innovative, and safe insurance and financial services industries in Arizona as an efficient and responsive regulator.

Mission: Protect consumers, provide certainty on regulatory matters, and perform with efficiency and integrity as good stewards of taxpayer resources.

Agency Description: Licenses, monitors, investigates, examines, facilitates compliance of, and ensures the safety and soundness of, regulated entities; helps resolve consumer complaints against financial-services and insurance entities; takes action in response to violations of law; encourages competition, innovation and economic development; collects taxes and assessments that support State government operations; combats auto theft and insurance fraud through public awareness campaigns, a dedicated fraud unit, and funding for law enforcement and dedicated prosecutors.

Executive Summary: The Department of Insurance and Financial Institutions identified the following strategic priorities:

Improve Agency Modernization and Resilience by reorganizing to more effectively leverage efficiencies, streamline the agency's leadership structure, and increase resources in key areas.

Provide Effective Stakeholder Communication and Consumer Services by improving communication regarding agency activity and regulatory expectations with various stakeholder groups, and improving citizen, consumer and industry outreach and publicity.

Facilitate Healthy and Growing Industry Stakeholder Communities by efficiently and effectively providing required regulatory oversight, quickly approving and reviewing filings or applications of all kinds, and providing policy leadership on emerging areas of interest to stakeholder communities.

Summary of 5 Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Improve Agency Modernization and Resilience	2016	Implemented a more robust licensing and regulatory information system; expanded online application and payment opportunities; eliminated cash fee payments; restructured agency organization to streamline leadership and consolidate areas of shared responsibility across stakeholder groups.
2	Provide Effective Stakeholder Communication and Consumer Services	2017	Implemented Jake's Law; launched surprise out-of-network billing dispute resolution process and system; streamlined process for insurers to submit network adequacy, provider grievance, long-term care and health insurance annual reports; reenergized the practice of communicating with stakeholders through substantive policy statements.
3	Facilitate Healthy and Growing Industry Stakeholder Communities	2021	Maintained necessary national accreditations; started participating in national multi-state examination programs aimed at greater efficiency for regulated licensees; policy development regarding treatment of cryptocurrency and digital assets in state law.

Dept. of Insurance and Financial Institutions

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY21 Annual Objectives	Objective Metrics	Annual Initiatives
1	Update agency organizational structure to increase operational efficiencies.	Completion of continuity of operations and succession plans.	Streamline agency organizational structure where possible. Continue updating agency continuity of operations and succession plans.
1	Improve current metrics	Add Fraud Unit Metrics: Change metrics to better reflect overall performance (i.e. percentage of consumer complaints resolved in target timeframe). Benchmarks for IT System improvement plans.	Continue and improve AMS implementation. Work with Arizona Department of Administration to improve IT support needs, including updated agency website and Salesforce configurations. Develop long-term resource allocation strategies to support permanent remote work and Fraud Unit resource increase. Create improvement plans for agency IT systems.
2	Increase public facing communication about agency results	# of public information campaigns and announcements about agency action.	Use available Department resources to develop more information campaigns regarding agency-related subject matter, including coordination with industry stakeholders on topics such as auto-glass fraud and automobile theft.
3	Maximize timely completion of matters submitted to DIFI.	% of filing reviews and license approvals/authorizations completed within targeted timeframes. % of examinations completed within targeted timeframes.	Develop policy recommendations regarding the treatment and use of digital assets and cryptocurrency in conjunction with HB2544 Study Committee. Determine long-term agency needs for continued support of growth in licensees and industry stakeholders statewide.

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ POLICY AND ADMINISTRATION	3,926.2	3,376.3	3,856.3
➤ SOLVENCY OVERSIGHT	6,257.8	6,206.5	6,442.5
➤ CONSUMER PROTECTION	4,413.2	4,362.5	4,505.7
➤ INSURANCE FRAUD INVESTIGATION AND DETERRENCE	1,126.4	1,800.5	1,800.5
➤ LICENSING	1,190.7	1,121.6	1,121.6
➤ AUTOMOBILE THEFT AUTHORITY	4,633.4	5,379.3	5,379.3
Agency Total:	21,547.7	22,246.7	23,105.9

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	7,809.4	7,663.4	7,948.6
Other Appropriated Funds	9,361.0	10,067.5	10,641.5
Other Non Appropriated Funds	4,377.3	4,515.8	4,515.8
Total Funding	21,547.7	22,246.7	23,105.9
FTE Positions	128.3	126.4	128.4

5 Year Plan

Issue 1 Update agency organizational structure to increase operational efficiencies.

Description Our current objectives are to continue updating agency continuity of operations and succession plans and to streamline agency organizational structure where possible.

Solutions:

Our initiatives for FY 2022 are to:

Streamline agency organizational structure where possible;

Continue updating agency continuity of operations and succession plans;

Continue and improve AMS implementation;

Work with Arizona Department of Administration to improve IT support needs, including updated agency website and Salesforce configurations;

Develop long-term resource allocation strategies to support permanent remote work and Fraud Unit resource increase;

Create improvement plans for agency IT systems.

Issue 2 Maximize timely completion of matters submitted to DIFI

Description Our current objectives is to increase public facing communication about agency results and to maximize timely completion of matters submitted to DIFI.

Solutions:

Our initiatives for FY 2022 are to:

Use available Department resources to develop more information campaigns regarding agency-related subject matter, including coordination with industry stakeholders on topics such as auto-glass fraud and automobile theft;

Develop policy recommendations regarding the treatment and use of digital assets and cryptocurrency in conjunction with HB2544 Study Committee;

Determine long-term agency needs for continued support of growth in licensees and industry stakeholders statewide.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	142.0	142.0	142.0
General Fund	7,958.4	7,958.4	7,958.4
Other Appropriated Funds	10,661.5	10,661.5	10,661.5
Non-Appropriated Funds	22,192.6	22,192.6	22,192.6
Federal Funds	0.0	0.0	0.0

Program Summary

POLICY AND ADMINISTRATION

Jon Savary, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,917.8	2,372.1	2,372.1
Other Appropriated Funds	868.1	771.0	1,251.0
Other Non Appropriated Funds	140.3	233.2	233.2
Total Funding	3,926.2	3,376.3	3,856.3
FTE Positions	18.5	18.5	18.5

- ◆ **Goal 1** To provide a satisfying work environment for agency employees.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of agency employees surveyed who responded they were "satisfied" with their jobs		80.0	77	80.0	80

Explanation: The State of Arizona Employee Engagement Survey was not administered during FY 2020.

Program Summary

SOLVENCY OVERSIGHT

Kurt A. Regner, Assistant Director

Phone: (602) 364-3963

A.R.S. Titles 6 and 20; AZ Const. Art. 15, § 5 and Art. 14, § 16

Mission:

To promote the ability of authorized insurers and state-chartered financial institutions to perform their financial obligations under insurance policies, trust agreements and banking contracts with customers.

Description:

The program monitors the solvency of insurers and state-chartered financial institutions (banks, credit unions and trust companies) doing business in Arizona through field examination and analysis of financial and transactional filings, administers the receiverships of insolvent insurers, financial institutions and financial enterprises, and pays certain claims owed by insolvent insurers to Arizona residents.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	810.0	689.4	831.4
Other Appropriated Funds	1,882.6	1,958.2	2,052.2
Other Non Appropriated Funds	3,565.2	3,558.9	3,558.9
Total Funding	6,257.8	6,206.5	6,442.5
FTE Positions	41.7	41.7	43.7

- ◆ **Goal 1** To efficiently and effectively analyze and examine insurer and financial-institution financial filings and records.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of domestic multi-state insurer financial filings reviewed within timeframes prescribed by the National Association of Insurance Commissioners (NAIC).	98.0	95.0	100	95.0	95
Number of new domestic receiverships	0	0	0	0	0
Explanation: No one can predict the number or timing of insurance company insolvencies.					
Number of open financial institution/enterprise receiverships (at any point in the fiscal year)	1	1	4	3	4

Program Summary

CONSUMER PROTECTION

Maria G. Ailor, Assistant Director
 Phone: (602) 364-4922
 A.R.S. Titles 6 and 20

Mission:

To assist, inform, and protect Arizona insurance and financial services consumers.

Description:

This program provides information and assistance to the public on a broad range of insurance- and financial-services-related issues; administers health care appeals; and performs investigations, examinations, and market surveillance in furtherance of consumer interests.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	2,478.7	2,374.8	2,518.0
Other Appropriated Funds	1,262.7	1,264.0	1,264.0
Other Non Appropriated Funds	671.8	723.7	723.7
Total Funding	4,413.2	4,362.5	4,505.7
FTE Positions	40.4	38.4	38.4

- ◆ **Goal 1** To efficiently and effectively review companies, rates, policies, contracts and filings to verify they comply with Arizona law.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of (Target 95%) review all required rate and form filings reviewed within 45 days.	0	0	9.2	95	95
Excluding long-term care rate filings					

- ◆ **Goal 2** To timely investigate and effectively monitor compliance of financial enterprises with laws that protect consumers and taxpayers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Days required to close a complaint about an appraiser or appraisal management company from date received.	189.6	151.0	171.3	68	68
% of mortgage and financial services examination reports issued wthin accreditation timeframes	88.7	90.0	96.1	85	85

Program Summary

INSURANCE FRAUD INVESTIGATION AND DETERRENCE

Paul Hill, Assistant Director
 Phone: (602) 364-2140
 A.R.S. §§ 20-466 et seq.

Mission:

To investigate reported criminal violations of the insurance laws and regulations

Description:

This program conducts criminal investigations into reported violations of the insurance laws committed against Arizona citizens and the insurance industry doing business in Arizona. The program also promotes fraud awareness within the insurance industry, law enforcement community and to the citizens of Arizona.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,126.4	1,800.5	1,800.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,126.4	1,800.5	1,800.5
FTE Positions	9.9	9.9	9.9

- ◆ **Goal 1** To protect the physical and financial safety of Arizona citizens and ensure the insurance industry has a fair and equitable environment to do business in Arizona.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of fraud incident referrals received.	3,329	3,000	3548	3,000	3300
Number of investigations completed from referrals	98	100	134	100	100
Number of investigated cases submitted for prosecution.	50	50	18	20	20
Number of convictions from submitted cases	18	10	22	10	10
Total restitution requested from investigations submitted for prosecution (in thousands of dollars)	507.5	250.0	198.1	200.0	200.0
Number of warning letters issued to fraud suspects.	48	25	40	30	30

Program Summary

LICENSING

Steven P. Fromholtz, Division Manager

Phone: (602) 364-4455

A.R.S. Titles 6, 20, 32 Ch. 9, 44 Ch. 2.1; 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. Titles 6, 20, 32 Ch. 9 and 44 Ch. 2.1, to candidates that meet requirements, and oversees the administration of related activities, such as prelicense and continuing education and pre-license examinations.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	476.5	426.6	426.6
Other Appropriated Funds	714.2	695.0	695.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,190.7	1,121.6	1,121.6
FTE Positions	17.6	17.6	17.6

- ◆ **Goal 1** To efficiently and effectively process professional service license applications.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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).	1.3	1.5	1.8	95	95
Percentage of insurance professional license/renewal applications submitted online	94.2	94.0	98.6	99.0	99

Explanation: Percentage of the total number of insurance professional license and renewal applications received entirely online to the total number of license and renewal applications received.

Percentage of financial enterprise for license/renewal applications processed within 15 days.	3.7	5.0	1.8	95	95
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Program Summary

AUTOMOBILE THEFT AUTHORITY

James McGuffin, Assistant 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	4,633.4	5,379.3	5,379.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	4,633.4	5,379.3	5,379.3
FTE Positions	0.3	0.3	0.3

- ◆ **Goal 1** To reduce the incidence of statewide auto theft crimes supporting innovative and effective reduction and prevention programs.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of vehicles stolen statewide.	19,139*	19,330	18,151	19,000	19,000
Arizona vehicle theft rate (# per 100,000 population)	266.2	265.3	249.4	260.5	262.5

Explanation: FY 21 numbers are based off of the FBI's UCR report for 2019.
Explanation: The AATA estimates a 1% increase in the auto theft rate for the next two years. Rate is based on UCR data, which will be available in October.

◆ **Goal 2** To deter vehicle theft and associated criminal activity through effective and proactive law enforcement strategies.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of AZ Vehicle Theft Task Force FTE positions funded by the AATA.	21.5	21.5	25.5	25.5	25.5
Number of stolen vehicles recovered by the Vehicle Theft Task Force.	1,545	1,550	1589	1500	1500
Value of stolen vehicles recovered by the Vehicle Theft Task Force (in \$ millions).	21.1	18.5	24.3	20.0	20.0
Number of felony arrests by the Vehicle Theft Task Force.	302	345	375	325	325
Number of "chop shops" investigated by the Vehicle Theft Task Force.	10	18	3	3	3
Number of insurance fraud investigations by the Vehicle Theft Task Force.	4	5	3	5	5
Number of trainings and investigative support provided by the Vehicle Theft Task Force.	2,585	1,000	3071	2500	2500
For every \$1 dollar funded by the ATA, this \$ amount of recovered by the Vehicle Theft Task Force.	5.78	5.10	6.09	6.00	6.00
Explanation: Return on investment for AATA's largest annual grantee based on the Vehicle Theft Task Force's number of recoveries and \$3.65M award.					
Number of AATA law enforcement grants awarded to Arizona agencies.	2	2	3	2	2

◆ **Goal 3** To assure deterrence of auto theft and related criminal activity through effective auto theft (vertical) prosecution.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of auto theft (vertical) prosecutors funded by AATA Grants.	6.75	6.75	8	7	7
Explanation: The AATA does not plan to expand the Vertical Prosecution Program to additional counties in FY21 and FY22.					
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 FY21 and FY22.					
Number of vehicle theft convictions by AATA-grant-funded vertical prosecutors.	1,927	1,900	1181	1200	1200
Explanation: The average prison sentence obtained on convictions is 6.5 years; average probation term is 3 years.					

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADJUDICATION	5,888.1	5,714.1	6,151.9
➤ ADMINISTRATIVE SUPERVISION (COURTS AND AOC SUPPORT)	13,645.2	14,340.8	15,801.4
➤ REGULATORY ACTIVITIES	3,307.9	3,793.3	3,793.3
➤ COURT ASSISTANCE	47,705.5	57,418.3	62,218.6
➤ FAMILY SERVICES	7,907.6	8,988.8	9,636.1
➤ JUDICIAL NOMINATIONS AND PERFORMANCE REVIEW	537.6	543.9	577.0
➤ COMMISSION ON JUDICIAL CONDUCT	536.2	524.4	557.9
➤ JUDICIAL COMPENSATION	24,042.3	26,323.7	27,983.0
➤ ADULT PROBATION SERVICES	34,551.8	43,574.7	44,405.5
➤ JUVENILE PROBATION SERVICES	37,381.6	45,865.5	46,391.0
➤ COURT OF APPEALS DIVISION I	11,825.8	11,622.3	12,413.1
➤ COURT OF APPEALS DIVISION II	5,284.1	5,168.5	5,528.2
➤ ADULT AND JUVENILE DRUG COURT	1,218.1	1,295.0	1,313.3
Agency Total:	193,831.8	225,173.3	236,770.3

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	136,854.4	145,680.5	156,977.5
Other Appropriated Funds	27,038.7	43,020.4	43,320.4
Other Non Appropriated Funds	29,938.7	36,472.4	36,472.4
Total Funding	193,831.8	225,173.3	236,770.3
FTE Positions	863.7	865.1	865.1

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 caseload 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.

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- 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 caseload.

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.

Program Summary

ADJUDICATION

Kevin Kluge, Division Director

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	5,888.1	5,706.2	6,144.0
Other Appropriated Funds	0.0	7.9	7.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	5,888.1	5,714.1	6,151.9
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
All cases on file (in thousands)	1,700	1,700	1,533	1,500	1,500
Explanation: LJ stats excluding non-criminal ordinances					
All cases terminated (in thousands)	1,244	1,200	1,047	1,100	1,100
Explanation: LJ stats excluding non-criminal ordinances					
Cases pending (in thousands)	456	500	486	500	500
Explanation: Cases pending are as of 6/30					
New case filings	1,106	1,100	1,071	1,100	1,100
State Bar matters on file	82	80	101	100	100
State Bar matters terminated	89	90	86	90	90
State Bar activity reports	2,485	2,500	2,284	2,300	2,300
All other cases on file	21	20	29	30	30
All other cases terminated	10	10	13	10	10

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	13,645.2	14,340.8	15,801.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	13,645.2	14,340.8	15,801.4
FTE Positions	110.7	111.4	111.4

- ◆ **Goal 1** To identify operational and administrative problems and recommend solutions and to uphold the integrity and independence of the judiciary.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Operational reviews completed	15	20	11	20	20
Average days to complete an operational review report	165	160	165	160	160
Average reviews per specialist	5	7	3	7	7

◆ **Goal 2** To ensure that automation services are provided that support statewide programs and systems.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Internal and external users connected to the Arizona Judicial Information Network	9,435	9,350	9,779	9,800	9,750
Infrastructure cost per user (dollars)	955	955	921	975	1,025
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)	99.96	99.98	99.98	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total Number of Questions/Issues Received	70,000	70,000	81,000	80,000	80,000
Number of Questions/Issues Received - Urgent Priority	33	40	36	40	40
Percent of Questions/Issues Resolved Within 1 Business Day - Urgent Priority	82	90	78	90	90
Number of Questions/Issues Received - High Priority	172	250	129	250	250
Percent of Questions/Issues Resolved Within 2 Business Days - High Priority	88	85	88	85	85
Number of Questions/Issues Received - Medium Priority	6,015	7,000	2,543	5,000	5,000
Percent of Questions/Issues Resolved Within 3 Business Days - Medium Priority	93	90	88	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	933.3	1,209.5	1,209.5
Other Non Appropriated Funds	2,374.6	2,583.8	2,583.8
Total Funding	3,307.9	3,793.3	3,793.3
FTE Positions	34.1	35.0	35.0

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	2,374.6	2,583.8	2,583.8
Total Funding	2,374.6	2,583.8	2,583.8
FTE Positions	20.2	21.1	21.1

- ◆ **Goal 1** To promptly process and review certification applications and reports for issuance, renewal or denial of certification

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Applications received (new and renewal)	391	15	31	350	30
Certifications granted	325	15	24	325	24
Certifications denied	1	1	0	1	0
Average number of days from receipt of application to decision regarding certification	60	60	101	60	60
Number of certified reporters (end of year)	378	375	380	375	375

- ◆ **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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Complaints received	2	5	0	2	2
Complaints closed	2	5	0	2	2
Disciplinary action	1	3	0	0	0
Average number of days from receipt of complaint to resolution by dismissal or disciplinary action	225	300	NA	300	300
Complaint closure rate (percent)	100	100	NA	100	100
Percent of cases closed within 22 month standard	100	100	NA	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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>		
General Fund	0.0	0.0	0.0		
Other Appropriated Funds	98.9	190.0	190.0		
Other Non Appropriated Funds	0.0	0.0	0.0		
Total Funding	98.9	190.0	190.0		
FTE Positions	2.5	2.5	2.5		
◆ Goal 1 To promptly process and review applications for initial certification.					
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of applicants for certification	4	6	0	6	6
Average number of days from receipt of complete application requirements to decision regarding certification	0	90	368	90	90
Number of individuals granted certification	0	6	4	6	6
Number of individuals denied certification	0	0	0	0	0
CIs certified (end of year)	31	35	27	27	27
◆ 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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of applications received		35	0	27	0
Number of individuals granted recertification		21	15	27	27
Number of individuals denied recertification		0	0	0	0
Number of days from submission of complete renewal application to decision regarding renewal		90	75	75	75
◆ Goal 3 To provide initial training to individuals eligible for certification and renewal training for certified CIs.					
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of individuals receiving initial training	2	10	0	10	10
◆ Goal 4 To assist CIs to provide high quality service.					
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Cases closed	6	6	10	6	6

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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		120	NA	120	120
Explanation: No complaints received in FY21					
Complaint case closure rate (percent)		100	NA	100	100
Explanation: No complaints received in FY21					
Percent of cases closed within standard of 22 months		100	NA	100	100
Explanation: No complaints received in FY21					

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 be licensed 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	255.6	304.3	304.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	255.6	304.3	304.3
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of applications received	31	30	20	30	30
Number of individuals licensed	18	25	14	25	25
Number of applications denied	1	1	3	1	1
Number of days from receipt of complete application requirements to decision regarding licensure	90	60	177	60	60
Number of fiduciaries licensed at end of year	348	275	300	300	300

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of applications received	345		0	345	0
Number of individuals granted recertification	27	318	302	0	300
Number of applications denied recertification	0	0	0	0	0
Number of days from submission of complete renewal application to decision regarding renewal		120	204	0	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of complaints received	19	20	11	20	20
Number of complaints closed	27	20	11	20	20
Number of disciplinary actions	8	5	1	5	5
Number of days from receipt of complaint to resolution by dismissal or disciplinary action	524	275	409	275	275
Complaint case closure rate (percent)	142	100	100	100	100
Percent of complaints resolved within 22 month standard	67	100	82	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of notice of engagement letters	0	10	0	5	5
Fieldwork completed	1	10	0	5	5
Corrective Action Plans in Place	0	2	0	1	1
Number of final reports completed	0	10	0	5	5

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	578.8	715.2	715.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	578.8	715.2	715.2
FTE Positions	7.8	7.8	7.8

◆ **Goal 1** To ensure defensive driving schools and instructors meet established standards for administrative and educational quality.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Operational reviews of schools completed	0	50	0	0	0
Percent of instructors rated that are in compliance with Arizona Code of Judicial Administration (ACJA 7-205) and Statutes.	0	95	NA	0	0
Instructors monitored	0	50	NA	0	0

◆ **Goal 2** To ensure the statewide database provides accurate and timely information for eligibility and fee payment verification.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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	160	400	142	400	400

◆ **Goal 3** To provide continuing training opportunities for instructors to improve the quality of the defensive driving classes.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Current instructors receiving ongoing training	90	120	102	120	120
Percent of instructors indicating training programs are responsive to their needs	99	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Complaints received	36	10	3	10	10
Complaints closed	38	10	2	10	10
Complaint case clearance rate (percent)	95	100	67	100	100
Disciplinary actions	14	5	2	5	5
Average number of days from receipt of complaint to closure	325	180	333	180	180
Percentage of complaint cases closed within 22 month standard	100	100	100	100	100
◆ Goal 6 To promptly process and review applications for certification.					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Applications received	0	3	5	5	5
Certifications granted		3	8	8	8
Certifications denied		0	0	0	0
Average number of days from receipt of complete application to decision regarding certification (Instructors)		60	111	60	60
Number of certified schools (end of year)	199	217	199	217	217

Program Summary

COURT ASSISTANCE

Kevin Kluge, Division Director
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	4,820.4	5,781.6	10,581.9
Other Appropriated Funds	16,507.5	24,857.6	24,857.6
Other Non Appropriated Funds	26,377.6	26,779.1	26,779.1
Total Funding	47,705.5	57,418.3	62,218.6
FTE Positions	245.0	236.9	236.9

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	105.3	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	105.3	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of sessions offered to judges (limited, general and appellate jurisdictions)	207	255	206	280	280
Number of sessions offered to probation, detention and surveillance officers	765	750	1,039	750	900
Number of sessions offered to judicial staff	347	300	616	270	350
Number of judges participating in Education Services Division sponsored programs	412	1,000	1,656	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	1,037	1,100	636	1,100	1,000
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	1,950	1,000	2,117	1,000	1,100

◆ **Goal 2** To assure a comprehensive system of judicial education for all categories of personnel

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of educational hours offered to judges (limited general and appellate jurisdictions)	321	500	344	500	500
Number of educational hours offered to probation, detention and surveillance officers	1,074	1,900	2,019	1,800	1,900
Number of educational hours offered to judicial staff	593	500	994	550	600
Percent of judges in compliance with annual continuing education mandate	100	100	100	100	100
Percent of probation, detention and surveillance officers in compliance with annual continuing education mandate	99	100	100	100	100
Percent of judicial staff in compliance with annual continuing education mandate	99	100	100	100	100

◆ **Goal 3** To assure appropriate use of available resources to support a comprehensive system of judicial education

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of faculty used to train judges	290	350	402	345	375
Number of faculty used to train probation, detention and surveillance officers	449	500	401	500	500
Number of faculty used to train judicial staff	352	300	401	290	300
Percent of total faculty used paid for services to train judges	1	10	4	5	5
Percent of total faculty used paid for services to train probation, detention and surveillance officers	2	10	2	5	5
Percent of total faculty used paid for services to train judicial staff	1	10	4	5	5
Cost per participant hours from total budget to train judges	9	20	23	15	20
Cost per participant hours from total budget to train probation, detention and surveillance officers	10	15	10	10	10
Cost per participant hours from total budget to train judicial staff	7	15	11	5	5

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of seminars/workshops	31	30	26	50	45
Total number of conferences	4	5	2	5	5
Total number of residential programs	48	35	61	40	55
Total number of broadcasts	48	25	66	20	20
Total number of computer based programs	21,416	25,000	25,695	15,000	25,000
Total number of publications	31,413	90,000	68,302	70,000	70,000
Total number of WENDELL website "hits"	31,413	90,000	68,302	70,000	70,000
Total number of materials checked out of resource library	1,716	1,500	1,207	900	1,200

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 aimed 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 and the Family Law Improvement Committee, established by Administrative Order of the Supreme Court.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	660.9	646.5	686.1		
Other Appropriated Funds	0.0	0.0	0.0		
Other Non Appropriated Funds	0.0	0.0	0.0		
Total Funding	660.9	646.5	686.1		
FTE Positions	5.7	5.7	5.7		
◆ 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of annual reports received and analyzed from prior fiscal year.	93	100	93	100	100
Number of alternative format programs reviewed.	0	1	1	1	1
◆ 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of time minutes were provided in 20 days & notice 48 hours prior to meeting	88	100	88	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Monitoring and evaluation contacts made with state and local contacts to ensure proceedings and services follow statutes and court rules.	924	250	591	300	250
◆ Goal 4	To maintain the competence of judicial officers in the appropriate determination and effective management of domestic violence cases.				
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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		100	0	100	0
Appropriate judicial officers and court personnel educated in policies and procedures that help counties effectively address the needs of domestic violence victims	650	300	435	300	300

Subprogram Summary

STATE GRAND JURY

Kevin Kluge, Division Director
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	93.0	97.9	97.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	654.0	813.9	813.9
Total Funding	747.0	911.8	911.8
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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Claims processed	3	4	3	4	4

Subprogram Summary

POST CONVICTION RELIEF

Kevin Kluge, Division Director
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	90.0	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	90.0	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Claims processed 20 20 2 10 15

Subprogram Summary

JUDICIAL ASSISTANCE

Kevin Kluge, Division Director

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	315.0	315.0	315.0
Other Appropriated Funds	1,863.4	2,945.4	2,945.4
Other Non Appropriated Funds	24,139.4	24,012.3	24,012.3
Total Funding	26,317.8	27,272.7	27,272.7
FTE Positions	76.7	71.7	71.7

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of counties' criminal cases processed within 90 days (target is 65%)	40	65	33	40	65
Percent of counties conducting criminal case processing improvement projects	93	93	100	100	100

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	3,556.2	4,522.9	9,283.6
Other Appropriated Funds	10,251.9	15,358.9	15,358.9
Other Non Appropriated Funds	396.6	415.0	415.0
Total Funding	14,204.7	20,296.8	25,057.5
FTE Positions	121.2	122.7	122.7

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of annual increase in court revenue in prior fiscal year	-.9	-.9	-7.8	-7.8	-7.8
Difference in percentage change from previous fiscal year in court revenue collections and case filings	5.9	5.9	-14.6	-14.9	-14.6

- ◆ **Goal 2** To fund court automation projects likely to improve case processing or the administration of justice.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	-.3	-.3	-15.6	-15.6	-15.6
Clearance rate (dispositions/filings) for all cases at all court levels in prior fiscal year.	1.0	1.0	1.05	1.0	1.0

◆ **Goal 3** To expedite the processing of grant requests in a cost-effective manner.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Mean cycle days receipt of request to court notification of approval/denial	5	10	1.5	10	10
Grant management budget as percent of total budget	.69	1.0	.73	.73	.73

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,609.8	3,518.3	3,518.3
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	2,609.8	3,518.3	3,518.3
FTE Positions	20.5	16.0	16.0

◆ **Goal 1** To develop automation systems to process all court cases.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of courts with a uniform statewide automation system	93	93	93	93	93

Subprogram Summary

DRUG ENFORCEMENT

Kristie Wooley, Central Services 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	<u>1,000.1</u>	<u>1,002.4</u>	<u>1,002.4</u>
Total Funding	1,000.1	1,002.4	1,002.4
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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Average days drug case processing			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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	<u>187.5</u>	<u>535.5</u>	<u>535.5</u>
Total Funding	187.5	535.5	535.5
FTE Positions	1.6	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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of volunteer mediators trained	80	50	123	50	50
Number of volunteer mediator training sessions held	5	5	10	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,782.4	3,035.0	3,035.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,782.4	3,035.0	3,035.0
FTE Positions	18.1	18.0	18.0

◆ **Goal 1** To enhance the ability of courts to process juvenile delinquency cases.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent growth in filings in prior fiscal year	-5.7	-5.7	-8.9	-8.9	-8.9
Prior fiscal year clearance rate (dispositions/filings) of 1.00 or greater annually	1.0	1.0	1.0	1.0	1.0
Months for disposition of pending cases in prior fiscal year	12.0	12.0	12.0	12.0	12.0

◆ **Goal 2** To enhance the ability of the courts to process criminal cases.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent growth in filings in prior fiscal year	1.1	1.1	-16.0	-16.0	-16.0
Prior fiscal year clearance rate (dispositions/filings) of 1.00 or greater annually	1.0	1.0	1.04	1.0	1.0
Months for disposition of pending cases in prior fiscal year	15	15	7	7	7

◆ **Goal 3** To expedite the processing of grant requests in a cost-effective manner.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Mean cycle days receipt of request to court notification of approval/denial	8	10	3	10	10
Grant management budget as percent of total budget	1.43	1.5	1.33	1.33	1.33

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	3,781.1	3,942.7	4,290.0
Other Appropriated Funds	3,597.0	4,068.0	4,368.0
Other Non Appropriated Funds	529.5	978.1	978.1
Total Funding	7,907.6	8,988.8	9,636.1
FTE Positions	61.8	64.5	64.5

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	3,342.4	3,283.0	3,624.5		
Other Appropriated Funds	0.0	0.0	0.0		
Other Non Appropriated Funds	529.5	978.1	978.1		
Total Funding	3,871.9	4,261.1	4,602.6		
FTE Positions	52.6	53.2	53.2		
◆ 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Children eligible for review during the fiscal year	18,953	18,875	18,212	18,212	18,000
Number of child reviews held during the fiscal year	23,582	23,424	23,207	23,207	24,000
Total number of reviews conducted within the fiscal year	13,880	13,003	13,063	13,907	13,000
Percent of reviews during fiscal year for which the board found that progress was being made towards establishing permanency	55.32	57.9	58.57	58.57	60.0
◆ Goal 2	To establish, maintain and train sufficient volunteers to perform high quality case reviews.				
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
FTEs to support volunteers (Does not include Support Pool)	43.7	43.7	44.7	44.7	44.7
Number of active volunteers during the fiscal year	603	650	574	574	600
Average length of volunteer service during the fiscal year	7.07	7.5	7.43	7.43	7.5
Number of volunteers meeting or exceeding the yearly training requirement	391	400	256	450	460
◆ Goal 3	To provide accurate information to families in a caring, respectful manner				
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Hotline Calls	322	450	240	250	260
◆ Goal 4	To increase public and agency awareness of the Parent Assistance Hotline				
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Agency Referrals	116	136	62	75	75
Calls attributable to brochures (DES)	36	37	51	65	65
Calls attributable to other advertising	169	235	180	160	160

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,597.0	4,068.0	4,368.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,597.0	4,068.0	4,368.0
FTE Positions	9.2	9.4	9.4

◆ **Goal 1** To maintain an adequate number of certified volunteer advocates.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Children eligible for CASA assignment during the year	18,953	18,875	13,617	13,750	13,750
Children with CASA assigned as of 6/30	2,093	2,220	1,423	1,550	1,660
Total Number of volunteers as of 6/30	1,210	1,300	1,193	1,000	1,050
Volunteers serving during the year	1,463	1,500	1,474	1,375	1,425
Number of Assigned CASAs as of 6/30	898	1,000	819	825	850
Number of volunteers during the year completing the required number of hours	712	800	645	700	715
Percent of number of volunteers serving during the year completing the required number of hours	59	65	53	56	58
Average number of in-service training hours volunteers received	12	13	12	12	12

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of volunteer files reviewed	132	130	111	115	120
Percent of required items reviewed and found to be in compliance	81	82	77	80	82
Total number of case files reviewed	130	130	109	115	120
Percent of required items reviewed and found to be in compliance	96	97	91	92	95

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	438.7	659.7	665.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	438.7	659.7	665.5
FTE Positions	0.0	1.9	1.9

- ◆ **Goal 1** To reduce the time frame from removal to permanency.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of petitions that met preliminary protective hearing requirements (within 5-7 days of removal)	80.8	79	81	80	83
Average number of days to adjudication	96	86	71	71	71
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).I	86.9	89	87	88	90

Program Summary

JUDICIAL NOMINATIONS AND PERFORMANCE REVIEW

Kevin Kluge, Division Director

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	537.6	543.9	577.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	537.6	543.9	577.0
FTE Positions	4.6	4.6	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Applications received from minorities and women as a percent of all applications	56	50	59	50	50
Nominations of minorities and women as a percent of all nominations	49	50	66	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Cost of appellate court vacancies (dollars)	1,668	2,000	2,963.15	2,000	3,000
Cost of trial court vacancies (dollars)	2,199	3,000	6,407.09	3,000	4,000

- ◆ **Goal 3** To provide survey forms during each survey period for distribution to individuals who interact with a merit/retention judge.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Survey forms distributed	4,678	62,000	52,000	8,200	60,000
Survey forms returned	699	10,000	8,840	1,394	10,200

- ◆ **Goal 4** To widely disseminate the results of the survey and review process.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Pamphlets, brochures and data reports distributed	10,042	546	22,232	600	25,000
Public telephone and electronic contacts	226	400	1,052	900	1,200
Website hits and social media views	41,697	1,400,200	1,757,336	1,200,000	1,800,000

Explanation: Pamphlets are not distributed in a non-election year.

Public telephone and electronic contacts	226	400	1,052	900	1,200
Website hits and social media views	41,697	1,400,200	1,757,336	1,200,000	1,800,000

Program Summary

COMMISSION ON JUDICIAL CONDUCT

April Elliott, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	536.2	524.4	557.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	536.2	524.4	557.9
FTE Positions	4.5	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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Complaints processed	414	375	363	375	375
Explanation: FY21 data is based on calendar year (1/1/20 - 12/31/20)					
Formal and Informal Advisory Opinions	209	150	207	150	160
Explanation: FY21 data is based on calendar year (1/1/20 - 12/31/20)					
Preliminary investigations	71	70	76	70	70
Explanation: FY21 data is based on calendar year (1/1/20 - 12/31/20)					
Motions for reconsideration	35	30	20	30	30
Explanation: FY21 data is based on calendar year (1/1/20 - 12/31/20)					
Sanctions and other warnings	37	30	39	30	35
Explanation: FY21 data is based on calendar year (1/1/20 - 12/31/20)					

Program Summary

JUDICIAL COMPENSATION

Kevin Kluge, Division Director

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	24,042.3	26,323.7	27,983.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	24,042.3	26,323.7	27,983.0
FTE Positions	181.6	184.8	184.8

- ◆ **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

	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
All cases on file in prior fiscal year	387,398	400,000	333,799	350,000	350,000
All cases terminated in prior fiscal year	196,355	195,000	177,860	180,000	180,000
Cases pending in prior fiscal year	191,043	200,000	155,032	160,000	160,000
New filings (includes transfer in cases) in prior fiscal year	185,000	185,000	178,767	180,000	180,000
Other proceedings in prior fiscal year	41,000	40,000	40,000	40,000	40,000

Program Summary

ADULT PROBATION SERVICES

Ed Gilligan, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	26,656.1	31,005.0	31,835.8
Other Appropriated Funds	3,664.3	7,716.4	7,716.4
Other Non Appropriated Funds	4,231.4	4,853.3	4,853.3
Total Funding	34,551.8	43,574.7	44,405.5
FTE Positions	10.6	12.2	12.2

Subprogram Summary

STANDARD PROBATION

Ed Gilligan, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	16,281.4	19,050.1	19,580.2
Other Appropriated Funds	1,761.7	3,774.1	3,774.1
Other Non Appropriated Funds	1,165.2	749.8	749.8
Total Funding	19,208.3	23,574.0	24,104.1
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Operational reviews conducted	4	4	5	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of court-ordered restitution paid by active standard probationers	6.05	10.0	7.38	12.0	12.0
Percent of community restitution hours completed	29.23	30.0	27.04	31.0	31.0
Percent of probationers exiting standard probation and not committed to county jail or DOC	84	84	89	84	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Certification Academies conducted	3	4	3	4	4
Regional training events	132	60	195	120	120
Percent of probation personnel in compliance with COJET requirements	99.9	100	100	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of probation departments in compliance with 65:1 mandate	92	100	86	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	1,306	1,320	1,394	1,325	1,325

Subprogram Summary

INTENSIVE PROBATION

Ed Gilligan, 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate		
General Fund	9,993.7	11,544.4	11,833.5		
Other Appropriated Funds	714.7	1,535.2	1,535.2		
Other Non Appropriated Funds	0.0	0.0	0.0		
Total Funding	10,708.4	13,079.6	13,368.7		
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of eligible IPS probationers participating in a treatment program	46	47	48	47	47
Percent of IPS probationers maintaining full-time employment	43	43	37	43	43
Percent of IPS probationers not testing positive for illegal drug use	59.6	60	52.5	60	60
Explanation: 14 of 15 counties reporting					
Percent of court-ordered restitution paid by active IPS probationers	9.16	10	14	11	11
Explanation: 14 of 15 counties reporting					
Percent of community restitution hours completed	48.1	50	37.67	50	50
Percent of probationers exiting IPS and not committed to county jail or DOC	56	56	64	56	56
◆ 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of probation departments in compliance with statutorily prescribed caseload	57	65	65	100	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	7,754	7,700	8,308	7,775	8,000
◆ 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
IPS institutes conducted	1	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,101.2	2,310.3	2,310.3
Other Non Appropriated Funds	621.5	559.3	559.3
Total Funding	1,722.7	2,869.6	2,869.6
FTE Positions	1.4	1.3	1.3

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of active probationers who received CPP funded services	1,505	2,200	1,306	2,200	2,200

Subprogram Summary

INTERSTATE COMPACT

Dori Littler, Interstate Compact 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	381.0	410.5	422.1
Other Appropriated Funds	86.7	92.8	92.8
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	467.7	503.3	514.9
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of transfer investigation requests completed within forty-five days of receipt, as required	99	99.5	99.2	100	100
Percent of victim assistance fund payments collected	59	60	53	55	55

Subprogram Summary

DRUG TREATMENT AND EDUCATION

Shanda Breed, Program 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	4.0	4.0
Other Non Appropriated Funds	2,444.7	3,544.2	3,544.2
Total Funding	2,444.7	3,548.2	3,548.2
FTE Positions	8.2	9.9	9.9

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of defendants convicted of an A.R.S. 13-901.01 1st or 2nd offense and sentenced to a term of probation during the fiscal year	3,163	3,500	1,220	3,500	3,500
Number of probationers convicted of an A.R.S. 13-901.01 1st or 2nd offense that received DTEF funded treatment services	619	750	452	750	750

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 A.R.S. 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of probationers on GPS	228	300	213	300	300

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	38,804.4	39,641.4	40,166.9
Other Appropriated Funds	2,336.6	5,161.0	5,161.0
Other Non Appropriated Funds	-3,759.4	1,063.1	1,063.1
Total Funding	37,381.6	45,865.5	46,391.0
FTE Positions	26.0	26.4	26.4

Subprogram Summary

STANDARD PROBATION

, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	3,524.7	3,555.6	3,641.0
Other Appropriated Funds	0.0	150.0	150.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,524.7	3,705.6	3,791.0
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To ensure probationers are supervised according to their level of risk.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of juvenile probation departments in compliance with mandated standard case load ratios of 35:1	93	100	100	100	100
Percent of standard probationers who successfully complete their term of probation	80	85	77	85	85
Number of counties receiving a formal standard probation operational review.	2	4	2	4	4
Average annual cost per standard probation slot in prior fiscal year	2,613	2,500	2,899	2,800	2,800

◆ **Goal 2** To manage and monitor the efficient and effective allocation and distribution of state appropriated funds.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of budget modifications reviewed and approved within two weeks	100	100	100	100	100
Percent of Request to fill vacancies are reviewed using capacity reports, team configurations and geographic location, and are approved/denied within two weeks.	100	100	100	100	100

◆ **Goal 3** To promote victim and community restoration by holding juvenile standard probationers accountable for their court ordered financial obligations.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of standard probationers ordered to pay restitution, who are paying	90	75	95	85	85

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	5,635.5	5,969.3	6,101.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	5,635.5	5,969.3	6,101.4
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To ensure probationers are supervised to their level of risk.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of county JIPS programs (15) receiving informal site monitoring visits	100	100	100	100	100
Average annual cost per JIPS probation slot in prior fiscal year	11,008	13,000	11,256	12,000	12,000
Percent of counties maintaining appropriate caseload ratios as evidenced by monthly capacity reports.	100	100	100	100	100
Number of counties receiving a formal JIPS operational review.	2	4	2	4	4
Percent of JIPS probationers who successfully complete their term of probation.	74	75	72	75	75
Percent of JIPS probationers who unsuccessfully completed their term of intensive probation and were committed to ADJC.	17	15	12	15	15

◆ **Goal 2** To ensure that JIPS officers are trained and meet established standards.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of budget modifications reviewed and processed within two weeks of receipt	100	100	100	100	100
Percent of juvenile courts (15) whose JIPS program plan and budget are reviewed and approved	100	100	100	100	100
Percent of Request to fill vacancies reviewed, using capacity reports, team configurations and geographic location, approved/denied within two weeks.	100	100	100	100	100

◆ **Goal 4** To promote victim and community restoration by holding juvenile intensive probationers accountable for their court ordered financial obligations.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of JIPS probationers ordered to pay restitution who are paying	76	75	82	75	75

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	20,584.5	20,697.9	20,815.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	-3,226.6	1,652.7	1,652.7
Total Funding	17,357.9	22,350.6	22,468.3
FTE Positions	4.8	5.5	5.5

◆ **Goal 1** To audit and evaluate treatment programs for contract compliance and effective service delivery.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Service contractors audited for compliance with program standards	66	66	73	70	70
Percent of contractors monitored in satisfactory compliance with established program standards (70%+)	98	98	98	98	98
Average cost per contract to audit (dollars).	1,741	1,500	1,465	1,500	1,500

Explanation: Includes Travel and 2.25 FTE

◆ **Goal 2** To provide a comprehensive array of services and interventions for youth on probation.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Youth provided out of home services	345	500	289	400	400
Youth provided day support services	269	250	34	200	200
Youth provided counseling intervention	1,006	1,000	589	1,000	1,000
Youth provided drug testing	2,477	2,500	1,356	2,000	2,000
Youth provided evaluations and other services	1,346	1,500	1,015	1,400	1,400
Youth provided educational and vocational services	420	600	145	500	500
Percent of youth who don't re-offend within 12 months of program completion in prior fiscal year	84	80	87	85	85
Percent of youth with successful outcomes in functional family therapy	50	80	NA	NA	NA
Percent of youth with successful outcomes in Intensive Behavior Modification Program.	89	85	82	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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	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 manage and monitor the effective and efficient allocation and distribution of state appropriated funds.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of families served by the family counseling fund in prior fiscal year	819	900	769	800	900
Average cost per family in prior fiscal year	734	800	946.50	1,000	1,000
Average age of youth participating in family counseling program in prior fiscal year	16	16	16	16	16
Average sessions per family in prior fiscal year	7	7	8.4	7	7
Percent of juvenile courts (15) whose family counseling program plan and budget are reviewed and approved.	100	100	100	100	100

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,559.7	8,918.6	9,108.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	-532.8	-589.6	-589.6
Total Funding	8,026.9	8,329.0	8,519.3
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To ensure diversion eligible referrals are processed in a timely manner.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent of juveniles with an intake interview within 30 days of receipt of referral by the juvenile court	33	35	36	50	50

◆ **Goal 2** To promote victim and community restoration by holding diversion youth accountable for their assessed financial obligations.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of diversion youth assessed restitution, who are paying	100	90	100	85	85
Percent of parents of diversion youth assessed one-time parental assessment fee, who paid	74	90	80	85	85

◆ **Goal 3** To ensure consequences are successfully completed.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of diversion youth who successfully complete community restitution as assigned	87	85	88	85	85
Percent of diversion youth who successfully complete counseling as assigned	87	85	85	85	85
Percent of diversion youth who complete a Delinquency Prevention Education program as assigned	90	85	87	85	85
Percent of diversion youth who complete a Substance Abuse Education program as assigned	83	90	82	85	85

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. JCJF 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.

JCJF 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,336.6	5,011.0	5,011.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	2,336.6	5,011.0	5,011.0
FTE Positions	21.2	20.9	20.9

◆ **Goal 1** To manage and monitor the effective and efficient allocation and distribution of JCRF grant funds.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent of on-site monitoring visits conducted	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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Local programs funded	29	6	0	0	20
Explanation: Excludes LEARN Labs					
Youth served in local programs	43,456	36,800	0	36,800	68,000
LEARN labs	2	1	0	2	2

◆ **Goal 3** To support the administration and programs of the Arizona juvenile court system.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	11,825.8	11,622.3	12,413.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	11,825.8	11,622.3	12,413.1
FTE Positions	98.3	98.3	98.3

◆ **Goal 1** To provide fair and expeditious determination of cases.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
All cases on file	4,430	4,370	4,126	4,016	3,886
All cases terminated	2,679	3,100	2,695	2,739	2,776
Cases pending	1,751	1,480	1,402	1,299	1,131
Explanation: Cases pending are as of 6/30					
New case filings	2,618	2,725	2,375	2,376	2,400
Customer Satisfaction rating for settlement program	86	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	1,222	1,600	1,169	1,200	1,250
Cases decided where Supreme Court review was denied	418	510	408	450	450
Cases decided which Supreme Court review was granted and decision upheld	24	23	20	22	22

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	5,284.1	5,168.5	5,528.2
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	5,284.1	5,168.5	5,528.2
FTE Positions	38.5	38.5	38.5

◆ **Goal 1** To provide fair and expeditious determination of cases.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
All cases on file	1,465	1,750	1,234	1,400	1,500
All cases terminated	825	925	719	800	850
Cases pending	639	820	515	650	725
Explanation: Cases pending are as of 6/30					
New case filings	719	900	604	720	780
Customer Satisfaction rating for settlement program (Scale 1-8)	7.8	7.8	NA	7.8	7.8
Cases upheld upon review	783	880	687	700	735

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,033.1	1,080.0	1,098.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	185.0	215.0	215.0
Total Funding	1,218.1	1,295.0	1,313.3
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Participants sentenced to drug court.	600	811	397	811	811
Number of Participants retained at 180 day point	1,055	1,281	955	1,281	1,281
Number of Graduates from drug court	310	385	288	385	385

◆ **Goal 2** To measure, manage and monitor the effective and efficient allocation and distribution of state appropriated funds.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Participants admitted to drug court	81	75	48	65	60
Number of Participants retained at 180 day period	62	57	40	50	47
Number of graduates from drug court	23	19	17	20	22

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, prosocial activities, education, and career training that will lead them to become productive, healthy, law-abiding members of society.

Description:

The Arizona Department of Juvenile Corrections (ADJC) is responsible for youth 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 evidence-based treatment, supervision, rehabilitation, and education of the youth committed to its care and the continuum of programs and services provided to the youth transitioning from the State's secure care facility back to their communities. ADJC also facilitates the administration of the Interstate Commission for Juveniles and serves youth with significant mental health needs.

Agency Summary: (\$ Thousands)

Program	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
➤ HOUSING	25,119.4	28,350.1	28,350.1
➤ REHABILITATION	11,859.6	11,533.6	11,533.6
➤ ADMINISTRATION	9,183.4	6,801.6	6,801.6
Agency Total:	46,162.4	46,685.3	46,685.3
Funding:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	30,602.3	30,696.6	30,696.6
Other Appropriated Funds	14,259.3	14,921.9	14,921.9
Other Non Appropriated Funds	1,300.8	1,066.8	1,066.8
Total Funding	46,162.4	46,685.3	46,685.3
FTE Positions	392.2	440.5	440.5

Department of Juvenile Corrections

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Jeff Hood
Deborah Jones
07/14/2021

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, prosocial activities, education, and career training that will lead them to become productive, healthy, law-abiding members of society.

Agency Description: The Arizona Department of Juvenile Corrections (ADJC) is responsible for youth 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 evidence-based treatment, supervision, rehabilitation, and education of the youth committed to its care and the continuum of programs and services provided to the youth transitioning from the state's secure care facility back to their communities. ADJC also facilitates the administration of the Interstate Commission for Juveniles and serves youth with significant mental health needs.

Executive Summary: The Arizona Department of Juvenile Corrections (ADJC) has a vision to be a nationally 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 injuries by focusing on prevention and intervention and increasing training opportunity for staff.

Juvenile justice advances public safety through effective programming. ADJC delivers evidence-based, developmentally appropriate programs to the youth in our care. We 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.

#	Five Year Strategy	Start Year	Progress / Successes
1	Advance the safety of the citizens of Arizona, our employees, and the youth in our care	2018	<ul style="list-style-type: none">Decreased rate of violent incidents.Increased the safety of employees, youth, and the public by implementing effective and appropriate COVID-19 measures.Made progress on the new facility planning by launching a core team, which includes a contracted Facility Planning Consultant, and completing a preliminary project timeline.
2	Attract, retain, and develop a professional and engaged workforce to deliver quality services	2018	<ul style="list-style-type: none">Increased the ratio of engaged employees.Increased and enhanced Career Path training opportunities.Developed and implemented an internal YCO Stay Survey and began analyzing results.Began using the Diana Screen tool during hiring.Created and implemented agency telework policy, procedures, and training.
3	Consistently deliver evidence-based and responsive programs in a trauma informed environment	2018	<ul style="list-style-type: none">Completed motivational interview training for all Parole Officers and Youth Transition Specialists.Increased use of AZYAS strengths and barriers in community supervision case planning.Received grant funding to secure State ID cards for youth returning to the community.Maintained a high level of fidelity in the delivery of treatment groups.Completed the implementation of the Edgenuity credit recovery program.
4	Build and maintain stakeholder relationships	2018	<ul style="list-style-type: none">Developed an automated survey to assess the effectiveness of facility tours.
5	Fully deploy and integrate the Arizona Management System agency-wide	2018	<ul style="list-style-type: none">Increased AMS Deployment to 95% by establishing 14 new facility huddle boards.Increased AMS Maturity through continued training of the AMS elements.

Department of Juvenile Corrections

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase percentage of youth whose warrant is cleared within 24 days	<ul style="list-style-type: none"> Percentage of warrants cleared within 24 days 	<ul style="list-style-type: none"> Increase the number and quality of training opportunities for staff assigned to the warrant team. Develop standard work and staff training for operating a model secure care housing unit. Develop standard work to consistently address preventable violent incidents with facility staff. Develop, track, and complete new facility project milestones on-time.
	Reduce rate of violent incidents within secure care	<ul style="list-style-type: none"> Rate of violent incidents Number of staff injuries due to use of force or assault 	
	Assess options for a new secure care facility to replace Adobe Mountain prior to 2027	<ul style="list-style-type: none"> Percentage of milestones completed on-time 	
2	Improve employee engagement	<ul style="list-style-type: none"> Percentage of engaged employees 	<ul style="list-style-type: none"> Develop and implement initiatives specific to the 2021 Employee Engagement Survey responses, including creating measurable actions to address results. Develop and launch Sergeant-specific training. Continue effective Career Path training opportunity communications. Continue utilizing the YCO Stay Survey, analyzing results, and addressing areas of concern. Analyze and address employee Exit Survey feedback.
	Increase employee development opportunities	<ul style="list-style-type: none"> Number of opportunities for staff to receive Career Path training Number of employees completing Career Path training 	
	Decrease YCO turnover	<ul style="list-style-type: none"> Percentage of YCO turnover 	
3	Develop a plan for and begin integration of Trauma Informed Care	<ul style="list-style-type: none"> Percentage of milestones completed on-time 	<ul style="list-style-type: none"> Form a Trauma Informed Care oversight committee. Monitor fidelity checks, the assignment and completion of corrective action plans, and improvement in facilitators' performance. Provide enhanced training to staff on crisis intervention, risk assessment, and collaboration with clinical team for TSU referrals. Regularly review TSU referrals, identify trends in documentation deficiencies, and provide coaching to staff whose documentation of youth behaviors and staff intervention does not comply with policy. Increase the number of students participating in Thursday reading and math interventions. Develop and integrate reading and math intervention time into school classrooms. Increase the number of youth receiving State ID cards prior to release. Monitor the appropriate use of Graduated Interventions to ensure consistency in community supervision.
	Improve treatment services for youth in secure care	<ul style="list-style-type: none"> Percentage of monthly fidelity checks that meet or exceed expectations Percentage of TSU referrals with properly documented youth behaviors and staff interventions 	
	Increase reading and math abilities of youth in secure care	<ul style="list-style-type: none"> Percentage of youth who increase their reading and math levels 	
	Improve transitional/reentry planning and services	<ul style="list-style-type: none"> Percentage of youth enrolled in education or employed within 30 days of release to community supervision 	
	Increase percentage of youth successfully completing supervision	<ul style="list-style-type: none"> Percentage of youth successfully completing supervision 	
4	Increase understanding of ADJC services or operations with key stakeholders	<ul style="list-style-type: none"> Percentage of favorable responses on tour surveys 	<ul style="list-style-type: none"> Engage a committee to respond to tour survey feedback and make adjustments to tours as necessary.
5	Continue implementation of AMS deployment	<ul style="list-style-type: none"> AMS element deployment percentage AMS maturity score 	<ul style="list-style-type: none"> Continue element training, coaching, mentoring and refresher training. Establish a monthly schedule to assist huddle teams. Create standard work for all elements.

5 Year Plan

Issue 1 To advance the safety of the citizens of Arizona, our employees, and the youth in our care

Description 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 injuries by focusing on prevention and intervention and increased training for staff.

Solutions:

- Increase the number and quality of training opportunities for staff assigned to the warrant team
- Develop standard work and staff training for operating a model secure care housing unit
- Develop standard work to consistently address preventable violent incidents with facility staff
- Develop, track, and complete new facility project milestones on-time

Issue 2 Attract, retain, and develop a professional and engaged workforce to deliver quality services

Description ADJC must attract, retain and develop a professional and engaged workforce

Solutions:

- Develop and implement initiatives specific to the 2021 Employee Engagement Survey responses, including creating measurable actions to address results
- Develop and launch Sergeant-specific training
- Continue effective Career Path training opportunity communications
- Continue utilizing the YCO Stay Survey, analyzing results, and addressing areas of concern
- Analyze and address Employee Exit Survey feedback

Issue 3 Consistently deliver evidence-based and responsive programs in a trauma informed environment

Description ADJC delivers evidence-based programs to the youth and ensure they successfully complete treatment and behavior programming before the transition to the community.

Solutions:

- Form a Trauma Informed Care oversight committee
- Monitor fidelity checks, the assignment and completion of corrective action plans, and improvement in facilitators' performance
- Provide enhanced training to staff on crisis intervention, risk assessment, and collaboration with clinical team for TSU referrals
- Regularly review TSU referrals, identify trends in documentation deficiencies, and provide coaching to staff whose documentation of youth behaviors and staff intervention does not comply with policy
- Increase the number of students participating in Thursday reading and math interventions
- Develop and integrate reading and math intervention time into school classrooms
- Increase the number of youth receiving State ID cards prior to release
- Monitor the appropriate use of Graduated Interventions to ensure consistency in community supervision

Issue 4 Build and maintain stakeholder relationships

Description ADJC will continue to improve agency processes and services by building relationships with internal and external stakeholders.

Solutions:

- Engage a committee to respond to tour survey feedback and make adjustments to tours as necessary

Issue 5 Fully deploy and integrate the Arizona Management System agency-wide

Description ADJC will fully deploy and integrate Arizona Management System agency-wide

Solutions:

- Continue element training, coaching, mentoring and refresher training
- Establish a monthly schedule to assist huddle teams
- Create standard work for all elements

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	516.0	516.0	516.0
General Fund	30,696,600.0	30,696,600.0	30,696,600.0
Other Appropriated Funds	14,921,900.0	14,921,900.0	14,921,900.0
Non-Appropriated Funds	80,300.0	80,300.0	80,300.0
Federal Funds	986,500.0	986,500.0	986,500.0

- ◆ **Goal 1** To build and maintain stakeholder relationships

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of favorable responses on tour surveys	77.5	N/A	78	78	

- ◆ **Goal 2** To fully deploy and integrate the Arizona Management System agency-wide

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
AMS element deployment percentage	49.75	65	95	95	95
AMS maturity score	2.46	2.75	2.6	3.1	3.1

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 of 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	14,348.7	16,180.0	16,180.0
Other Appropriated Funds	10,414.6	11,788.8	11,788.8
Other Non Appropriated Funds	356.1	381.3	381.3
Total Funding	25,119.4	28,350.1	28,350.1
FTE Positions	230.4	269.2	269.2

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	3,308.1	2,719.7	2,719.7
Other Appropriated Funds	2,313.4	3,047.9	3,047.9
Other Non Appropriated Funds	356.1	381.3	381.3
Total Funding	5,977.6	6,148.9	6,148.9
FTE Positions	27.6	32.0	32.0

- ◆ **Goal 1** To advance the safety of the citizens of Arizona, our employees, and the youth in our care

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of milestones completed on-time for new secure care facility	100	68.95	100	100	100

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 the facility, medical appointments, and other appointments both scheduled and emergency related; radio communications to ensure instant communications with all areas inside the facility; 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 facility.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	7,917.8	10,230.1	10,230.1
Other Appropriated Funds	8,101.2	8,582.5	8,582.5
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	16,019.0	18,812.6	18,812.6
FTE Positions	186.0	217.0	217.0

- ◆ **Goal 1** To advance the safety of the citizens of Arizona, our employees, and the youth in our care.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Rate of violent incidents	13.8	12.8	10.6	10.4	10.4
Number of staff injuries due to use of force or assault		48	25	32	32

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 facility.

Description:

The Health Services Subprogram provides a delivery system that utilizes on-site professional health care staff in the secure facility and when deemed necessary, makes referrals to off-site hospitals and/or specialty health care providers.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	3,122.8	3,230.2	3,230.2
Other Appropriated Funds	0.0	158.4	158.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,122.8	3,388.6	3,388.6
FTE Positions	16.8	20.2	20.2

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,671.1	8,381.9	8,381.9
Other Appropriated Funds	2,297.0	2,520.5	2,520.5
Other Non Appropriated Funds	891.5	631.2	631.2
Total Funding	11,859.6	11,533.6	11,533.6
FTE Positions	107.1	114.8	114.8

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	660.0	735.5	735.5
Other Appropriated Funds	1,758.7	1,893.7	1,893.7
Other Non Appropriated Funds	786.3	569.3	569.3
Total Funding	3,205.0	3,198.5	3,198.5
FTE Positions	24.5	30.0	30.0

◆ **Goal 1** To consistently deliver evidence-based and responsive programs in a trauma informed environment

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of youth who increase their reading and math levels	0	0	N/A	57	57

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 rehabilitative programming appropriate to the youth's age, risk, needs, abilities, and committing offense(s). This includes a comprehensive screening, assessment, classification review, and orientation regarding the Department's policies, procedures, rules, programs, and services. Additionally, youth behavior is managed through a process that ensures the safety and security of youth, staff, and other persons at Adobe Mountain School by providing and undisrupted environment in which all youth services can be effectively provided. Through the day correctional staff monitors and manage youth movement within the complex and a wide variety of work sites. In addition, ADJC utilizes Positive Behavior Intervention (PBIS) as a framework for providing behavioral support for youth socially, emotionally, and academically by placing emphasis on prevention and the sustained use of effective practices.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	5,011.1	4,510.5	4,510.5
Other Appropriated Funds	396.0	626.8	626.8
Other Non Appropriated Funds	105.2	61.9	61.9
Total Funding	5,512.3	5,199.2	5,199.2
FTE Positions	54.6	55.8	55.8

◆ **Goal 1** To consistently deliver evidence-based and responsive programs in a trauma informed environment

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of monthly fidelity checks that meet or exceed expectations		84.5	94	93.3	93.3
Percentage of TSU referrals with properly documented youth behaviors and staff interventions	0	0	N/A	75	75
Percentage of milestones completed on-time	0	0	N/A	100	100

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 Corrections Subprogram is responsible for the transition from secure care to the community of youth that works to ensure the youth is ready for release. Each youth is released with an Individual Release Plan that includes home or placement expectations; individual community treatment, education, and work program goals; and conditions of supervision. While in the community, youth receive focused case management and supervision from Parole Officers and are provided access to ongoing treatment, programs and services as needed by various agencies throughout the state with whom ADJC contracts or collaborates. Interventions available through ADJC or through collaborative case plans with other agencies include; residential services, home-based therapy, and outpatient therapy.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	3,000.0	3,135.9	3,135.9
Other Appropriated Funds	142.3	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	3,142.3	3,135.9	3,135.9
FTE Positions	28.0	29.0	29.0

◆ **Goal 1** To consistently deliver evidence-based and responsive programs in a trauma informed environment

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent of paroled youth productively involved in education or employment activities or programs	71.5	72.8	91	92	92
Percentage of youth successfully completing supervision	27.86	27.2	45.5	48	48
Percentage of youth enrolled in education or employed within 30 days of release to community supervision	73.5	79.6	N/A	87	87

◆ **Goal 2** To advance the safety of the citizens of Arizona, our employees, and the youth in our care

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percentage of warrants cleared within 24 days	69	86	62.2	73.8	73.8

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:

Administration provides support and services required to change the lives of juveniles under ADJC care. Areas of Administration 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	7,582.5	6,134.7	6,134.7
Other Appropriated Funds	1,547.7	612.6	612.6
Other Non Appropriated Funds	53.2	54.3	54.3
Total Funding	9,183.4	6,801.6	6,801.6
FTE Positions	54.8	56.5	56.5

- ◆ **Goal 1** To attract, retain, and develop a professional and engaged workforce to deliver quality services

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of engaged employees	0	0	72	77	77
Number of opportunities for staff to receive Career Path training		4.75	4	5	5
Number of Employees completing Career Path training	0	0	N/A	25	25
Percentage of YCO turnover	39.4	25.8	45.3	30	30

Agency Summary

STATE LAND DEPARTMENT

Lisa A. Atkins, Commissioner
Phone: (602) 542-4621
A.R.S. § 37-102

Mission:

To responsibly manage the assets of a multi-generational perpetual trust in alignment with the interests of the beneficiaries and Arizona's future.

Description:

The 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ TRUST MANAGEMENT AND REVENUE GENERATION	21,946.3	26,498.1	31,594.4
➤ OUTSIDE ASSISTANCE AND GRANTS	686.0	748.6	748.6
Agency Total:	22,632.3	27,246.7	32,343.0
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	13,818.5	13,315.1	15,411.4
Other Appropriated Funds	6,891.9	12,588.7	15,588.7
Other Non Appropriated Funds	1,922.0	1,342.9	1,342.9
Total Funding	22,632.3	27,246.7	32,343.0
FTE Positions	0.0	0.0	0.0

State Land Department

Fiscal Year 2022 Strategic Plan

Agency Director:
Strategic Planner:
Last modified:

Lisa A. Atkins
Sean Burke
7/15/2021

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: 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.

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.

Our strategic priorities are focused on the following :

- **Cultivating a Culture of Continuous Improvement and Learning through AMS and Employee Development**
- **Making 100% of the Department's Services Available On-Line**
- **Improving the Marketability of the Trust Portfolio Through Proactive Planning**
- **Promoting Strategic Partnerships and Relationships to Jointly and Economically Manage State Trust Lands**
- **Maximizing the Use of Non-General Fund Sources to Minimize the Impact of Market Cycles on Operations**

Summary of 5 Year Strategic Priorities

#	M-Y Strategy	Start	Progress & Major Successes
1	Culture of Continuous Improvement and Learning	2017	<ul style="list-style-type: none"> • AMS implementation score at 3.6 • Increased overall Employee Engagement to 82% • Analyzed all application and billing processes, improved primary bottlenecks & reduced rework • Concluded all bankruptcy claims and lawsuits related to leasehold interests in Desert Ridge
2	Make 100% of Services Available On-line	2017	<ul style="list-style-type: none"> • Increased % Services On-line from 10% to 100% • Closed the on-premise datacenter reducing capex costs and increasing overall system reliability. • Established Self-Service capabilities through Customer Application and Public Inquiry Portals through a Cloud-based portal - Salesforce
3	Improve Marketability of Trust Portfolio	2017	<ul style="list-style-type: none"> • Implemented Zoning Banks to accelerate land entitlement in Scottsdale, Tucson and Queen Creek • Proactively brought 16 land parcels to auction, where the Department was the applicant • Received favorable determination from US ACOE on the Clean Water Act Sect. 404 for Desert Ridge • On track to achieve more than \$600 million in land sales in FY 2021; the highest year on record
4	Strategic External Partnerships	2017	<ul style="list-style-type: none"> • Established MOUs and ISAs with DFFM, AG&F & ASP&T to better manage non-urban lands • Established recurring meeting cadence with various stakeholders, cities & municipalities • Partnered with AGIC to release a modernized AZGeo portal, used by state agencies & local govts
5	Maximize Non-General Fund Sources	2020	<ul style="list-style-type: none"> • Established 7 external grants since FY 2019 • Improved utilization on Due Diligence Fund • Established the "Rawhide Wash Flood Control Improvement Fund" with the City of Phoenix

State Land Department

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

#	FY22 Annual Objectives	Metrics	Annual Initiatives
1	Improve inter/intra agency collaboration by relocating Department to 1110 W Washington	% of milestones met	Hire design consultant; hold planning workshops; complete test/fit feasibility; move to new location
2	Improve efficiency by centralizing agency-wide document scanning, retrieving and storage process	% of milestones met	Eliminate filing backlogs; inventory all sections' files; design new workflows; implement at new location
3	Improve sustainability by developing plan to transition all land title & lease records to Salesforce	% of milestones met; Plan approval	Develop plan to migrate processes; identify internal support team; develop phased cut-over plan
4	Improve efficiency by transitioning all billing processes from paper to a Salesforce workflow	No. of processes in Salesforce	Categorize and map all billing processes; define standards; develop and integrate; test and release
5	Partner with AZ Commerce Authority (ACA) to bring strategic State Trust Land (STL) parcels to market	No. of auctions held for ACA parcels	Finalize strategic parcel list; create budget projects; complete projects; schedule auctions
6	Enhance the value of STL by proactively planning and zoning Azara Parkway in Paradise Ridge	% of milestones met	Obtain agreement from City of Phx. on traffic studies; complete public hearing; revise General Plan & maps
7	Improve the management of non-urban lands by implementing the MOUs with AGFD and DFFM	No. of acres treated; No. of patrols done	Jointly schedule acre treatments & trespass patrols on STL. Execute treatments & patrols per schedules
8	Enhance the value of STL by creating a database of Natural Resources (NR) and identifying future uses	No. of wells inspected No. mineral sites visited	Establish mineral site visit schedule; develop GPS well inspection process and criteria; create database
9	Maximize non-general fund uses by improving the utilization of the Due Diligence Fund (DDF)	Total spent in DDF; Total recouped in DDF	Complete planned DD projects; hold auctions; optimize DD spend and recovery work-flows
10	Maximize non-general fund uses by utilizing the Drought Mitigation Revolving Fund (DMRF)	No. of DMRF grants applied for	Develop list of potential projects; partner with ADWR to prioritize projects, apply for grants

5 Year Plan

Issue 1 Improvement of Trust Portfolio Marketability

Description Optimize the strong commercial real estate market in Arizona and develop plans to use the Department's water and minerals assets to maximize the value of State Trust Land.

Solutions:

Partner with the Arizona Commerce Authority to bring State Trust Land parcels to market and enhance the value of the State Trust Land by proactive planning and zoning in Paradise Ridge.

Issue 2 Maximization of Non-General Fund Sources

Description Develop plan to maximize utilization of non-General Fund sources by seeking relevant grant opportunities and improve usage of other available funds when appropriate.

Solutions:

Seek external grant opportunities and improve utilization of the Due Diligence Fund

Issue 3 Make 100% of Services Available Online

Description Establish self-service capabilities through customer application and public inquiry portals through a cloud-based portal to increase efficiencies, reduce time, and reduce errors.

Solutions:

Improve efficiencies and sustainability of billing processes, and land title and lease records to Salesforce.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	129.7	129.7	129.7
General Fund	13,911.4	13,911.4	13,911.4
Other Appropriated Funds	15,588.7	15,588.7	15,588.7
Non-Appropriated Funds	1,342.9	1,342.9	1,342.9
Federal Funds	200.0	250.0	300.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	13,429.1	12,925.7	15,022.0
Other Appropriated Funds	6,699.7	12,328.1	15,328.1
Other Non Appropriated Funds	1,817.5	1,244.3	1,244.3
Total Funding	21,946.3	26,498.1	31,594.4
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To Cultivate a Culture of Continuous Improvement and Learning

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Cancellations, Credit Memos & Refunds issued	728	700	697	700	700
Number of vehicles "under-utilized". Driven less than 8,000 miles in prior 12 months	8	5	8	5	2

◆ **Goal 2** To Transition to the Digital Age

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of Services Available On-line.	75	90	75	100	100
Number of Billing Processes in Salesforce workflow	2	10	2	10	0

◆ **Goal 3** To Improve the Marketability of the Trust Portfolio Through Proactive Planning

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Zoning Banks established in urban areas	4	6	1	2	2
Project Milestones Met	1	1	1	1	1

◆ **Goal 4** To Maximize the Use of Non-General Fund Sources to Minimize the Impact of Market Cycles on Operations"

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Per Commissioner's Initiative (PCI) sales executed	1	4	6	6	3
Number of external Grants Opened & Closed	3	3	3	3	3

Program Summary

OUTSIDE ASSISTANCE AND GRANTS

Sean Burke, Administration Division Director
Phone: (602) 542-3238
A.R.S. 37

Mission:

To provide administrative direction, coordination, assistance and services to program areas legislatively assigned to State Land Department

Description:

The Department and 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	389.4	389.4	389.4
Other Appropriated Funds	192.2	260.6	260.6
Other Non Appropriated Funds	104.5	98.6	98.6
Total Funding	686.0	748.6	748.6
FTE Positions	0.0	0.0	0.0

◆ Goal 1 To Promote strategic Partnerships to Jointly and Economically Manage Trust Lands

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Project Milestones Met		3	0	3	0
Number of MOUs & ISAs Signed with DFFM & AG&F	1	3	2	2	2

Subprogram Summary

ARIZONA CENTER FOR GEOGRAPHIC INFORMATION, COORDINATION AND SERVICES

Sean Burke, Administration Division Director
Phone: (602) 542-3238
A.R.S. §§ 37-171 to 37-176

Mission:

To provide assistance to public agencies in AZ to effectively use Geographic Information System (GIS) technology in the performance of their mandated duties and to foster the cooperative development, maintenance and use of GIS among public agencies 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 AZ Geographic Information Council and the Government Information Technology Agency. The AZ 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	389.4	389.4	389.4
Other Appropriated Funds	192.2	260.6	260.6
Other Non Appropriated Funds	104.5	98.6	98.6
Total Funding	686.0	748.6	748.6
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To design, develop, maintain and distribute digital geospatial datasets to public agencies

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Datasets accessible through AGIC, ALRIS or SCO websites	525	550	1969	2000	2100

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	20,227.1	21,223.5	23,261.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,084.6	1,310.3	1,310.3
Total Funding	21,311.7	22,533.8	24,571.6
FTE Positions	220.8	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
External quality control review resulted in a clean opinion (triennial review)			N/A	Yes	N/A
Percentage of reports issued within designated time frames	85	90	86	90	90

◆ **Goal 2** To identify and communicate on high-impact issues

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of administrative recommendations implemented or adopted within two years for performance audits	88	90	80	90	90
Percentage of legislative recommendations implemented or adopted within two years	100	60	N/A	60	60
Percentage of financial and federal compliance audit information technology recommendations implemented by auditees within 3 years of report issuance	82	75	54	75	75
Percentage of financial and federal compliance audit administrative recommendations implemented by auditees within 2 years of report issuance	87	75	83	75	75
Percentage of districts no longer in noncompliance within 2 years of 90-day letter issuance	89	60	77	60	60

◆ **Goal 3** To hire, develop, and retain a high-quality workforce

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of staff turnover	13	15	15	15	15

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.

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of positive survey ratings regarding accuracy of bill drafting	100	100	99	100	100
Percent of positive survey ratings regarding timeliness of bill drafting	99	100	96	97	98
Percent of positive survey ratings regarding accuracy of legal research	99	100	97	98	99
Percent of positive survey ratings regarding timeliness of legal research	99	100	97	98	99

◆ **Goal 2** To increase awareness of Legislative Council's functions among legislators, legislative staff, state agencies and lobbyists.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of survey respondents indicating awareness of Legislative Council's bill drafting function	100	100	100	100	100
Percent of survey respondents indicating awareness of Legislative Council's legal research function	97	98	96	97	98

- ◆ **Goal 3** To increase the comfort level of all legislative computer users through training and support.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of positive survey ratings regarding accuracy of computer help desk	100	100	98	99	100
Percent of positive survey ratings regarding timeliness of computer help desk	99	100	98	99	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of individuals assisted	6,718	8,600	9,750	9,300	9,500

- ◆ **Goal 2** To respond to citizen complainants in a timely manner.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of initial responses to citizen inquiries made within two business days	97	90	95	95	95
Percent of notices of investigation sent within 30 days	98	90	97	97	97
Percent of investigations completed within 3 months	97	88	96	96	96
Percent of citizens responding "strongly agree" or "agree" to timeliness question on customer satisfaction survey	93	90	88	90	90

- ◆ **Goal 3** To prevent recurrence of similar complaints by identifying and correcting patterns of undesirable administrative practices.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of recommendations accepted by agencies	99	98	99	98	98

Explanation: 94

- ◆ **Goal 4** To provide courteous and impartial service to citizens.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of citizens responding "agree" or "strongly agree" to courtesy question on survey	96	95	90	95	95
Percent of citizens responding "strongly agree" or "agree" to impartiality question on the customer satisfaction survey	93	93	83	93	93

Agency Summary

DEPARTMENT OF LIQUOR LICENSES AND CONTROL

Heston Silbert, Interim 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 efficiently 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 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.

Agency Summary: (\$ Thousands)

Program	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
➤ ADMINISTRATION	1,206.2	1,149.5	1,120.9
➤ INVESTIGATIONS	2,652.7	3,200.9	5,269.5
➤ LICENSING	1,015.6	1,436.9	1,436.9
Agency Total:	4,874.5	5,787.3	7,827.3

Funding:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,493.0	4,456.3	6,496.3
Other Non Appropriated Funds	1,381.5	1,331.0	1,331.0
Total Funding	4,874.5	5,787.3	7,827.3

FTE Positions	<u>54.2</u>	<u>59.2</u>	<u>59.2</u>
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Department of Liquor Licenses and Control

Fiscal Year 2022 Strategic Plan 2-pager

Interim Director:
Strategic Planner:
Last modified:

Colonel Silbert
Wesley Kuhl
07/21/2021

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: The Department endeavors to realize the Governor's vision to deliver *government at the speed of business*, applying effort in key areas tied to its mission.

Technology improvements and leveraging technology present the greatest accelerators to success. A new licensing system, implemented in February 2018 and buildout of website tools in 2020 connect 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. More is planned on the horizon in the coming years.

A commitment to continuous improvement through the Arizona Management System (AMS) has proven instrumental for leveraging and developing talent, eliminating waste in processes, and optimizing 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 FY2021 close, there were 15,169 active licenses and 27 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	21 st Century Business - enrich technology tools and opportunities.	2016	Replaced 26-year old data base system in 2018 with new e-license tool. Spent FY2019 creating and implementing e-license user orientation training and supporting FAQ page on the website. In FY2020, built eight web-based licensing tools orphaned in the new e-license system project, and completed eight system enhancements. COVID-19 mitigation strategies focused on licensee relief and employee telework dominated late FY2020 and most of FY2021 efforts.
2	Accelerate agency performance.	2016	In FY2017, reduced the # of days to issue a new license and updated agency forms to retain only value-added content. Next, standardized license application processing methods to improve staff effectiveness. In FY2019, reduced the # of days to complete a site inspection which impacted the # of days to issue a license. Also increased training opportunities for civilian staff. In FY2020, created a web-based audit tool to simplify annual reporting for licensees and save staff time through automation. In FY2021, initiated a second forms update project to reduce applicant error rates.
3	Promote and act to create safe communities.	2015	In fiscal years 2016 and 2017, reduced the # of days to resolve a citizen complaint. In FY2018, tackled reducing alcohol sales to persons under 21. In 2019, increased prevention activities to promote abstinence of alcohol among those under 21, plus collaborated with other state agencies on addressing wrong way driver fatality cases on freeways. In FY2020, created the web-based audit tool shown in Strategy 2. Pandemic mitigation strategies aimed at promoting public health were central to FY2020 and 2021 efforts.

Department of Liquor Licenses and Control

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Implement program requirements specific to HB 2773 Alcohol-To-Go, Mixed Cocktails To Go, and Contracted Delivery Driver provisions.	<ul style="list-style-type: none"> Phase 1 - % of project plan milestones timely completed to meet legislative implementation date of October, 1, 2021. Phase 2 - % of project plan milestones timely completed to meet full implementation of program requirements. 	<ul style="list-style-type: none"> Develop project plan based on deliverables and dates from the bill language and vendor availability. IT e-license project to create electronic systems capability for alcohol-to-go licensing. Empanel representative employee group to participate. Engage external resource support: procurement, legal, risk, technology, accounting, industry authors, professional services vendors, and e-license system vendor. Execute project plan.
1	Implement information technology improvements.	<ul style="list-style-type: none"> % of annual milestones completed. 	<ul style="list-style-type: none"> Assess the IT infrastructure. Plan and design. Procure systems. Install systems. Conduct applicable internal user training.
2	Reduce customer error rate on application forms at the initial point of submission.	<ul style="list-style-type: none"> % of customers accurately completing forms. 	<ul style="list-style-type: none"> Update forms by eliminating multi-use forms and replace with single use forms drafted by staff. All forms are to include instructions. Empanel external stakeholder group for input on proposed forms. Update forms. Develop and implement communication plan for rollout of forms to industry members. Publish forms, assess results, and adjust forms where needed.
2,3	Reduce the compliance case adjudication timeframe.	<ul style="list-style-type: none"> # of days to adjudicate a compliance case. 	<ul style="list-style-type: none"> Map current Compliance processes with key deliverables. Utilize assessment tools to challenge assumptions, question current process steps. Explore avenues showing opportunities for improvement. Involve stakeholders for input. Test. Retain process steps resulting in metric improvements. Update Compliance process flow map and document standard work.
2	Improve customer service and operational abilities.	<ul style="list-style-type: none"> % of unfilled employee positions. 	<ul style="list-style-type: none"> Post listings for job openings on the state's jobs website. Encourage employee outreach to recruit diverse and talented people. Fill identified and budgeted vacant positions in the Licensing section for the new alcohol-to-go program, Information Technology, Investigations and Administrative sections.

5 Year Plan

Issue 1 New alcohol to go implementation

Description Implement program requirements specific to HB2773 Alcohol-To-Go, Mixed Cocktails To Go, and Contracted Delivery Driver previsions.

Solutions:

Strategic Plan: Strategy #1 - 21st century business - enrich technology tools and opportunities.

Issue 2 information technology improvements

Description Implement information technology improvements

Solutions:

Straegic Plan: Strategy #1 - 21st century business - enrich technology tools and opportunities.

Issue 3 High customer error rates on application forms

Description Reduced customer error rate on application forms at the initial point of submission.

Solutions:

Sttrategic Plan: Strategy #2 - accelerrate agency performance.

Issue 4 High adjudication timeframes

Description Reduce the compliance case adjudication timeframe.

Solutions:

Strategic Plan #2 & #3 - Accelerate agency performance and promote and act to create safe communities.

Issue 5 High employee vacancy rate

Description Improve customer service and operational abilities.

Solutions:

Strategic Plan #2 - Accelerate agency performance.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	51.2	51.2	51.2
General Fund	0.0	0.0	0.0
Other Appropriated Funds	5,824,917.0	5,824,917.0	5,824,917.0
Non-Appropriated Funds	1,517,183.0	1,609,014.0	1,706,404.0
Federal Funds	0.0	0.0	0.0

◆ **Goal 1** To enrich technology tools and opportunities - 21st century business.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of on line services	100		100	N/A	N/A

Explanation: Completed in FY20

Program Summary

ADMINISTRATION

Nathaniel Snyder, Compliance Enforcement Coordinator
 Phone: (602) 542-9027
 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 efficiently license qualified applicants.

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 Compliance Unit receives actionable reports of liquor law violations and resolves those cases through communication with licensees and issues formal compliance actions when appropriate. 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,198.9	1,073.0	1,044.4
Other Non Appropriated Funds	7.3	76.5	76.5
Total Funding	1,206.2	1,149.5	1,120.9
FTE Positions	12.2	14.2	14.2

◆ **Goal 1** To enrich technology tools and opportunities - 21st century business.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Phase 1 - % of project plan milestones timely completed to meet legislative implementation date of October 1, 2021.	0	0	0	100	N/A
Explanation: New for FY22					
Phase 2 - % of project plan milestones timely completed to meet full implementation of program requirements.	0	0	0	100	N/A
Explanation: New for FY22					
% of annual milestones completed.	0	0	0	100	N/A
Explanation: New for FY22					

Program Summary

INVESTIGATIONS

Matt Kunda, Captain
 Phone: (602) 542-9076
 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 efficiently license qualified applicants.

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.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,342.7	2,021.7	4,090.3
Other Non Appropriated Funds	1,310.0	1,179.2	1,179.2
Total Funding	2,652.7	3,200.9	5,269.5
FTE Positions	25.0	26.0	26.0

◆ **Goal 1** To accelerate agency performance

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average number of days to complete a site inspection	49	49	37	49	49

◆ **Goal 2** To promote and act to create safe communities

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of alcohol sales to underage	13	20	20	20	20
Number of youth outreach and education training deliveries	744	235	678	335	335
Days to resolve a public complaint	29	35	25.9	35	35

Program Summary

LICENSING

Wesley Kuhl, Assistant Director
 Phone: (602) 542-9072
 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 efficiently license qualified applicants.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	951.4	1,361.6	1,361.6
Other Non Appropriated Funds	64.2	75.3	75.3
Total Funding	1,015.6	1,436.9	1,436.9
FTE Positions	17.0	19.0	19.0

◆ **Goal 1** To accelerate agency performance.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
% of customers accurately completing forms.	42	44	58	82	82

◆ **Goal 2** To accelerate agency performance

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Licensing staff time with walk-in customers.	12	20	10	20	20

Agency Summary

LOTTERY

Gregory R. Edgar, Executive Director
Phone: (480) 921-4505
A.R.S. §§ 5-551 et seq.

Mission:

To support Arizona programs 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	162,491.8	152,075.1	152,385.3
Other Non Appropriated Funds	1,938,105.5	1,746,626.1	1,746,626.1
Total Funding	2,100,597.3	1,898,701.2	1,899,011.4
FTE Positions	98.8	98.8	98.8

Vision: Recognized as the first choice for gaming entertainment, while serving the State of Arizona.

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: In FY22, we will continue to adapt our work environment to meet the ever changing challenges of the COVID-19 era by focusing on safety and developing workplace flexibility. We will continue to strengthen our AMS capabilities by engaging our vendor workforce in the principles.

2. Retail network: Increasing our understanding of our impact on retailer so that we can deliver a better lottery experience.

3. Player base: Continue strengthening player base by adding new draw based games and opportunity for wins through digital platforms.

4. Lottery impact on the state of Arizona: Continue to create opportunity to showcase beneficiaries. Develop new product lines to help us increase beneficiary transfer.

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; Supported employee educational goals by providing tuition assistance and learning opportunities; Employee Engagement score of 79%. Expanded industry education; developed agency-wide career path plan. Technology overhaul; Ergonomic improvements; During COVID-19 adapted work to maintain workforce by expanding alternative telework capabilities and employee protection in office.
2	Expand retail network and improve retailer experience	2017	First-in-nation successful Costco pilot of 17 stores; third-in-the-nation installations in Walmart Supercenters; first-in-the-nation partnership with Walmart to co-locate Lottery redemption center in store; new retailer portal; upgraded CRM software; expanded jackpot signs at retail, visual cue to increase out-of-stock awareness in vending machines. Lottery ticket van and vending machine expansion with debit capability. Impacted retail theft through SG SCiQ system. COVID - extended payment terms for Lottery retailers. Implemented service model (RSS) for retail with CVS and exploring opportunities with Walmart. Implemented QuickCard product at Dollar General, Fry's and will be expanding to Circle K, Family Dollar and Lowes.
3	Strengthen player base through innovative and entertaining products	2017	Implemented Fast Play and Triple Twist; Expansion of \$20 price point in both scratch and Fast Play; introduced \$30 ticket in scratch; wider game availability on Scratchers™ games; Introduction of Players Club loyalty program and mobile ticket checker. <u>Expansion of 2nd Chance promotions; implemented player based promotions via PlayOn platform migration in Players Club.</u> Implemented COVID-19 response focused on getting winning experiences in the hands of as many people as possible. Focused on people employed in affected industry.
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. During COVID-19 focused marketing to support Gives Back messaging and supported AZDHS with advertising capabilities.
5	Increase Lottery Impact in the State of Arizona	2017	Increased Beneficiary transfer by close to \$100M in five years and expanded efforts to leverage Lottery resource to strengthen beneficiary impact.

Arizona Lottery

Fiscal Year 2022 Strategic Plan

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Improve employee engagement in opportunity areas	<ul style="list-style-type: none"> Number of Kudos (employee recognitions) presented each month Number of Kaizen Teians implemented with sustainable improvement Number of professional development opportunities completed each month Percent of lottery leadership positions with internal succession plans 	<ul style="list-style-type: none"> Problem solve opportunity areas identified within the Employee Engagement Survey Conduct pulse checks on identified Employee Engagement opportunity areas Formalize an employee recognition program
1	Improve Vendor engagement in the Arizona Management System (AMS) problem solving methodology	<ul style="list-style-type: none"> Implementation of AMS processes percentage 	<ul style="list-style-type: none"> Identify problems benefiting from A3 problem solving Conduct problem solving including appropriate vendor partners
2	Improve retailer experience (Frictionless retailer experience)	<ul style="list-style-type: none"> Number of Route Sales Specialist (RSS) service calls placed to the Scientific Games hotline Days of time between retailer call and fix for issues/problems called into the Scientific Games Retailer Hotline Days from date Scientific Games problem surfaced on problem board to fix Percent of implementation for accounting communication on lottery billing for retailers Number of failed vending machine burster events 	<ul style="list-style-type: none"> Problem solve with Scientific Games high volume categories for RSS service calls Conduct an in-depth retailer satisfaction survey to understand and solve priority Retailer pain points Develop communication plan to help Retailers understand Lottery billing processes Compile needed resources to communicate accounting details to retailers. Identify avenues for communication of billing information for retailers.
2	Expand retailer network	<ul style="list-style-type: none"> Number of vending machines (PCT HD, PCTEX, PCT LP) deployed. Net number of lottery retailers 	<ul style="list-style-type: none"> Develop and deploy vending machine distribution. Expand presentations to corporate accounts not currently selling lottery products. Increase number of team members recruiting new retailers.
3	Implement Keno	<ul style="list-style-type: none"> Percent of Keno phase implementation 	<ul style="list-style-type: none"> Formalize six phased approach to implement Keno Implement Phase 1 and Phase 2 in FY22
3	Strengthen and retain player base	<ul style="list-style-type: none"> Sales of \$50 game Active Players as a percentage of overall Players Club members 	<ul style="list-style-type: none"> Player adaptability to new products - acceptance of new product lines Increase overall player engagement in the Arizona Lottery Players Club
	Increase awareness of		

5 Year Plan

Issue 1 Invest in workforce success

Description Pilot Kaizen Teian across the agency; Supported employee educational goals by providing tuition assistance and learning opportunities; Employee Engagement score of 79%. Expanded industry education; developed agency-wide career path plan. Technology overhaul; Ergonomic improvements; During COVID-19 adapted work to maintain workforce by expanding alternative telework capabilities and employee protection in office

Solutions:

Problem solve opportunity areas identified within the Employee Engagement Survey

Conduct pulse checks on identified Employee Engagement opportunity areas

Formalize an employee recognition program

Identify problems benefiting from A3 problem solving

Conduct problem solving including appropriate vendor partners

Issue 2 Expand retail network and improve retailer experience

Description First-in-nation successful Costco pilot of 17 stores; third-in-the-nation installations in Walmart Supercenters; first-in-the-nation partnership with Walmart to co-locate Lottery redemption center in store; new retailer portal; upgraded CRM software; expanded jackpot signs at retail, visual cue to increase out-of-stock awareness in vending machines. Lottery ticket van and vending machine expansion with debit capability. Impacted retail theft through SG SCiQ system. COVID - extended payment terms for Lottery retailers. Implemented service model (RSS) for retail with CVS and exploring opportunities with Walmart. Implemented QuickCard product at Dollar General, Fry's and will be expanding to Circle K, Family Dollar and Lowes.

Solutions:

Problem solve with Scientific Games high volume categories for RSS service calls

Conduct an in-depth retailer satisfaction survey to understand and solve priority Retailer pain points

Develop communication plan to help Retailers understand Lottery billing processes

Compile needed resources to communicate accounting details to retailers.

Identify avenues for communication of billing information for retailers.

Develop and deploy vending machine distribution.

Expand presentations to corporate accounts not currently selling lottery products.

Increase number of team members recruiting new retailers.

Issue 3 Strengthen player base through innovative and entertaining products

Description Implemented Fast Play and Triple Twist; Expansion of \$20 price point in both scratch and Fast Play; introduced \$30 ticket in scratch; wider game availability on Scratchers™ games; Introduction of Players Club loyalty program and mobile ticket checker. Expansion of 2nd Chance promotions; implemented player based promotions via PlayOn platform migration in Players Club. Implemented COVID-19 response focused on getting winning experiences in the hands of as many people as possible. Focused on people employed in affected industry.

Solutions:

Formalize six phased approach to implement Keno

Implement Phase 1 and Phase 2 in FY22

Player adaptability to new products - acceptance of new product lines

Increase overall player engagement in the Arizona Lottery Players Club

Issue 4 Increase awareness of Lottery impact on the state of Arizona

Description Proactive earned media outreach; Arizona Storytellers events and beneficiaries videos. Local Artist in Residence, social media beneficiary strategy, developed and implemented Core Initiative program. During COVID-19 focused marketing to support Gives Back messaging and supported AZDHS with advertising capabilities.

Solutions:

Increase beneficiary earned media exposure

Issue 5 Increase Lottery Impact in the State of Arizona

Description Increased Beneficiary transfer by close to \$100M in five years and expanded efforts to leverage Lottery resource to strengthen beneficiary impact.

Solutions:

Increase beneficiary transfer

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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 improve employee and vendor engagement.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of professional development opportunities completed	1973	900	1259	900	NA
Number of employee recognitions awarded	458	1,056	646	528	NA
To reduce the percent of agency on-site work hours (percent)	0	0	NA	45	NA
Percent implementation of AMS processes		75	75	45	NA
Number of Kaizen Teians implemented with sustainable improvement	0	0	NA	96	NA

◆ **Goal 2** To improve the retailer experience and expand the retailer network.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of retailer compliance inspections	1,910	1,080	1,245	2160	NA
Number of net new retailers		120	201	105	NA
Number of Route Sales Specialist (RSS) service calls placed to Scientific Games hotline	0	0	NA	428	NA
Average minutes between retailer call and resolution for issues called into Scientific Games hotline	0	0	NA	282,272	NA
Average days from date Scientific Games problem reported until resolved	0	0	NA	185	NA
Number of product vending machines deployed		624	384	202	NA
Average monthly number of failed vending machine events	0	0	NA	6,462	NA

◆ **Goal 3** To strengthen and retain the player base.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Player's Club revenue (in millions)		75.2	197.2	NA	NA
Active players as percentage of overall Player's Club members (percent)	0	0	NA	30	NA
Sales of \$50 instant game (in millions)	0	0	NA	55.7	NA
Percent of Keno phase implementation	0	0	NA	45	NA

◆ **Goal 4** To increase awareness of Lottery impact across the state of Arizona.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of speaking engagements	30		31	27	NA
Beneficiary earned media value		240,000	944,706	480,000	NA
◆ Goal 5 To increase Lottery impact in the State of Arizona					
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Dollar amount of Lottery ticket sales distributed to state beneficiaries (in millions)	196.5	224.8	242.3	238.9	NA

Explanation: FY21 actual does not include a final profit transfer to be processed upon completion of the annual financial audit.

Dollar amount of instant ticket sales (in millions)	848.4	897.2	1,109.8	985.0	NA
Dollar amount of draw game sales (in millions)	241.5	241.2	317.5	253.6	NA
Dollar amount of instant tab sales (in millions)	8.1	7.3	10.9	11.8	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	470.6	502.5	543.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	470.6	502.5	543.0
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:

Executive 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 fields 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 collaboratively with State, County, and Local law enforcement on removing convicted offenders from the industry.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	5.0	5.0	5.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	543.0	543.0	543.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Massage therapy applications received for initial licensure and biennial renewal.	5,300	6,000	5600	6600	6600
Average number of days to process an initial license application.	39	40	60	40	40
Average number of days to process a renewal application.	17	17	14	10	10

◆ **Goal 2** To investigate and adjudicate complaints in a timely manner.

Performance Measures	FY 2020	FY 2021	FY 2021	FY 2022	FY 2023
	Actual	Estimate	Actual	Estimate	Estimate
Complaints received against massage therapists	173	190	210	235	235
Complaints resolved in the fiscal year.	165	180	195	220	220
Average number of days to resolve a massage therapy complaint	74	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:

The Agency staff supports the Arizona Medical Board, which licenses and regulates allopathic physicians ('MDs'), and the Arizona Regulatory Board of Physician Assistants ('PAs'), which licenses and regulates physician assistants. The Agency processes applications for licenses, handles public complaints against licensees, and disseminates information pertaining to licensees and the regulatory process. The Agency determines and administers disciplinary action of the respective Arizona practice acts. Together, the Agency regulates over 30,500 licensees.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	6,749.7	7,507.1	7,507.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	6,749.7	7,507.1	7,507.1
FTE Positions	61.5	61.5	61.5

5 Year Plan

Issue 1 Essential Agency functions focused on public protection through licensing, investigation, examination of regulatory issues, ongoing education of Staff and Agency members, active dissemination of public information and outreach and collaborating with other health regulatory agencies.

Description The Arizona Medical Board and the Arizona Regulatory Board of Physician Assistants (Boards) 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 Agency is often a source for communicating statutory changes and other information related to the practice of medicine by utilizing various available communication avenues: email, newsletter, Twitter and the Agency's websites.

The Agency actively engages with other health regulatory agencies to address concerns related to public health and safety. In FY 2022, the Agency will continue to issue temporary emergency licenses, with the approval of the Department of Health Services, which allows the Agency to respond expeditiously to the need for physician and physician assistants during COVID surges. To date, the Agency has issued temporary emergency licenses to 956 MDs and 130 PAs.

In FY 2022, the Agency will continue to work with the Department of Health Services to create the Healthcare 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 healthcare delivery in the State of Arizona. The Agency is a critical member of this group as the proposal is to obtain the data from the license applications submitted to the Agency. In addition, the Agency is an active member of the Pharmacy Board's CSPMP Task Force and the Agency will continue to work with the CSPMP Task Force on initiatives to monitor controlled substance prescribing with the goal of encouraging the safe and appropriate prescribing of controlled substances.

In FY 2022, the Agency will implement two statutes signed into law this past legislative session which added two additional routes to increase access to medical care in Arizona. HB 2454 created a telehealth registration available to those physicians and physician assistants licensed in another state to register with the Agency to provide telehealth care to Arizona citizens. In addition, SB 1271 provides that the Agency issue a one-year transitional training permit to a graduate of an allopathic school of medicine who is not selected for entry into a residency program.

Agency Staff remains focused on increasing public awareness activities and exceeded its FY2021 goal. Staff addressed multiple groups and provided presentations to a wide range of audiences, including University of Arizona medical students, Arizona State University regulatory policy students, Northern Arizona University graduating physician assistants, and the Maricopa Medical Society.

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 Modernization of the Agency's database and operations by transitioning to a SaaS product pursuant to the Governor's Cloud First Initiative to improve the Agency's efficiency by reducing licensing and case resolution timeframes.

Description In FY2022, the Agency continues to refine and consolidate its database operations in the cloud. Furthermore, the transition to the cloud will be complete in FY2022, with the final decommissioning of the remaining hardware based servers in our leased data center space. The Agency is working with ADOA/ASET to optimize the Agency's cloud operations. This includes migrating our data from MS Azure US West 2 Data Center in Washington State to the newly opened Azure Quartzsite Data Center. This migration will improve latency of data transfer and further enhance the speed in which the Agency can process licensing applications. By aligning database operations with the recommendations and products identified by the State, the Agency has the ability tap into new technologies and security features using economies of scale leveraging the State's enterprise abilities in procuring IT and cybersecurity services.

In FY2021 and 22, the licensing product line for the Agency increased, giving Arizona citizens and their licensed healthcare providers additional options. The Agency's database continues to support the processing of the COVID-19 temporary emergency licenses, and the Universal Recognition License, and will add the Telehealth Registration and the Transitional Training Permit. The addition of the Telehealth Registration and the Transitional Training Permit will require the Agency to make the necessary database changes to successfully implement these new developments.

The Agency continues to seek out opportunities to improve the speed of the delivery of services, with an emphasis on decreasing licensing issuance timeframes using best practices in information technology, as well as improving the dissemination of information in the public interest.

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	61.5	61.5	61.5
General Fund	0.0	0.0	0.0
Other Appropriated Funds	7,507.1	7,507.1	7,507.1
Non-Appropriated Funds	0.0	0.0	0.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of substantive policy statements, guidelines, rules, or rule revisions adopted	2	2	0	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.	40	20	17	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.	44	18	21	18	16

Explanation: The Arizona Medical Board and the Arizona Regulatory Board of Physician Assistants (Boards) continually strive to proactively explore areas influencing healthcare delivery and public safety.

Explanation: The Agency is often a source of communicating statutory changes and other information related to the practice of medicine by utilizing various available communication avenues, email, newsletter, Twitter and the Agency's websites.

◆ **Goal 2** To improve efficiency of licensing, other regulatory measures, and information dissemination processes.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average time to approve an MD license from receipt of application.	75	70	85	70	70
Average time to approve a PA license from receipt of application.	43	40	70	40	40
Average number of days to process an initial medical doctor license upon receipt of completed application	7	7	7	7	7
Average score of agency-wide customer service satisfaction surveys (scale of 1-8)	7.6	7.5	7.3	7.5	7.5
Average number of days to complete an medical doctor investigation	190	155	186	155	155
Average number of days to complete an physician assistant investigation	170	130	166	130	130
Average number of days to resolve a medical doctor case	242	195	267	195	190
Average number of days to resolve a physician assistant case	271	190	234	190	180
Medical doctor cases referred to formal hearing	31	18	14	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ MINING SAFETY ENFORCEMENT	965.0	1,363.5	1,363.5
➤ ABANDONED MINES	190.6	194.7	507.0
➤ EDUCATION AND TRAINING - FEDERAL GRANT	381.4	482.4	482.4
➤ MINED LAND RECLAMATION	38.5	112.9	112.9
Agency Total:	1,575.5	2,153.5	2,465.8
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,155.6	1,558.2	1,870.5
Other Appropriated Funds	38.5	112.9	112.9
Other Non Appropriated Funds	381.4	482.4	482.4
Total Funding	1,575.5	2,153.5	2,465.8
FTE Positions	20.0	22.0	24.0

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.

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.

Solutions:

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 abandoned mine staff and closures.

Issue 3 Education and Training Division

Description 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 2021 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 2023.

Solutions:**Resource Assumptions**

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	16.0	16.0	16.0
General Fund	1,558,200.0	1,558,200.0	1,558,200.0
Other Appropriated Funds	112,900.0	112,900.0	112,900.0
Non-Appropriated Funds	48,000.0	48,000.0	48,000.0
Federal Funds	391,991.0	391,991.0	391,991.0

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	965.0	1,363.5	1,363.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	965.0	1,363.5	1,363.5
FTE Positions	14.0	16.0	16.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent mandated inspections completed	100	98	99.4	100	100
Number of reportable (lost time) mine accidents	324	156	204	324	204
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	10	15	10	10	10
Number of safety inspections completed	673	659	704	673	704
Customer satisfaction rating for Mines (scale 1-8)	6.9	7.4	6.8	7.0	7.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	190.6	194.7	507.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	190.6	194.7	507.0
FTE Positions	2.0	2.0	4.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of abandoned mine openings secured	83	83	9	47	47
Number of abandoned mine complaints handled. See AML Complaints File "s drive".	17	17	5	5	5
Number of prior abandoned mine closures reviewed	87	50	29	29	29

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	381.4	482.4	482.4
Total Funding	381.4	482.4	482.4
FTE Positions	4.0	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Arizona miners and contractors trained	3,009	3,000	1657	3,000	2900
Average course content rating	4.8	4.8	4.9	4.8	4.9
Average instructor rating	4.7	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	38.5	112.9	112.9
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	38.5	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 Statutes 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of annual mined land reclamation compliance reviews	203	203	204	203	204

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ NATUROPATHIC PHYSICIANS BOARD OF MEDICAL EXAMINERS	180.3	193.2	193.2
Agency Total:	180.3	193.2	193.2
Funding:			
	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	180.3	193.2	193.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	180.3	193.2	193.2
FTE Positions	1.0	2.0	2.0

5 Year Plan

Issue 1 Update the Database to allow for the ability to scan documents directly into the system with the goal of going paperless.

Description Currently the Board is running on an ACCESS database. The Board is making changes to the database to allow uploading of scanned documents.

Solutions:

The Board must update the current database in order to sufficiently function with a cloud based server environment. In order to start the process of going paperless, the database will be updated to allow for scanned documents to be uploaded. The basic scanning ability has been added to the database however requires more work to obtain full functionality.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	2.0	2.0	2.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	193,200.0	193,200.0	193,200.0
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	180.3	193.2	193.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	180.3	193.2	193.2
FTE Positions	1.0	2.0	2.0

- ◆ **Goal 1** To process all completed license and certificate applications within the required time frame.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total Applications Received for Licensure and Certificates during the fiscal period.	2,380	2,800	2,190	3,100	3,100
Total Licenses and Certificates issued during the fiscal period.	2,361	2,080	2,190	2,080	2,200
Average number of days to process applications.	5	5	3	5	5
Active physician licenses	1,065	1,110	1,109	1,150	1,165
Active certificates.	1,136	1,165	1,118	1,165	1,118

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Complaints received against licensed or certified persons	29	30	29	30	35
Explanation: Complaints of illegal use of title are also investigated by the Board.					
Complaints resolved in same fiscal year	15	17	27	17	27
Average number of days to resolve complaints - same fiscal year	134	120	167	120	167
Complaints received against unlicensed individuals in the fiscal year	3	2	3	2	3

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	129.3	129.3	129.3
Other Appropriated Funds	200.0	200.0	200.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	329.3	329.3	329.3
FTE Positions	1.0	1.0	1.0

5 Year Plan

Issue 1 ANSAC is presently litigating three cases that are in the Arizona Court of Appeals. ANSAC determinations of non-navigability regarding the Gila, Salt, and Verde Rivers were appealed to Maricopa County Superior Court in August 2019. Maricopa County Superior Court upheld ANSAC's final determinations in all three cases. In September 2019 the Superior Court decision was appealed to the Arizona Court of Appeals where the cases are presently at issue.

Description The Court of Appeals heard oral arguments and as of July 31, 2021 there has been no decision issued.

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 court. Three appeals of ANSAC's final determinations of non-navigability in three ANSAC cases (Salt, Gila, and Verde Rivers) were filed in Maricopa County Superior Court. Superior Court upheld ANSAC's final determinations and we have been notified that appeals of the Superior Court's decisions will be filed in September 2020 with the Arizona Court of Appeals.

Solutions:

ANSAC recently completed successful defense of three cases in Maricopa County Superior Court. ANSAC is currently defending the same cases in the Arizona Court of Appeals and may also file necessary legal actions of its own.

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 instruct its attorney to file its own necessary legal.

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 as necessary.

Issue 6 Recording of Final Reports

Description Recording of ANSAC final reports in every county in which a watercourse travels is required following completion of all hearings and appeals.

Solutions:

ANSAC, through its attorney, will record all remaining final reports in each county in which each river travels. For example the Gila River travels in six Arizona counties.

Issue 7 Continuation of ANSAC beyond current Sunset date of June 30, 2024.

Description We are presently awaiting an Arizona Court of Appeals decision regarding an appeal of a Maricopa County Superior Court decision that upheld ANSAC's final determination of non-navigability regarding the Gila, Verde, and Salt Rivers. A Court of Appeals decision may impact the need to continue ANSAC beyond the current Sunset date of June 30, 2024.

Solutions:

To obtain legislation if necessary to extend the ANSAC Sunset date beyond June 30, 2024, and to request additional funding for attorney fees and equipment if necessary.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	1.0	1.0	1.0
General Fund	133.0	133.0	133.0
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 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 third 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. An appeal of Ansac's final determinations in these three cases was filed in Maricopa Superior Court. ANSAC's determinations were upheld in Maricopa County Superior Court and it is anticipated that decision will be appealed to the Arizona Court of Appeals in September 2020.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of appeals in process.	3	3	0	3	3
Number of hearings remaining following implementation of 2001/current statutes	0	0	0	0	3
Three cases have been filed with the Arizona Court of Appeals.	3	3	0	3	3
Three cases are pending in the Arizona Court of Appeals, the Gila, Salt, and Verde River cases.	3	3	0	3	3
Legal work and administrative work relating to the litigation of three cases filed in Maricopa County Superior Court.	3	3	0	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 2011 for additional work/hearings. Two of those cases have been consolidated into a single case, therefore five cases remain and are in various stages of the hearing process which including writing Commission final reports. However as of August 2020 there are only three cases remaining (the Gila, Salt, and Verde rivers). An appeal of Ansac's final determinations in these three cases was filed in Maricopa Superior Court. ANSAC's determinations were upheld in Maricopa County Superior Court and it is anticipated that decision will be appealed to the Arizona Court of Appeals in September 2020.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
To defend any actions filed against the Commission regarding the six remand cases returned to the Commission on October 21, 2011 for the Commission's 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.	3	3	0	3	0

- ◆ **Goal 3** To defend all other legal actions filed against the Commission, and to file legal actions deemed appropriate by ANSAC. An appeal of Ansac's final determinations in the Salt, Gila, and Verde river cases was filed in Maricopa Superior Court. ANSAC's determinations were upheld in Maricopa County Superior Court and that decision was appealed to the Arizona Court of Appeals in approximately September 2020.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	3	3	0	3	0

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	2	3	0	3	0
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.	3	3	0	3	0
To record each report in the appropriate counties, in some instances as many as six counties.	2	3	0	3	0

- ◆ **Goal 5** To insure all ANSAC legal proceedings are held correctly and thoroughly to comply with court directives.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Default performance measure	3	3	0	3	0

- ◆ **Goal 6** To defend all legal challenges of ANSAC's final determinations. ANSAC's final determinations of non-navigability in three cases (Gila, Salt, and Verde Rivers) were appealed in 2019 to Maricopa Superior Court. ANSAC's determinations of non-navigability were upheld by Maricopa County Superior Court. An appeal of the Maricopa County Superior Court decision has been appealed to the Arizona Court of Appeals and we are awaiting those results.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 State Courts appeals are filed in.	3	3	0	3	0
To insure court directives are completed by the commission. No directives are pending.	3	3	0	3	0
To insure the commission prevails in all cases filed in state court challenging the commission's determinations of non-navigability.	3	3	0	3	0

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ LICENSING AND REGULATION - RN/LPN	4,204.6	4,736.7	5,213.6
➤ NURSING ASSISTANT	1,083.1	953.1	953.1
Agency Total:	5,287.7	5,689.8	6,166.7
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	4,877.8	5,275.1	5,752.0
Other Non Appropriated Funds	409.9	414.7	414.7
Total Funding	5,287.7	5,689.8	6,166.7
FTE Positions	54.1	57.5	57.5

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	57.5	57.5	57.5
General Fund	0.0	0.0	0.0
Other Appropriated Funds	5,689.8	5,689.8	5,689.8
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

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 probationary 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	4,204.6	4,736.7	5,213.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	4,204.6	4,736.7	5,213.6
FTE Positions	41.5	44.9	44.9

- ◆ **Goal 1** To reduce the cycle time needed to issue certificates and licenses for examinee, endorsement and renewal applicants.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average days from application received to RN/LPN renewal license issued	0.74	0.70	1.59	1.5	1.5
RN/LPN renewals issued (4-year cycle)	20,119	21,000	20,591	21,000	22,000
Total licensees Registered Nurses and Licensed Practical Nurses	104,609	105,000	107,890	108,500	109,500

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total complaints received	3,629	3,800	2,288	2,500	2,500
Percent of licensees with disciplinary action	0.23	0.3	0.28	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 (or case closed)	6.8	7.0	7.46	7.0	6.0
Average calendar days from receipt of RN/LPN complaint to resolution	210	250	244	240	180
Average calendar days per investigation from start to final adjudication	217	217	262	240	220
Percent of investigations resulting in disciplinary enforcement action	22.4	25	19.86	25	21

- ◆ **Goal 3** To effectively provide a non-disciplinary Alternative To Discipline (ATD) program.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Licensees in ATD Program	249	225	270	270	280
Licensees sucessfully completing ATD program (%)	86	85	68	70	75

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Nursing programs monitored for non-compliance	6	4	2	4	4
Examinees from program successfully passing NCLEX	4,032	3,850	4,228	4,300	4,400

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 and Certified Medication Assistant (CMAs) training programs, and maintains a register of Certified Nursing Assistants (CNAs) and Licensed Nursing Assistants (LNAs). The Arizona Department of Health Services shares some responsibility for this program by receiving and substantiating complaints against CNAs.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	673.2	538.4	538.4
Other Non Appropriated Funds	409.9	414.7	414.7
Total Funding	1,083.1	953.1	953.1
FTE Positions	12.6	12.6	12.6

- ◆ **Goal 1** To operate the program efficiently and effectively.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average calendar days from receipt of completed application to denial of certification	645	640	357	400	300
Total individuals certified as nursing assistants	28,563	27,625	28,463	28,600	29,000
Explanation: Includes LNA					
Total complaints received	1,090	1,100	990	1,100	1,100
Average calendar days from receipt of CNA complaint to resolution	198	198	197	198	180
Explanation: Include LNA					
Percent of LNA/CNA's with disciplinary action (does not include substantiated complaint)	0.41	0.46	0.35	0.35	0.35
Total investigations conducted CAN/LNA - status closed	423	450	327	350	375
Percent of LNA investigations resulting in disciplinary enforcement action	27.4	28	18.62	25	22
Average calendar days per investigation from start to final adjudication (LNA/CNA)	206	206	201	200	190
Investigations resulting in dismissals LNA & CNA	99	30	102	105	110

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	462.4	526.1	530.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	462.4	526.1	530.6
FTE Positions	6.0	7.0	7.0

5 Year Plan

Issue 1 Desktop and Laptop Computer Refresh in FY23

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 technology, new hardware, warranty, software and 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.

Refresh pushed to FY21.

Refresh pushed to FY22.

Refresh pushed to FY23.

Issue 2 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. In FY 2023, enhance the electronic licensing service to include initial applications and payments for all services, track investigations through the process (In process)

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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 consistent and timely investigations of complaints and enforcement action in accordance with statutes and rules.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Complaints opened	156	170	920	150	150
Disciplinary actions	62	65	65	65	60
Complaints resolved	239	200	1280	200	200
Average number of days from open to close of complaint	157	120	121	120	120
Number of complaint and application investigations conducted	156	170	920	170	170

◆ **Goal 2** To ensure that licenses and certificates are granted or renewed to qualified administrators and managers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of existing licenses and certificates	2,671	2,800	2861	2800	2800
Number of new applications filed	345	350	355	350	350
Number of new licenses issued	220	290	244	250	250
Number of new and existing licenses	2,891	3,090	3105	2,900	2900
Number of renewal applications processed	434	2,500	2086	2000	2000
Average calendar days to renew a license	3.7	10	18	10	10

◆ **Goal 3** To ensure that agency operations are effective and efficient.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Customer satisfaction (scale of 1-8) with 8 being very satisfied.	7.9	7.5	7.5	5	5
Administration as percent of total cost	6.6	6.8	6.8	6.80	6.8

◆ **Goal 4** To ensure quality continuing education is approved

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of new and renewal CE sponsor hours approved	1,279	1,200	1400	1,300	1300
Average number of days to process CE sponsor applications	1	5	10	10	10

◆ **Goal 5** To ensure public information requests and license verifications are completed timely.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average number of days to process a public records request	3	4	10	10	10

Explanation: Implemented starting FY07

Average number of days to process a license verification	4	5	200	10	10
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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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ BOARD OF OCCUPATIONAL THERAPY EXAMINERS	193.9	199.9	216.7
Agency Total:	193.9	199.9	216.7
Funding:			
General Fund	0.0	0.0	0.0
Other Appropriated Funds	193.9	199.9	216.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	193.9	199.9	216.7
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 statutes 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	1.5	1.5	1.5
General Fund	0.0	0.0	0.0
Other Appropriated Funds	206.9	206.9	206.9
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 inquiries from consumers as to the license status of individual occupational therapy professionals.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	193.9	199.9	216.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	193.9	199.9	216.7
FTE Positions	1.5	1.5	1.5

◆ **Goal 1** To investigate and adjudicate complaints within 120 days

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of occupational therapy complaints received	12	15	5	10	10
Number of complaints resulting in disciplinary action	3	5	0	5	5
Complaints resolved within 120 days	5	15	3	5	5
Percent of complaints resolved within 120 days	42	100	3	100	0

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of license renewal applications received and renewed (OTs and OTAs)	1,765	1,526	1656	1,714	1,690
Number of Licensees (OTs and OTAs)	4,445	4,699	4,602	4,809	5,005
Number of initial license applications received (OTs and OTAs)	458	472	464	465	467
Number of Initial Licenses Issued (OTs and OTAs)	490	510	464	465	467
Average calendar days to process and issue a renewal application	15	12	10	10	10

Explanation: Number of days from application submission to license issuance

Average calendar days to process and issue an initial license	15	10	12	12
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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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of individuals licensed as occupational therapists	2,992	3,156	3,096	3,190	3,324
Number of individuals licensed as Occupational Therapy Assistants	1,453	1,544	1,477	1,512	1,575

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	144.3	162.6	162.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	144.3	162.6	162.6
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

8/23/21

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.

Objective #1: By December 2021 the Board will review National Organizations' Practical Examinations. The Board will bring any recommendations for a full Board vote.

Objective #2: By December 2021, 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 2022, the Executive Director will increase the number of optical establishments visited and inspected.

Objective #2: By the end of fiscal year 2022, 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 Amend/Repeal number of Rules to allow the Board more flexibility in accepting applications through database system.

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	82.6	82.6	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	162.0	162.0	0.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Optician licenses issued	62	70	41	70	70
Optician renewal applications processed	893	890	908	900	900
Establishment applications received	26	25	17	25	25
Establishment licenses issued	26	25	17	25	25
Establishment renewal applications processed	402	405	402	405	405
Average number of days from receipt of application for establishment license to granting of license	15	15	15	15	15
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)	1,295	1,295	1325	1325	1325

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Complaints about licensees received and investigated	5	5	1	8	2
Complaints resolved	5	5	1	8	2
Disciplinary action	5	5	1	8	5
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	100	200	100	300	300
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- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of licensees fulfilling continuing education requirement	98	98	98	98	98
Number of licensees fulfilling requirement	197	229	229	400	235

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	179.1	241.9	301.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	179.1	241.9	301.6
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 verification, 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

	FY2024 Estimate	FY2025 Estimate	FY2026 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 are granted or renewed to qualified optometrists.

Performance Measures	FY 2020	FY 2021	FY 2021	FY 2022	FY 2023
	Actual	Estimate	Actual	Estimate	Estimate
New licenses issued	85	75	60	70	70
License applications received	96	80	68	80	70
Active licensees	1,247	1,220	0	1,220	0
Average time to process an initial license application (in days)	1	5	7	5	5
Average calendar days to renew a license	1	1	5	1	1

◆ **Goal 2** To effectively investigate and adjudicate complaints pursuant to statutes and rules.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of complaints received	21	18	18	20	20
Total number of complaints resolved	21	18	15	20	20
Average number of days from receipt of complaint to resolution	80	75	80	75	75
Total number of disciplinary actions	1	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of written public information requests	160	200	130	150	150

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Prompt response to renewal applications with deficiencies (percent)	100	100	100	100	100
Administration as % of total cost	5	7	5	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,038.8	1,067.6	1,393.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,038.8	1,067.6	1,393.1
FTE Positions	8.0	9.0	10.0

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. In FY23, the Agency is requesting an additional FTE to assist in the Investigative and Hearings process by aiding in the preparation and organization of documents, legal hearing notices and other administrative items. The Agency is also requesting additional funding for the utilization of more Outside Medical Consultants to aid in the adjudication of complaints.

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 a new policy and procedure for staff to implement. The goal of this policy will be to reduce case load and investigation time drastically. Staff continues to reduce the average timeframe on complaints however due to increased licensing numbers the number of complaints has also increased. The Agency is requesting additional funding to aid in the reduction of investigative timelines.

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 processes and policies. Staff has restructured the licensing division and now has two dedicated licensing administrators assisted by a full time staff assistant to process licensing applications.

Solutions:

The Board plans to enhance the Board's existing database which will allow for the Board's Initial 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	10.0	10.0	10.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,393.1	1,353.1	1,353.1
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of new and existing licenses	3,883	4,200	4,225	4,500	4,750
Number of applications for new license received (does not include Post Graduate permits or dispensing registrations)	427	464	644	500	550
Number of new licenses issued	493	440	628	480	550
Average days to issue new license	0	3	0	3	3
Explanation: Timeframe to process applications					
Percentage of renewals done online vs. paper/manually	98	99	99	99	99

- ◆ **Goal 2** To investigate and resolve complaints in a timely manner

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Complaints received	222	310	304	310	360
Complaints investigated	320	300	379	300	330
Licensees who had disciplinary action taken	20	20	21	20	20
Average calendar days to resolve a complaint	185	180	146	170	170
Average calendar days to investigate a complaint	165	120	126	120	120
Number of complaints closed/resolved	377	320	304	320	330

- ◆ **Goal 3** To administer the agency efficiently and provide customer service to the public

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Administration as percent of total cost	5	8	4	8	8
Customer satisfaction rating (1-8)	6	6	8	6	6

Explanation: changing above from 1-5. A plan was made to move to a 1-8 scale, however that plan was rescinded 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 manage and conserve Arizona's natural, cultural and recreational resources for the benefit of the people, both in our parks and through our partners.

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 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.

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ PARK DEVELOPMENT AND OPERATION	18,364.3	35,967.1	33,072.7
➤ PARTNERSHIPS AND GRANTS	7,781.6	19,211.7	13,037.3
➤ ADMINISTRATION	4,473.7	3,288.7	3,288.7
Agency Total:	30,619.6	58,467.5	49,398.7
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	9,000.0	4,000.0
Other Appropriated Funds	16,260.5	20,839.5	17,945.1
Other Non Appropriated Funds	14,359.1	28,628.0	27,453.6
Total Funding	30,619.6	58,467.5	49,398.7
FTE Positions	250.0	250.0	250.0

Arizona State Parks and Trails

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Bob Broscheid
Bonnie Sposato
06/01/2021

Vision: Arizona State Parks and Trails is the national leader in sustainable outdoor recreation for current and future generations.

Mission: To manage and conserve Arizona's natural, cultural and recreational resources for the benefit of the people, both in our parks and through our partners.

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 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:

FY21 was a year of challenge and adaptability to ensure our parks operated safely to serve the recreating public. ASPT saw day use visitation increase with a large number of first-time park visitors. Record growth in the state's population and increased demand for outdoor recreation gave focus to key goals to continue to build park and trail system vitality, serve the state's recreating public while protecting our natural and cultural resources. We must balance access and preservation and our success is predicated on the crucial balance of operational flexibility, consistency, and sustainability today and in the future. The pandemic spotlighted the opportunity for ASPT to take a leadership role in "driving" a statewide approach to outdoor recreation partnering with other agencies like BLM, Forest Service, and counties.

In FY22 we begin the key project of updating our Statewide Comprehensive Outdoor Recreation Plan (SCORP) as required by the National Park Service to receive Land and Conservation Funds. This project provides the public, land manager and stakeholder community input to identify statewide outdoor recreation priorities, provide guidance for the allocation of resources, collaboration between entities at all jurisdictions (including public and private entities) and draft an implementation plan to ensure that priority issues are addressed by key stakeholders in the next 5 years.

A focus on changing population 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	Progress / Successes
1	Parks - Optimize Park and Trail system vitality	2020	Development of the framework for individualized integrated park plans ("Park Dossier") was completed by a team of field and central office employees and deployed to each park. The completed document will provide each park with compliance obligations, infrastructure needs, emergency procedures, strategic marketing plan, and standard work and will provide a baseline for improvement priorities and future investments.
2	Partnerships - Grow new, and leverage existing key partnerships to protect the Mission	2020	The COVID pandemic underscored the importance of partnerships in meeting the demand of the recreating public while managing resources. Parks has taken a leadership role working with partners during the pandemic (federal, state, local government agencies, NGOs and others) and now we need to focus on a statewide approach with these partners with a key component being involvement in the SCORP.
3	a) People - Workforce Create an environment to cultivate a high performing workforce with a mindset of excellence	2020	The focus on keeping parks open and serving visitors safely under changing Covid restrictions in FY21 was the people focus. With that, the succession planning initiative is expanded in scope to an enterprise workforce retention plan. As the importance of our volunteer corps was felt during the pandemic, workforce includes those who serve our visitors and that includes our volunteers. The Visitor Survey effort, prolonged due to Covid, is completed and the data and Economic Impact data will be used to develop customer profiles by park
	b) People - Customer Deliver exceptional outdoor recreation experiences to highly satisfied and engaged visitors	Split out in 2022	
4	Pocketbook - Maximize financial sustainability and revenue growth	2020	Combined with Strategy 1&3 - The completion of the breakthrough effort Modernization of Park Operations – Phase 1 culminated with the release of a comprehensive RFP for an integrated reservation system, and website.

Arizona State Parks and Trails

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1 & 4	Increase the number of parks with completed Park Plans (Park Dossiers)	•% Parks with completed plans	<ul style="list-style-type: none"> Phase 2 of Deploy Individual Integrated Park Plans (from SP FY21) 100% of 24 Parks completing Develop comprehensive plan for a Carrying Capacity calculation model (including capacity for facilities and the management of natural resources) Execute plan to prioritize needs for infrastructure improvements and parks yet to open to leveraging LWCF
1, 2 & 3b	Launch update of the Statewide Comprehensive Outdoor Recreation Plan (SCORP) (2023 release)	•% Project progress against schedule	<ul style="list-style-type: none"> Deploy data collection plan for stakeholders Conduct data analysis for all surveys Draft SCORP plan for public review
1, 3 & 4	Implement <i>Modernization of Parks' Business Operations</i> project - Phase 2 *Continuation as Breakthrough Project	•% Project progress against schedule	<ul style="list-style-type: none"> Evaluation of vendor RFP Responses Selection of new vendor(s) for Reservation system and Website Implement/transition to new system(s)
2 & 3b	Administer new or expanding funds (e.g. Heritage, Park Store, AZ Trail, SLIF)	<ul style="list-style-type: none"> Total dollars granted (cumulative) Total "impact" dollars (includes matching funds) 	<ul style="list-style-type: none"> Grant \$9,250,000 by end of FY22 Deploy administration process(es) in compliance with statutes
3a	Increase eligible employees participating in documented career path	<ul style="list-style-type: none"> % eligible employees participating in career path % of Leadership Development Program project progress against schedule 	<ul style="list-style-type: none"> Design and implement career path plan for agency workforce (target 100 employees participating) Design and implement an enterprise Leadership Development program
3b & 4	Define 1 customer profile for each park	• % profiles completed	<ul style="list-style-type: none"> Develop customer profiles by park from Visitor Survey result data (Continuation – survey report data completed 4th Quarter)

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.

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 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	9,000.0	9,000.0
Other Appropriated Funds	15,974.8	20,822.8	17,928.4
Other Non Appropriated Funds	2,389.5	6,144.3	6,144.3
Total Funding	18,364.3	35,967.1	33,072.7
FTE Positions	196.0	196.0	196.0

- ◆ **Goal 1** To increase visitation to 3,015,951 in FY22.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Increase visitation to 3,015,951 in FY22.	2,965,960	3,218,601	2986090	3015951	0

- ◆ **Goal 2** To optimize park and trail system vitality.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent (%) project progress against schedule (master plan update) ** Will not continue to measure - this project is complete.	93	90	100	0	0
Percent (%) of Parks with Completed Park Plans (Park Dossiers)	0	0	0	100	0
Percent (%) of park visitor profiles complete.	0	0	0	100	0

- ◆ **Goal 3** To maximize financial sustainability and revenue growth

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
To increase agency (SPRF) revenues to \$21,181,300 in FY21.	20,877,077	21,181,300	22,734.6	23,100.0	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	-5,000.0
Other Appropriated Funds	0.0	16.7	16.7
Other Non Appropriated Funds	7,781.6	19,195.0	18,020.6
Total Funding	7,781.6	19,211.7	13,037.3
FTE Positions	24.0	24.0	24.0

- ◆ **Goal 1** To grow new, and leverage existing key partnerships to maximize ROI

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent (%) of Statewide Comprehensive Outdoor Recreation Plan (SCORP) Project Progress Against Schedule.	0	0	0	90	0
Total new or expanding funds allocated (Heritage, AZ Trail, SLIF not including ARPA Heritage Funds). \$9.25 Million	0	0	0	9,250,000	0
Total 'impact of grant dollars granted (includes matching funds)	0	0	0	27,150,000	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	285.7	0.0	0.0
Other Non Appropriated Funds	4,188.0	3,288.7	3,288.7
Total Funding	4,473.7	3,288.7	3,288.7
FTE Positions	30.0	30.0	30.0

- ◆ **Goal 1** To report the number of regrettable attrition

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of employees lost to regrettable attrition	24	0	44	12	0

- ◆ **Goal 2** To track number of Agency FTEs.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Average number of FTEs at the end of the fiscal year.	241	250	231	250	0

- ◆ **Goal 3** To track the AMS implementation score.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
AMS implementation score.	2	0	2.73	0	0

◆ **Goal 4** To create an environment to cultivate a highly engaged workforce

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total volunteer value (\$-savings to FTE)	4,574,273	4,574,273	4,320,643	4,574,272	0
Number of Non-Paid Hours Provided by Volunteers, OHV Ambassadors and Site Stewards (000)	185	185	184,653	185,000	0
Percent (%) Visitor Survey project progress against schedule	72	90	100	0	0
Percent of process implementation complete. <i>*This project is complete.</i>	0	90	100	0	0
Percent of Project Completed.	0	90	90	90	0
Reduce % of Agency On-site Hourseperformance measure	0	0	67.7	66	66
Percent (%) of eligible employees participating in career path.	0	0	0	100	0
Percent (%) of Leadership Development Program project progress against schedule.	0	0	0	90	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	513.5	326.4	326.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	513.5	326.4	326.4
FTE Positions	2.0	2.0	2.0

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	2.0	2.0	2.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	326.4	326.4	326.4
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of appeals/complaints filed	9	10	12	10	10
Hearing days	2.5	5	2.5	3	3
Average days from receipt of an appeal/complaint until the Board issues a final order	64	115	63	115	115
Average cost of an appeal/complaint (dollars)	2,071	2,000	1,434	2,000	2,000

◆ **Goal 2** To ensure customer/client satisfaction with process.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of cases appealed to Superior Court	0	1	1	1	1
Number of cases remanded from court	0	1	0	1	0
Percent of customers rating overall hearing process as good to excellent	0	98	0	0	0

◆ **Goal 3** To continuously implement changes that will increase effectiveness and internal capacity to deliver services.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of training classes attended by staff	2	5	1	1	1

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,210.4	3,083.9	3,083.9
Other Non Appropriated Funds	1,919.8	0.0	0.0
Total Funding	5,130.2	3,083.9	3,083.9
FTE Positions	22.4	25.4	25.4

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 existing language to mirror federal guidelines. The ultimate 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 industry 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 prescribed 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 utilization 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, utilization 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	25.4	25.4	25.4
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,083,900.0	3,083,900.0	3,083,900.0
Non-Appropriated Funds	362,400.0	362,400.0	362,400.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Disciplinary actions/100 Registered Pharmacists & Technicians	0.1	0.5	.5	.5	.5
Complaints per 100 practitioners (Pharmacists & Technicians)	0.25	0.4	.5	.5	.5
Continuing education for pharmacy law is not longer required.	2	0	0	0	0
Quarterly writing and distributing newsletters to all interested parties by listserve. Subscription can be added or deleted online.	4	4	4	4	4
Disciplinary actions required to be published by statute are also contained in each newsletter.					
Conference calls	70	200	200	200	200
Pharmacy audits	5	5	0	5	0
Board Meetings	15	6	18	12	12
Miles Driven-Inspections	100,000	125,000	0	125,000	0
Pharmacies-Inspections	1,011	1,500	1483	1500	1500
Explanation: reduced staff for 1/2 of the fiscal year					
Compressed medical gas suppliers & distributors-Inspections	537	150	450	550	550
Wholesaler-Inspections	46	130	105	100	100
Re-inspections	18	250	29	50	50
Total number of inspections conducted	1,636	2,090	2143	2200	2200

◆ **Goal 2** To maintain a comprehensive electronic Controlled Substance Prescription Monitoring Program.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	1,580,500	1,580,500	1,900,000	1,900,000	1,900,000
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	1,500	2,000	2,000
About how many licensed PRESCRIBERS were there?	37,641	39,000	38,968	39,000	39,000
About how many licensed/permited DISPENSERS were there?	7,966	8,100	8,012	8,300	8,300
for PRESCRIBERS: How many solicited reports were produced?	5,769,335	5,850,000	5,980,313	6,000,000	6,000,000
For PRESCRIBERS: How many unsolicited reports were produced?	111,258	556,000	847,716	850,000	850,000
for DISPENSERS: How many solicited reports were produced?	4,056,051	4,000,000	4,719,729	5,000,000	5,100,000
For Law Enforcement INVESTIGATIONS OR COMPLAINTS or Court Order: How many solicited reports were produced?	1,530	1,500	136	150	150
For Professional Licensing Board INVESTIGATION OR COMPLAINTS: How many solicited reports were produced?	1,527	1,600	804	800	800
For Professional Licensing Board INVESTIGATIONS OR COMPLAINTS: How many unsolicited reports were produced?	0	0	1	1	1

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	493.4	504.1	556.4
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	493.4	504.1	556.4
FTE Positions	4.0	4.0	4.5

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:

The first audit of continuing competency for the Physical Therapist Assistant was conducted for the 2018-2020 compliance period.

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 .5 FTE to investigate all complaints received against physical therapists, physical therapist assistants, and business entities.

C. The Board has seen an increase in the complexity of the cases. 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 more public awareness of laws and rules resulting in steady leveling of complaints filed.

Solutions:

2. The Board has seen marked improvement in investigations completeness time frames. In 2020, of the 49 complaints filed, 34 were investigated and adjudicated within the 180 day recommended time frame.

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 956 in 2019 to 1311 in 2020. In addition, in FY 2021 the number of physical therapists renewing licenses increased to 7552. Number of physical therapist assistants renewing active certificates increased to 2396.

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 five 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 August 2019, the Board voted to enable the Executive Director to approve applications that are complete without issue requiring Board review and approval. The result has been a substantive improvement to decrease the number of days from submission to approval of license or certificate.

Issue 4 Demographic Analysis Report

Description For renewal period 2018-2020 the Board of Physical Therapy collected demographic information on all licensee and certificate holders. This information will be analysed into a comprehensive report that will be distributed to all stakeholders, licensee, certificate holders and the public.

Solutions:

A. To identify regions of the state with decrease in access to physical therapy resources and services.

B. Identify geographic distribution of physical therapist and physical therapist assistants.

C. Identify educational level of physical therapists and physical therapist assistants

D. Identify workforce by age

E. Determine ethnicity of licensed physical therapists and certified physical therapist assistants.

F. Determine work environment distribution

Issue 5 New SI

Description

Solutions:

Issue 6 New SI

Description

Solutions:

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	4.5	5.0	5.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	530,000.0	550,000.0	550,000.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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
Number of new licenses or certificates issued	962	1,100	1311	1480	1670
Average time, in calendar days, between receipt of completed application to issuance or denial of licensure or certification.	2	2	1	1	1
Explanation: Agency complies with A.A.C. R4-24-209, Time Frames for applications.					
Number of licenses/certificates denied.	1	2	0	0	0
Explanation: Agency tracks and reports number of applications denied.					
Number of licenses/certificates renewed	0	8,200	10,079	0	11,500
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	962	1,000	1311	1,480	1,670
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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	64	70	49	60	65
Explanation: Total number of complaints received.					
Total number of disciplinary actions issued	35	37	31	40	42
Explanation: Total number of disciplinary actions issued.					
Number of licenses suspended/revoked/voluntarily surrendered	6	6	7	6	6
Explanation: Number of licenses suspended/revoked/voluntarily revoked					
Total number of unlawful practice investigations received by the Board for investigation	0	15	12	1	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	532	600	489	500	500
Explanation: Board staff tracks and reports the number of requests received.					
Number of written requests for public records received.	23	30	26	30	30
Explanation: Agency tracks and reports the number of public records requests filed.					
Average number of business days to process written requests for public records	7	7	5	5	5
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	8	8
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of physical therapist licensees whose continuing competence records were successfully audited by the Board for compliance.	1	5	5	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

Jessica Sullivan, Superintendent
Phone: (928) 277-2763
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	7,019.4	7,043.2	7,773.0
Other Non Appropriated Funds	901.7	600.0	600.0
Total Funding	7,921.1	7,643.2	8,373.0
FTE Positions	103.0	103.0	206.0

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.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	103.0	103.0	103.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	103.0	103.0	103.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal 1** To provide quality care and resident services that exceed the highest and best practice standards for Assisted Living Facilities

The Arizona Pioneers' Home will hire and retain only the best staff available ensuring that the standard is in line with the Arizona Revised Statutes, Arizona Department of Health and Arizona Administrative Code

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average census	92	85	64	90	90
Monthly cost per resident (in dollars)	6367	6,800	5800	5800	5800

Explanation: Expect decrease due to covid

◆ **Goal 2** To provide ongoing Internal and External Restoration and Preservation of the historic Arizona Pioneers' Home.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
The Pioneers' Home will have no greater than 3 deficiencies at annual survey by the Arizona Department of Health Services.	0	3	3	3	3

Explanation: No greater than 3 deficiencies per annual survey

Agency Summary

BOARD OF PODIATRY EXAMINERS

Boaz Alvarado, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	145.2	168.2	168.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	145.2	168.2	168.2
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. The Governor's Office did not approve the exemption request to increase fees. The Board will continue to look at increasing 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. A rule-package will become effective September 2020 that will update the Board's rules.

The Board ran legislation in 2020 to update the Board's statutes but all non-essential Bills were stalled. The Board will look at running legislation in 2021 to update the Board's statutes.

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	1.0	1.0	1.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	168.2	168.2	168.2
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
New licenses issued	38	40	35	40	40
Renewal licenses issued	455	455	455	455	455
Average overall timeframe to process initial application	17	17	20	17	17
License applications received	32	32	32	32	32
Active licensees	484	490	477	490	490

◆ **Goal 2** To efficiently investigate complaints pursuant to the Board's statutes and rules

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of complaints opened	32	32	29	32	32
Number of complaints resolved	24	24	25	24	24
Average number of calendar days to resolve a complaint	141	141	139	141	141

◆ **Goal 3** To effectively and accurately respond to public record requests

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of written public information requests received	12	12	14	12	12

Agency Summary

COMMISSION FOR POSTSECONDARY EDUCATION

Daniel Helm, Interim Executive Director
Phone: (602) 542-7236
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 and forgivable loans. 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,663.7	1,680.9	0.0
Other Appropriated Funds	1,180.8	1,537.1	0.0
Other Non Appropriated Funds	1,309.6	1,777.3	0.0
Total Funding	4,154.1	4,995.3	0.0
FTE Positions	5.0	5.0	0.0

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:

-ATSLP 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 FAFSA Finish Line, College Application Campaign, and College Goal FAFSA 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 FAFSA 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.

Administration of the Arizona Family College Savings Program, established in 1997, is being transferred to the State Treasurer on September 30, 2020.

Strategic Issue 2: Forty-eight 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.

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

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- (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 three 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 and postsecondary institutions 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) build 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 FAFSA Campaigns, along with FAFSA 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 1.2 million applications were filed in 50 states following this format last fall through the American College Application Campaign organized by ACT's Center for Equity in Learning. Arizona mounted a very successful seventh year campaign with 76 high schools representing over 24,000 seniors who participated in the 2019 CAC events.

College Goal FAFSA 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 FAFSA Campaign in 2019. One hundred and ten high schools chose to put on 187 workshops and 167 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 FAFSA 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 FAFSA 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.

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 FAFSA Campaigns, along with FAFSA 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 FAFSA 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 FAFSA 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 FAFSA 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 FAFSA 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.

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- 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 Com-missioners, 2) the College & Career Goal Arizona Advisory Committee, 3) and Achieve60AZ Alliance Members.
 - 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 state-ment, goals, strategies, outcomes, and indicators for success.
 - 6.Execute the College and Career Goal Arizona Fundraising Part-nership plan.
 - 7.Adjust activities and outcomes to meet the budget.

Performance Measures:

- Key leadership supports the statewide initiative.
- Funding, collaborations, and partnerships provide desired as-sistance in specific areas of need for FY 2021, FY 2022, FY 2023, FY2024, and FY 2025.
- 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.

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 postsec-ondary 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 ac-cess organizations to share resources and collaborate.
- 7.Develop partnerships and collaborations with postsecondary insti-tutions 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 profes-sionals from all 3 sectors attend high school events and pro-vide 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 in-stitutions.
- 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).

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- 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 FAFSA events.
 - 7.Provide webinar-based College Goal FAFSA 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 give-aways, promotional materials, and program evaluation.
- Increased number of College Goal FAFSA 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 FAFSA 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 requests 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 improving FAFSA completion
- 5.Statewide, district, and individual high school FAFSA completion rates are displayed in Arizona FAFSA Challenge dash-board.

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 FAFSA 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 FAFSA Finish Line reports that are downloaded.

Strategy 2.5: Develop and promote the Arizona FAFSA 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.)

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.
6. 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 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 two-year schedule.
- Track the number of studies produced that forward opportunity and equity.
- ACPE staff sustain AMEPAC through leadership, infrastructure, and fundraising support.
- Research and its findings are promoted throughout the community.
- Document the impact of the studies.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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 maximize student financial assistance available to students and families				
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of LEAP student awardees	2931	3,000	3,342	3,000	0
◆ 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Arizona College & Career Guide (ACCG) on-line visits	651	1,000	424	500	0
Attendees at College Goal Sunday	10,236	6,500	2,923	4,000	0

Explanation: Program has changed . College Goal Sunday is now College Goal FAFSA and has two workshop components.

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- ◆ **Goal 3** To provide a forum where all sectors of postsecondary education dialogue, partner and problem solve issues of mutual interest

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of statewide committees or task forces collaboratively seeking solutions to issues in postsecondary education	2	2	3	3	0
Numbers of research studies published to examine issues of postsecondary access and success	1	1	0	1	0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	39,928.5	19,636.0	19,636.0
Total Funding	39,928.5	19,636.0	19,636.0
FTE Positions	5.0	5.0	5.0

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	5.0	5.0	5.0
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 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Hoover annual revenue requirements (in thousands).	66,149	65,600	69,749	72,001	73,944

- ◆ **Goal 2** To analyze and critically review the transmission system costs and other factors associated with the delivery of Hoover power.

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- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Customers purchasing power from Arizona Power Authority	63	63	63	63	63

Agency Summary

STATE BOARD FOR PRIVATE POST-SECONDARY EDUCATION

Kevin LaMountain, Executive Director
Phone: (602) 542-5716
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 222 private postsecondary educational institutions that serve approximately 231,743 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ LICENSING AND REGULATION	372.4	413.5	413.5
➤ STUDENT TUITION RECOVERY FUND	209.3	272.0	272.0
Agency Total:	581.7	685.5	685.5
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	372.4	413.5	413.5
Other Non Appropriated Funds	209.3	272.0	272.0
Total Funding	581.7	685.5	685.5
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. in 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 of 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 Regulatory 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 evolving 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 Through the Student Tuition Recovery Fund, the PPS Board provides financial restitution 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 FY2022 - FY2025 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.

4. Increase STRF reach to include previously exempt "regional" institutions.

-
- 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 further 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	4.0	4.0	4.0
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

Kevin LaMountain, Executive Director
 Phone: (602) 542-5716
 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 221 private postsecondary educational institutions, serving approximately 231,743 students annually. The Board acts on license applications, determines compliance, investigates complaints and violations, and takes disciplinary action.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	372.4	413.5	413.5
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	372.4	413.5	413.5
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 regulatory practices.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of institutions licensed	222	218	217	210	225
Total number of renewal licenses approved	226	215	208	213	216
Total number of Supplemental Licenses approved	279	300	358	325	345
Number of adverse actions taken (Higher bonds, reporting/monitoring required)	42	45	67	65	70
Number of annual inspections conducted	0	15	11	25	50
Number of students enrolled in private institutions	231,743	240,000	265,544	280,000	300,000
Number of licenses denied	1	0	2	1	1
Number of institutional closures	12	20	21	20	20

◆ **Goal 2** To investigate and adjudicate complaints in a timely manner.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of annual student complaints investigated	44	50	27	30	35
Number of student complaints resolved/dismissed	50	50	27	35	35
Number of student complaints resulting in disciplinary action	1	2	0	2	1
Number of Student Complaints Pending	0	0	0	0	0
Number of non-student complaints investigated	10	10	4	8	8
Number of non-student complaints resolved	10	10	4	8	8
Number of non-student complaints resulting in disciplinary action	1	3	0	3	2
Number of non-student Complaints Pending	0	0	0	0	0
Number of written inquiries (Letter of Intents, State Authorization Letters and student questions)	114	120	160	120	130

◆ **Goal 3** To improve efficiency and administration of the licensing and regulation program through an internal re-structuring and enhancement of administrative policies.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Administration as a percentage of total cost	2.3	2.3	2.3	2.3	2.3

Program Summary

STUDENT TUITION RECOVERY FUND

Kevin LaMountain, Executive Director
 Phone: (602) 542-5716
 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. This fund also provides financial support for records storage (transcripts must be kept in perpetuity) of over 4M documents, and support staff.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	209.3	272.0	272.0
Total Funding	209.3	272.0	272.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of claims filed	15	10	5	20	20
Number of claims rejected	9	2	2	5	2
Number of claims paid/settled/closed	14	10	5	15	10
Number of claims pending	0	0	0	0	0
Average number of calendar days to pay claims	65	60	120	120	120

◆ **Goal 2** To collect or secure monies sufficient to provide for student financial restitution.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of institutions billed	161	155	214	222	225
Amount of assessments collected (in thousands)	176.9	189.8	302	365	365
Amount available to students (in thousands)	32.1	11.0	200	225	250
Amount paid in Student Claims	218.1	60	20.4	80	80

◆ **Goal 3** To provide students access to their educational records in a timely manner.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of student record requests processed.	6,947	7,000	3174	5500	6000
Average number of days to process requests	15	10	5	6	5

Agency Summary

BOARD OF PSYCHOLOGIST EXAMINERS

Heidi Herbst Paakkonen, Executive Director
Phone: (602) 542-3018
A.R.S. §§ 32-2061 et seq.

Mission:

To protect the health, safety, and welfare of the public 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 the allegations associated with the complaints, and administratively adjudicates the complaints. The Board provides information to the public concerning the lawful practice of psychology and behavior analysis.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	501.8	550.8	601.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	501.8	550.8	601.0
FTE Positions	4.0	4.5	4.8

5 Year Plan

Issue 1 A number of agency operating costs have either increased beginning in FY22, or are projected to increase in FY23. Most of the expenses are a function of the substantial increases in the number of licensees regulated. While most of the individual increases, in and of themselves, do not have a significant adverse impact to the agency's operating budget, the cumulative impact will strain its resources beginning July 1, 2022 such that difficult expense reductions will need to be executed, potentially hindering public protection in the process.

Description Since FY17, the agency has entered into an interagency service agreement (ISA) with the Office of the Attorney General for purposes of ensuring a dedicated Assistant Attorney General's legal services at the level of 0.13 of an FTE, or 204.88 hours per year. However, the actual hours logged by the AAG over the two most recent fiscal years were more than twice the amount the current ISA covers and are at the level of a 0.30 FTE:

Fiscal Year	ISA Compensated Hours	Actual Hours	Difference in Hours
2020	204.88	505.70	300.82
2021	204.88	492.70	287.12

To close this gap and to adequately fund the actual level of legal services used by the agency, a modification to the FTE must be made to raise it from 0.13 FTE to a 0.30 FTE. This table illustrates this adjustment in terms of cost:

0.30 Legal Services FTE (actual annual utilization) \$48,300

0.13 Legal Services FTE (currently funded) \$21,100

REQUIRED ADJUSTMENT \$27,200

Additionally, the following operating costs have increased effective with FY21:

Cost Description	FY21	FY22	Difference
Risk Management Annual Premium	\$2,000	\$2,500	\$500
Arizona Financial Information System (AFIS) Usage	\$1,400	\$1,700	\$300
PSYPACT (Interstate Compact) Fee for Participating Jurisdictions	\$ 0	\$1,850	\$1,850
Adobe Software	\$200	\$350	\$150
Postage Costs	\$1,000	\$1,200	\$200
TOTAL	\$3,000		

The agency requires an appropriation adjustment totaling \$30,200 in order to effectively address both the cost increases, as well as actual

Solutions:

The agency requires an appropriation adjustment totaling \$30,200 in order to effectively address both the cost increases, as well as actual costs incurred, for professional and operating services.

Issue 2 A funding increase to expand an existing position currently at a 0.5 FTE to a 0.75 FTE is required to support the newly added responsibilities associated with the intake, review, and processing of registrations to the Out-of-State Telehealth Practice Registry (“Registry”) established by HB 2454 Telehealth; health care providers; requirements and chaptered at A.R.S. §36-3606 Interstate telehealth services; registration; requirements; venue; exceptions.

Description In response to the COVID-19 pandemic, pursuant to A.R.S. §32-3124. Temporary licensure; rules; fee; applicability, from April 1, 2020 through August 20, 2021 the agency issued 617 temporary emergency licenses to out-of-state psychologists and behavior analysts, permitting them to deliver their services into Arizona through telehealth. The temporary emergency licenses are active until the date Governor Doug Ducey lifts the state of emergency he declared in response to the COVID pandemic. Once the emergency is lifted, many of the 617 temporary emergency license holders will likely need to continue providing psychological and behavior analytic services to their clients located in Arizona, and to do so will apply to the Registry for authorization to continue their practice and service delivery into this state.

The temporary emergency licenses require only minimal application requirements:

- A completed 1-page application (no fee)
- Copy of a government-issued identification document featuring a photograph
- Written verification of licensure in all other jurisdictions where licensure is held reflecting no unresolved complaints, or license suspensions or revocations
- The Board has delegated the responsibility to the Executive Director of approving temporary emergency licenses to qualified applicants

By contrast, the Registry establishes considerably more requirements for agency staff to process, and for the substantive review to be conducted:

- A completed application packet
- Payment of the Registry fee
- Evidence of professional liability insurance coverage to include coverage for telehealth services provided in Arizona
- Proof of designation of a duly appointed statutory agent for service of process in Arizona
- Verification of license to practice in other jurisdictions that is substantially similar to a license issued in Arizona to a comparable health care provider, and is not subject to any past or pending disciplinary proceedings in any jurisdiction
- Consent to Arizona's jurisdiction for any disciplinary action or legal proceeding related to the health care provider's acts or omissions
- An annual update to the registration
- An annual report with the number of patients served in Arizona and the total number and type of encounters in Arizona for the preceding year
- Preparation of the file and the annual updates to the Application Review Committee or the Committee on Behavior Analysts, and to the Arizona Board of Psychologist Examiners for substantive review and approval or denial

The Joint Legislative Budget Committee prepared a fiscal note for HB 2454 Telehealth; health care providers; requirements. The fiscal note states “We assume each Arizona regulatory board would set a fee sufficient to cover the costs associated with the registration and oversight of out-of-state providers. Some regulatory boards may require additional appropriations to utilize the fee revenue, but we cannot estimate this amount in advance.” Without such an appropriation increase to sustain the cost of the additional required personnel:

- Registry applicants will experience delays in the processing, review, and issuance of their practice permissions
- Service delivery interruptions will leave patients and clients temporarily without critical behavioral and mental health services
- Investigations into unprofessional conduct on the part of Registrants will be slow to progress, presenting a risk to the health, safety, and welfare of the public.

Solutions:

The agency requires an additional 0.25 FTE and associated funding as outlined below to assume the responsibility of processing the Registry applications and for preparing them for substantive review by the Application Review Committee, the Committee on Behavior Analysts, and the Board.

The solution is to expand the existing 0.5 FTE position to a 0.75 FTE. This position is a Licensing Specialist who possesses the fundamental knowledge, skills and abilities to complete Registry application intake, and to process and prepare for substantive review the Registry applications.

HB 2454 Telehealth; health care providers; requirements included a provision that agencies implementing the Registry may execute an exempt rulemaking for purposes of establishing the application fees and time frames. Effective September 1, 2021, A.A.C. R4-26-108 Fees and Charges at (B) for psychologists and also R4-26-402. Fees and Charges at (B) for behavior analysts establish that "Under the specific authority provided by A.R.S. § 36-3606(A)(3), the Board establishes and shall collect the following fee to register as an out-of-state health care provider of telehealth services: \$600." The revenue (90%) collected from these fees will fund the costs of implementing and operating the Registry that are outlined below.

Fiscal Impact:

Personal Services – Additional 0.25 FTE\$ 13,000

Employee Related Expenses\$ 5,460

Other Operating Expenses (postage, data storage, communications, etc.)\$ 1,500

TOTAL\$ 19,960

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	4.8	5.0	5.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	560.0	565.0	570.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of applications received for initial behavior analyst licensure	137	150	160	175	180
Number of new behavior analyst licenses issued	99	130	138	150	160
Average number of days to process a behavior analyst initial application for licensure	20	25	54	35	30
Number of behavior analyst licensees (active/inactive)	486	550	652	630	650

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of behavior analysis-related complaints received	8	10	8	12	15
Number of behavior analyst-related complaints resolved	6	10	11	15	15
Average number of days to resolve a behavior analyst-related complaint	82	120	128	120	120
Average number of days taken to notify a behavior analyst of a complaint	2.6	5	1	5	3

Explanation: FY 2014 was the first year for this performance measure

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of applications received for initial psychologist licensure	234	225	620	235	400
Explanation: FY 2020's total did not include the temporary emergency license applications. The adjusted total is 425.					
Number of new psychologist licenses issued	132	130	541	320	330
Explanation: 116 regular and temporary licenses and 425 temporary emergency (COVID) licenses.					
Number of licensees (active/inactive)	2,438	2,500	2905	2900	2950
Explanation: Value represents both psychologists and behavior analysts.					
Average number of days to administratively process a psychologist application for licensure (from receipt to substantive review)	15	15	42	30	30
Average number of days to substantively process a psychologist application for licensure (from administrative completion to Board adjudication and/or issuance of license)	25	25	19	25	19

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of investigations	67	70	40	75	75
Explanation: Includes non-jurisdictional complaints and complaints against alleged title-violators					
Number of complaints opened concerning psychologists	46	45	25	40	40
Explanation: Number of complaints opened concerning psychologists					
Number of psychology-related complaints received involving unlicensed practitioners/title violators/non-jurisdictional issues	10	15	36	20	20
Number of psychology-related complaints resolved at the Complaint Screening Committee level	10	10	9	10	10
Average days from date a psychology-related complaint is opened to resolution at Complaint Screening Committee	85	100	108	100	100
Number of psychology-related complaints resolved at the Board level through Board actions	10	20	11	20	20
For psychology-related complaints referred to the full Board, average days from receipt of complaint to Board resolution/Board action	130	150	77	125	125
Explanation: Does not include complaints dismissed at the Complaint Screening Committee level.					
Number of disciplinary actions taken against psychologists	3	8	12	12	12
Explanation: Number of disciplinary actions taken against psychologists					
Number of non-disciplinary/rehabilitative actions taken against psychologists	10	5	4	10	10
Total number of dismissed psychology-related complaints	21	20	10	15	15
Average days taken to notify a psychologist of a complaint	2	10	1	5	5
Number of claims received against psychologists	10	15	9	20	20
Explanation: FY 2016 was the first year for this performance measure					
Number of claims against psychologists that have completed the review process	10	15	1	15	15
Explanation: FY 2016 was the first year for this performance measure					
Number of reviewed claims opened as complaints	3	3	2	5	5
Explanation: FY 2016 was the first year for this performance measure					
Average days taken to notify a psychologist of a claim. This is when the claim is resolved.	30	50	38	40	40
Explanation: FY 2016 was the first year for this performance measure					

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of audited licensees in compliance with continuing education requirements	100		0	95	0

Explanation: Audit is conducted every even-numbered fiscal year, based on renewals received during previous fiscal year.

- ◆ **Goal 6** To encourage public input regarding the Board's performance through customer surveys.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Customer satisfaction rating (scale 1-8)	7.4	7.4	7.8	7.4	7.4

Agency Summary

DEPARTMENT OF PUBLIC SAFETY

Helston Silbert, Director
Phone: (602) 223-2359
A.R.S. §§41-1711 to 41-1794

Mission:

To provide public safety to the state of Arizona.

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ AGENCY SUPPORT	96,647.7	118,073.1	125,864.8
➤ HIGHWAY PATROL	165,540.1	183,423.5	197,516.4
➤ CRIMINAL INVESTIGATIONS	95,947.5	101,729.9	99,259.7
➤ TECHNICAL SERVICES	81,215.1	133,335.8	103,422.0
➤ ARIZONA PEACE OFFICER STANDARDS AND TRAINING	5,274.4	7,291.5	6,095.2
Agency Total:	444,624.8	543,853.8	532,158.1
Funding:			
	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	88,012.4	291,650.4	339,868.3
Other Appropriated Funds	239,404.2	136,328.1	77,114.5
Other Non Appropriated Funds	117,208.2	115,875.3	115,175.3
Total Funding	444,624.8	543,853.8	532,158.1
FTE Positions	2,281.7	2,320.3	2,325.3

Department of Public Safety

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Colonel Heston Silbert
Paul Swietek
07/30/2021

Vision: To be the national model in providing state-level law enforcement services.

Mission: To provide public safety to the state of Arizona.

Agency Description: The Department enforces state law with the primary responsibility in the areas of traffic safety, criminal interdiction, narcotics, organized crime, auto theft and regulatory functions.

Services include border 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 priorities of protecting our communities and lands allowing Arizonans to safely roam, work and play; creating a 21st century economy through innovation and modernization of technologies; and investing in the prosperity of its people.

The Department continues its efforts to improve traffic safety and keep traffic flowing on Arizona's highways allowing people and commerce to keep moving and strives to rid neighborhoods of gangs. The Department will target its efforts through the application of training, enforcement and availability improvement measures.

The Department will leverage modern technology and Arizona Management System fundamentals to reduce scientific analysis service backlogs and improve radio communications systems, web-based systems and platforms allowing the Department and public to conduct business more efficiently.

The Department believes in strengthening its positive community relationships by working in cooperation with community members and employing technology to help improve transparency.

The State and Department benefits from a diverse, dedicated and qualified workforce and will make investments in improving employee health and diversity.

Summary of Multi-Year Strategic Priorities			
#	Five Year Strategy	Start Year	Progress / Successes
1	Improve public safety in Arizona.	2019	<ul style="list-style-type: none">Tactical Diversion Unit conducted 25 major investigations exceeding their goal of 4 to combat the over prescription of opioids.Achieved 24-hour trooper coverage in Cochise county.The Border Strike Force made record methamphetamine and fentanyl seizures.Implemented ground and air-based collision investigation technology as Phase 1 to reduce roadway clearance times.
2	Improve service delivery and value to internal and external customers.	2019	<ul style="list-style-type: none">Electronic fingerprint application system went live to 2,000 government and non-profit users.Applicant clearance card and licensing went live on the new Public Services Portal allowing electronic submission/payment.ACJIS system replacement was fully implemented.The backlog of records requiring purging under retention schedules is significantly ahead of target.Completed the land-mobile radio digital-trunk system master site upgrade.
3	Invest in building highly engaged and valued employees.	2020	<ul style="list-style-type: none">Replaced an additional 8 remote trooper homes for a total of 16 replaced in the last two years substantially improving the lives of troopers and their families.
4	Enhance community engagement.	2021	<ul style="list-style-type: none">Fully implemented a community advisory board.Progress in the testing and evaluation phases of body-worn cameras; a community board recommendation.

Department of Public Safety

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Improve traffic management and enforcement.	<ul style="list-style-type: none"> Average roadway clearance times. Percentage eligible troopers certified in HGN, ARIDE, DRE and phlebotomy DUI staffing model. Number of enforcement details. 	<ul style="list-style-type: none"> Reduction based on the 28-day division average. Develop and implement six regional advanced DUI skills training courses. Implement bi-weekly collision, wrong-way, wireless device, and DUI enforcement operational focus beats.
1	Improve the quality of life in Arizona's neighborhoods.	<ul style="list-style-type: none"> Percentage of gang member identification cards. Number of gang member arrests. 	<ul style="list-style-type: none"> Conduct intelligence-driven enforcement operations targeting gangs involved in criminal activity resulting in arrests and/or identifications. Bring more agencies into the gang task force.
1,2	Increase aviation availability for law enforcement and search/rescue missions.	<ul style="list-style-type: none"> Average annual increase of availability. 	<ul style="list-style-type: none"> Study efficiency in maintenance cycles and procedures. Fill pilot, paramedic and technician vacancies. Look at contracted solutions.
2	Implement planning and processing for North Loop Microwave replacement project.	<ul style="list-style-type: none"> Percentage of permit applications tracked quarterly. 	<ul style="list-style-type: none"> Track 1/3 of the 32 submitted permit applications quarterly. Submit North Loop Microwave Replacement Project Annual report by end of FY22.
2	Reduce the total scientific analysis backlog.	<ul style="list-style-type: none"> Number of backlogged controlled substances and toxicology cases. 	<ul style="list-style-type: none"> Implement field test workflow for controlled substances by end of Q2. Implement LC/QTOF methodology for one-step toxicology by end of Q2.
2	Migrate the legacy mainframe programs to an enterprise (web-based) platform.	<ul style="list-style-type: none"> Percentage of programs migrated or removed from the mainframe. 	<ul style="list-style-type: none"> Conduct monthly review of migration projects statuses. 100% migration by end of FY22. Replace 100% of programs not being migrated.
3	Improve the physical training, fitness and health of employees.	<ul style="list-style-type: none"> Percentage of training center completion. 	<ul style="list-style-type: none"> Construct a physical training and fitness center. Establish milestones/identify stakeholders and develop plan/structure/funding. Move from design to construction in July 2021.
3,4	Continue the development of a diverse workforce.	<ul style="list-style-type: none"> Number of recruiting events. 	<ul style="list-style-type: none"> Conduct or attend recruiting events at least one per month. Use community outreach group feedback and other studies to pinpoint recruiting.
4	Enhance law enforcement transparency. A3 Breakthrough.	<ul style="list-style-type: none"> Percentage of body-worn camera program implemented. 	<ul style="list-style-type: none"> Vendor selection and evaluation. Procure funding. Purchase and issue equipment. Develop redaction and records services.

5 Year Plan

Issue 1 Diverse workforce.

Description Continue to the recruitment and development of a highly diverse sworn and professional staff workforce during recruiting.

Solutions:

Strategic Plan Strategy #4 to enhance community engagement.

Issue 2 Employee training.

Description Improve the physical training, fitness and health of employees through the construction of a professional training center.

Solutions:

Strategic Plan Strategy #3 to invest in building highly engaged and valued employees.

Issue 3 Community Involvement.

Description Enhance law enforcement transparency through the implementation of a body-worn camera program.

Solutions:

Strategic Plan Strategy #4: to enhance community engagement.

Issue 4 Scientific backlogs.

Description Reduce the total scientific backlog of toxicology and controlled substances cases.

Solutions:

Strategic Plan Strategy #2 to improve service delivery and value to internal and external customers.

Issue 5 Improvement of communications and information technology systems.

Description Implement planning and processing for the north loop microwave replacement project and migrate legacy mainframe programs to enterprise web-based platforms.

Solutions:

Strategic Plan Strategy #2, to improve service delivery and value to internal and external customers.

Issue 6 Highway safety.

Description Improve traffic management and enforcement to keep traffic/commerce moving and keeping motorists safe.

Solutions:

Strategic Plan Strategy #1, improve public safety in Arizona.

Issue 7 Improve quality of life in neighborhoods.

Description The State Gang Task Force will target gangs involved in criminal activity through identification and arrests.

Solutions:

Strategic Plan Strategy #1 to improve public safety in Arizona.

Issue 8 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 and #3, to improve public safety in Arizona and to improve service delivery and value to internal and external customers.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	2,366.7	2,414.0	2,462.3
General Fund	352,960.7	363,549.5	374,456.0
Other Appropriated Funds	79,427.9	81,810.8	84,265.1
Non-Appropriated Funds	42,126.3	43,390.1	44,691.8
Federal Funds	76,504.3	78,799.4	81,163.4

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 (ASD) at DPS is committed to providing the highest quality services to both internal and external customers.

ASD provides statewide support functions in a variety of areas. Our Fleet, Logistics, Procurement, Finance, Management Services, and Human Resources bureaus play critical roles in the day-to-day activities that support our operational partners and our professional staff members statewide. Our Aviation bureau offers both operational support and administrative assistance to local, state and federal partners using a fleet of both fixed and rotary wing assets.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	17,203.9	45,503.9	60,962.9
Other Appropriated Funds	27,731.1	17,455.6	9,788.3
Other Non Appropriated Funds	51,712.7	55,113.6	55,113.6
Total Funding	96,647.7	118,073.1	125,864.8
FTE Positions	219.0	257.0	257.0

◆ **Goal 1** To improve service delivery and value to internal and external customers.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percentage of cadet troopers starting an academy class that meet diversity principles.	41.6	25	42	30	30
Number of recruiting activities attended/conducted.	23	12	12	12	0

◆ **Goal 2** To invest in building highly engaged and valued employees.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percentage of the eight identified trooper remote houses for FY2021 improved or replaced.	100	100	100	0	0

Explanation: All houses completed. Project closed.

Percentage of training center completion. 0 0 0 100 0

Explanation: New for FY22

◆ **Goal 3** To enhance community engagement.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of implementation of initiative milestones completed.	0	100	100	0	0
Explanation: Completed.					

Percentage of body-worn camera program implemented.	0	0	0	100	0
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Explanation: New.

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	23,700.0	127,664.4	143,907.3
Other Appropriated Funds	122,479.1	32,343.9	30,193.9
Other Non Appropriated Funds	19,361.0	23,415.2	23,415.2
Total Funding	165,540.1	183,423.5	197,516.4
FTE Positions	1,018.0	1,016.0	1,016.0

Subprogram Summary

PATROL

Jenna Mitchell, Assistant Director
 Phone: (602) 223-2441
 A.R.S. §§ 41-1711 et. seq.

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:

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	15,000.0	116,164.4	122,472.9
Other Appropriated Funds	112,192.8	23,343.9	21,193.9
Other Non Appropriated Funds	9,736.7	6,751.9	6,751.9
Total Funding	136,929.5	146,260.2	150,418.7
FTE Positions	860.0	844.0	844.0

- ◆ **Goal 1** To improve public safety in Arizona.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of highway fatalities.	285		368	n/a	n/a
Explanation: Reporting only.					
Decrease statewide roadway times by 5%.	0	0	16.1	15.7	15.7
Percentage of eligible troopers certified in HGN, ARIDE, DRE and phlebotomy staffing model.	0	0	0	98	98
Explanation: New					
Number of district enforcement details.	0	0	0	900	900
Explanation: New					

Subprogram Summary

COMMERCIAL VEHICLE ENFORCEMENT

Jenna Mitchell, Assistant Director
Phone: (602) 223-2441
A.R.S. §§ 41-1711 et. seq.

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 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	2,700.0	2,700.0
Other Appropriated Funds	8,786.3	7,500.0	7,500.0
Other Non Appropriated Funds	9,017.2	16,138.1	16,138.1
Total Funding	17,803.5	26,338.1	26,338.1
FTE Positions	100.0	113.0	113.0

◆ **Goal 1** To improve public safety in Arizona.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of training and certification classes for Level 1, 2, and 3 North American Standard Commercial Vehicle Inspection Certifications.	0	0	5	10	10

Explanation:

New

Daniel Lugo, Assistant Director
Phone: (602) 223-2348
A.R.S. §§ 28-240, 41-1834

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 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,700.0	8,800.0	18,734.4
Other Appropriated Funds	1,500.0	1,500.0	1,500.0
Other Non Appropriated Funds	607.1	525.2	525.2
Total Funding	10,807.1	10,825.2	20,759.6
FTE Positions	58.0	59.0	59.0

◆ **Goal 1** To improve service delivery and value to internal and external customers.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percentage of aviation availability.	59.19	55	61.5	61.14	61.14

Program Summary

CRIMINAL INVESTIGATIONS

Deston Coleman Jr, Assistant Director

Phone: (602) 223-2452

A.R.S. §§ 41-1761 et. seq.

Mission:

To protect the public by deterring crime using innovative investigative and specialized enforcement strategies and resources.

Description:

The Criminal Investigations Division (CID) at DPS is committed to providing the highest quality investigative and specialized response services to the public and the criminal justice community. CID is guided by three immutable values: honor, courage and commitment while fostering a supportive and empowered environment for its employees.

CID provides statewide criminal investigations, specialized enforcement activities and high-risk tactical response in support of other federal, state, tribal and local criminal justice agencies. CID's primary investigative responsibilities are narcotic trafficking, fugitive apprehension, organized crime, intelligence, vehicle theft, gangs, human smuggling, computer and financial crimes, as well as major criminal investigations and sensitive special investigations when requested by other criminal justice agencies. CID provides tactical high-risk responses to acts of extraordinary violence and domestic preparedness incidents.

Funding:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	44,631.5	83,982.1	82,211.9
Other Appropriated Funds	38,029.4	7,121.9	7,121.9
Other Non Appropriated Funds	13,286.6	10,625.9	9,925.9
Total Funding	95,947.5	101,729.9	99,259.7
FTE Positions	458.7	450.7	450.7

◆ **Goal 1** To improve public safety in Arizona.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of gang member identification cards.	0	0	2,848	n/a	n/a
Explanation: Reporting					
Number of gang member arrests.	0	0	316	n/a	n/a
Explanation: Reporting					

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 scientific, technical, regulatory and support services essential to public safety in Arizona.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,477.0	34,500.0	52,786.2
Other Appropriated Funds	51,164.6	78,210.4	30,010.4
Other Non Appropriated Funds	27,573.5	20,625.4	20,625.4
Total Funding	81,215.1	133,335.8	103,422.0
FTE Positions	561.0	569.6	574.6

Subprogram Summary

SCIENTIFIC ANALYSIS

Timothy E. Chung, Assistant Director
Phone: (602) 223-2812
A.R.S. §§ 41-1761 et. seq.

Mission:

To provide scientific, technical, regulatory and support services essential to public safety in Arizona.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	600.0	3,274.3
Other Appropriated Funds	15,080.9	22,528.6	22,528.6
Other Non Appropriated Funds	6,457.7	2,284.8	2,284.8
Total Funding	21,538.6	25,413.4	28,087.7
FTE Positions	157.0	163.6	168.6

- ◆ **Goal 1** To improve service and delivery and value to internal and external customers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of backlogged controlled substances and toxicology cases.	0	0	0	500	0

Explanation: New

Subprogram Summary

COMMUNICATIONS AND INFORMATION TECHNOLOGY

Timothy E. Chung, Assistant Director

Phone: (602) 223-2812

A.R.S. §§ 41-1713, 41-1749

Mission:

To provide scientific, technical, regulatory and support services essential to public safety in Arizona.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,200.0	29,100.0	41,711.9
Other Appropriated Funds	28,396.2	49,728.2	1,528.2
Other Non Appropriated Funds	9,369.8	5,368.5	5,368.5
Total Funding	38,966.0	84,196.7	48,608.6
FTE Positions	238.0	238.0	238.0

- ◆ **Goal 1** To improve service delivery and value to internal and external customers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of permit applications tracked quartely.	0	0	0	11	0

Explanation: New

Percentage of programs migrated or removed from the mainframe.	0	0	0	100	0
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Explanation: New

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 scientific, technical, regulatory and support services essential to public safety in Arizona.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,277.0	4,800.0	7,800.0
Other Appropriated Funds	7,687.5	5,953.6	5,953.6
Other Non Appropriated Funds	11,746.0	12,972.1	12,972.1
Total Funding	20,710.5	23,725.7	26,725.7
FTE Positions	166.0	168.0	168.0

- ◆ **Goal 1** To improve service delivery and value to internal and external customers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of days of processing time.	0	0	25	14	14

Explanation: New

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	1,196.3	0.0
Other Non Appropriated Funds	5,274.4	6,095.2	6,095.2
Total Funding	5,274.4	7,291.5	6,095.2
FTE Positions	25.0	27.0	27.0

- ◆ **Goal 1** To improve enforcement standards for selection of peace officers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average number of days to review and complete investigations.	93	125	0	180	180

- ◆ **Goal 2** To improve in-service training.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of in-service programs presented by AZPOST.	54	75	0	40	40

Agency Summary

PUBLIC SAFETY PERSONNEL RETIREMENT SYSTEM

Michael F. Townsend, Administrator
Phone: (602) 689-9695
A.R.S. § 38-841

Mission:

To provide uniform, consistent, and equitable statewide retirement programs for those public safety, correctional, and elected personnel in the employ of the State or its political subdivisions.

Description:

PSPRS manages the retirement systems for most law enforcement officers, correctional officers, and elected officials in Arizona. The PSPRS system consists of three separate retirement plans for public safety, elected officials and correction officers. The system provides pension payments and retirement benefits to over 59,000 active and retired members, and surviving beneficiaries, from more than 300 employers groups (municipalities, agencies and districts) statewide. The three systems are comprised of defined benefit and defined contribution plans. The system is governed by a nine-member Board of Trustees. Membership of the Board of Trustees is split between members of the system - law enforcement and fire department - and trustees representing employers and taxpayers.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,006,000.0	6,000.0	6,000.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	17,083.0	25,213.0	25,213.0
Total Funding	1,023,083.0	31,213.0	31,213.0
FTE Positions	1,074.0	1,081.0	1,081.0

5 Year Plan

Issue 1 Continue improving pension sustainability

Description Review and updating of actuarial assumptions, including experience study and stress testing results and provide options to appropriate committees and Board

Solutions:

We will track the overall pension liability and trend improvements from 2019, with regard to supporting pension sustainability.

Issue 2 Continue to improve accounting processes, internal controls and transparency

Description Improve overall accounting and automated processes to strengthen internal controls and financial transparency.

Solutions:

We will track improvements and success through resolved audit findings and continued progress in establishing new processes and related documentation.

Issue 3 Implement automated systems

Description PSPRS will develop and implement new automated systems for pension administration, investment book of record and remote capable phone system for the call center

Solutions:

We will set milestones for implementation of the new systems

Issue 4 Implement Legislative requirements

Description PSPRS will implement new legislative requirements for Local Board consolidation and other passed legislation.

Solutions:

We will set implementation timelines to meet legislative effective dates

Issue 5 Facility assessment

Description PSPRS will review building facility limitations and consideration of options including remote work policies.

Solutions:

Develop a plan for Board consideration during the FY 2023 budget process to meet facility changes and needs into the future including implementation of remote work policies.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	81.0	81.0	81.0
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 continue improving pension sustainability through review of actuarial assumptions, experience study, stress test and management of the System's assets.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
3-year risk adjusted investment return percentile ranking	0	75	84	75	75
5-year risk adjusted investment return percentile ranking	0	75	85	75	75
10-year risk adjusted investment return percentile ranking	0	75	93	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 Arizona 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 Revised Statutes and the Commissioner's Rules. Within the purview of the Department are builder/development regulation of the sale of subdivided and certain unsubdivided lands, timeshares, condominiums, membership campgrounds, and cemeteries, administration of the Homeowner's Association Dispute Process, and conducting investigations of consumer complaints, and audits of real estate brokerages. The Department also 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.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,345.7	2,922.1	2,922.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	42.4	215.3	215.3
Total Funding	2,388.1	3,137.4	3,137.4
FTE Positions	37.0	37.0	37.0

Arizona Department of Real Estate

Fiscal Year 2022 Strategic Plan

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 Revised Statutes and the Commissioner's Rules. Within the purview of the Department are builder/development regulation of the sale of subdivided and certain unsubdivided lands, timeshares, condominiums, membership campgrounds, and cemeteries, administration of the Homeowner's Association Dispute Process, and conducting investigations of consumer complaints, and audits of real estate brokerages.

The Department also 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 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;
- Practice data driven decision making and structured problem solving;
- Fully implement sunset audit recommendation;
- Identify opportunities to streamline the delivery of services;
- Enhance online technology platform;
- Delivering results that provide greater benefits for Arizonans.

Agency Director: Commissioner, Judy Lowe
Strategic Planner: Deputy Commissioner, Louis Dettorre
Last modified: 7/15/2021

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Provide excellent customer service	FY 2018	<ul style="list-style-type: none">• Maintained percentage of favorable customer service surveys and reviews of 76 percent in FY2021.• Served 18% more customers through the online Message Center over the prior year.
2	Drive innovation through technological advancement	FY 2018	<ul style="list-style-type: none">• Completed enhancement to the Online Educator's System Portal "School Login".• Completed enhancement to the Online License System "Licensee Login".• Promoted online services as available and convenient to drive timely transactions online across all divisions.
3	Strengthen real estate education	FY 2019	<ul style="list-style-type: none">• Completed 700+ volunteer course monitor assignments virtually• Developed form updates that added course delivery models and permanently implemented host remote live streaming course delivery.• Updated the examination question bank with Arizona real estate subject matter experts.
4	Lead all national state real estate agencies in operational efficiency and effectiveness	FY 2018	<ul style="list-style-type: none">• The majority of ADRE services are available online, including, original and renewal licensing, developer/ homebuilder services, and real estate education services.• Over 100 ADRE and Commissioner outreach connections to the real estate profession.• Meet or exceeds performance to timeframes• Implementation of performance dashboards across all divisions.
5	Developing an engaged, professional workforce	FY 2019	<ul style="list-style-type: none">• Increased daily remote staff engagements and training opportunities.• Continued Telework program in FY2021 with over 50 percent of staff participating.

Arizona Department of Real Estate

Fiscal Year 2022 Strategic Plan

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Increase percentage of favorable customer service surveys	Percent of favorable customer service surveys	<p>Focus on Customer First Approach</p> <ul style="list-style-type: none"> Deliver consumer education such as a “Value of Working with an Arizona Real Estate Licensee” Campaign Improve customer service response time when in the remote work environment. Design and implement survey to gauge topics of interest to address with industry and public stakeholders.
1	Increase consumer communication and outreach to the real estate profession	<ul style="list-style-type: none"> Number of outreach connections and consumer communications Percent positive survey responses 	
1	Decrease number of pending messages	Average number of pending messages at the end of each day	
2	Reduce most common customer service questions	<ul style="list-style-type: none"> Number of messages to Message Center categories Licensing Information and Licensing Other Number of phone calls Percent of online systems usage 	<p>Promote Enhanced Quality Online Services</p> <ul style="list-style-type: none"> Develop and implement enhanced online services (online Message Center, online license system, call center technology to enhance call times and experience. Implement automation of customer service technology
3	Enhance and fully implement the host remote live streaming course program	Number of live streaming remote education programs	<p>Raise the Bar of Real Estate Education in Arizona</p> <ul style="list-style-type: none"> Enhance education forms, checklists, and application instructions where necessary. Continue updating examination content with Subject Matter Experts where necessary.
	Increase the average annual pass rate of first time Pre License test takers	Pass rates of first time pre-license exam takers	
4	Fully implement sunset audit report recommendations	Percent of recommendations implemented	<p>Focus on Process Improvement Recommendations</p> <ul style="list-style-type: none"> Further implement and monitor risk-based audit approach Review and align disciplinary actions matrix Implement Recommendations Action Plan Focus on timeliness of services and outcomes across all divisions.
5	Decrease employee turnover	Turnover Rate	<p>Engage and Develop a World Class Team</p> <ul style="list-style-type: none"> Encourage staff training and development opportunities through the course monitor program Improve telework program Predictive Index
5	Increase employee positive experience	Employee Engagement Score	

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 growth in the Arizona real estate market. Despite the current challenges, the economic picture relating to real estate in Arizona has stabilized. It is important to retain consumer confidence in real estate professionals. The Department 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 continue to 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 many 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 continuing to promote quality online services and increase services available for the customer online. This includes implementing further enhancements to the public database and online license system.

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 properly 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 2022 agency scorecard, which addresses each division of the Department, and is designed to drive improvement in all areas.

The Arizona Department of Real Estate adapted to the challenges by embracing telework for staff positions that are able to complete their duties remotely. Moving forward, the Department will continue to explore further efficiencies in telework, and embrace it to the greatest extent possible.

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, 2021, the Arizona Department of Real Estate employs 25 FTE, while appropriated 37 FTE for FY 2022.

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. 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 focus on staff retention.

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.

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, 2021 the ADRE had 25 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 adherence 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	37.0	37.0	37.0
General Fund	3,000,000.0	3,000,000.0	3,000,000.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	900,000.0	900,000.0	900,000.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of recommendations implemented.	0	0	35	100	100

◆ **Goal 2** To drive innovation through technological advancement.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total real estate applications received	38,173	42,000	39,497	40,000	40,000
Explanation: New Applicants & Renewals					
Number of real estate licensees	88,616	89,000	90,367	92,174	93,500
Explanation: Number reflects actual count of licensees. This includes individuals, brokers, and entities.					
Increase number of monthly volunteer monitor assignments.	40	30	61	50	50
Increase the average annual pass/fail ratio of first time real estate test takers.	68	70	69	75	75
Number of messages to the Message Center categories "Licensing Information", "Licensing Other", "General Information", "Education Information" each month.	90	95	962	950	950
Number of phone calls received each month.	0	0	2,038	1,500	1,500
Percent of online systems usage.	0	0	98	98	98

◆ **Goal 3** To maintain timeliness of the investigative process.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average calendar days from receipt of real estate or subdivision complaint to resolution	26	30	26	30	30
Total real estate or subdivision complaints investigated	354	350	376	400	400
Days to Complete Investigation Complaints.	26	30	0	30	0

Explanation: Days to Complete Investigation Complaints

◆ **Goal 4** To provide excellent customer service

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of subdivision filings received	1,008	800	1,203	900	900
Explanation: Includes amendments					
Days to issue Development Lot Reservations.	1.5	2	0.92	2	2
Percentage of favorable customer service surveys.	0	0	76	90	90
Number of outreach connections and consumer communications each month.	0	0	37	30	30
Average number of pending messages at the end of each day.	0	0	9.8	0	0

◆ **Goal 5** To strengthen real estate education.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of live streaming remote education programs active each month.	72	0	808	850	850
Increase the percent of volunteer monitor course assignments made and completed.	482	400	100	100	100
Continue to complete volunteer monitor assignments and reports in FY2022. When in a majority telework environment, continue to increase the number of annual course assignments completed.	482	400	739	600	600
Reduce the number of days to process distance learning continuing education course applications submitted by real estate educators from 20 average days to 15 or fewer average days. Statute provides a timeframe of 90 days to complete these approvals.	20	15	3	3	3
Offer at least one monthly training or learning opportunity for ADRE staff to further career development. Assign staff volunteer monitor assignments for real estate courses, and continue division specific training sessions during morning remote huddles.	5	12	5	12	12
Launch a campaign focusing on "Value of Working with an Arizona Real Estate Licensee". This will include brochures, email alerts, and other messaging through the fiscal year.	0	0	0	0	0

◆ **Goal 6** To develop an engaged, professional workforce

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Decrease employee turnover	0	0	0	0	0
Increase employee positive experience	0	0	0	0	0

Agency Summary

RESIDENTIAL UTILITY CONSUMER OFFICE

Malcolm Hightower, Director
Phone: (602) 364-4840
A.R.S. §§ 40-461 et seq.

Mission:

To professionally represent residential utility customers in regulatory proceedings before the Arizona Corporation Commission (ACC), advocating for fair and reasonable utility rates and quality utility services, in a dynamic utility environment.

Description:

The Residential Utility Consumer Office (RUCO) was established by the Arizona Legislature in 1983 to represent the interests of residential utility ratepayers in rate-related proceedings involving public service corporations before the Arizona Corporation Commission. RUCO accomplishes this charge primarily through a staff of financial analysts and attorneys. RUCO participates in a number of policy matters that also affects the rates paid and services received by residential ratepayers.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,068.3	1,352.2	1,452.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	1,068.3	1,352.2	1,452.2
FTE Positions	9.0	8.0	9.0

Residential Utility Consumer Office

Fiscal Year 2022 Strategic Plan 2-pager

Strategic Planner:
Hightower
Last modified:

Malcolm
06/30/2021

Vision: Deliver exceptional representation and advocacy for residential ratepayers to receive fair and reasonable utility rates and quality utility service.

Mission: Professionally represent residential utility customers in regulatory proceedings before the Arizona Corporation Commission (ACC), advocating for fair and reasonable utility rates and quality utility services, in a dynamic utility environment.

Agency Description: The Residential Utility Consumer Office (RUCO) was established by the Arizona Legislature in 1983 to represent the interests of residential utility ratepayers in rate-related proceedings involving public service corporations before the Arizona Corporation Commission. RUCO accomplishes this charge primarily through a staff of financial analysts and attorneys. RUCO participates in a number of policy matters that also affects the rates paid and services received by residential ratepayers.

Executive Summary: RUCO's FY2022 strategic plan is designed to optimize customer value, continually improve operations, and develop an engaged, high-performing workforce.

With a core mission to represent and protect the interests of residential ratepayers, in proceedings before ACC, RUCO will strive for operational excellence through continued improvement of Office processes and through increased strategic planning and outreach. RUCO will also focus on fostering an engaged, high performing and professional workforce. Additionally, RUCO will communicate to customers, more regularly, the value RUCO provides them.

RUCO is in the process of fully implementing the Arizona Management System (AMS) and will be developing the foundation of a process tracking system to drive continuous improvement. Continual improvements and refinements of system will continue through internal insight and customer input.

Summary of Multi-Year Strategic Priorities			
#	Five Year Strategy	Start Year	Progress / Successes
1	Operational Excellence Through Continuous Improvement	FY21	RUCO had a record year in FY21, with the highest number of filings at the Arizona Corporation Commission. Despite new challenges and interruptions in normal business operations due to the COVID-19 pandemic, RUCO was able to successfully intervene and deliver exceptional representation and advocacy for residential ratepayers to receive fair and reasonable utility rates.
2	High Performing and Professional Workforce	FY21	The intended start for this strategy was in FY21, but will begin in FY22 due to challenges and interruptions in normal business operations due to the COVID-19 pandemic. The focus will be increase employee engagement and AMS implementation.
3	Optimize Value For Customers	FY21	The intended start for this strategy was in FY21, but will begin in FY22 due to challenges and interruptions in normal business operations due to the COVID-19 pandemic. The focus will be improving communication and enhancing advocacy for customers.

Residential Utility Consumer Office

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics (Percent & Numbers Tracked Internally)	Annual Initiatives
1	Increase standardization for all major internal processes at RUCO	<ul style="list-style-type: none"> % of flow boards & process maps developed % of processes that have standard work % of new internal systems implemented % of staff trained in internal systems % use and following of new internal systems % of on-time filings of cases at the Arizona Corporation Commission (ACC) 	Identify and develop areas where internal systems are needed, to include: <ul style="list-style-type: none"> Direct Testimony Rate Design Surrebuttal Testimony Hearing Testimony
1	Increase effectiveness of RUCO recommendations to Arizona Corporation Commission	<ul style="list-style-type: none"> % of RUCO recommendations accepted by ACC 	Establish baseline for RUCO recommendations that are accepted by ACC based on tracking and analysis of, at a minimum: <ul style="list-style-type: none"> Major issue areas within RUCO recommendations that were accepted and rejected Utility specific areas within RUCO recommendations that were accepted and rejected
2	Increase AMS implementation	<ul style="list-style-type: none"> AMS Assessment score 	Work with the Arizona Government Transformation Office to implement AMS
2	Increase employee engagement	<ul style="list-style-type: none"> Employee engagement scores Staff Retention rate % staff participation in Predictive Index Training 	Improve employee satisfaction and engagement: <ul style="list-style-type: none"> Track and analyze employee satisfaction and engagement Identify and address areas for improvement
3	Increase external communication and community engagement in RUCO's mission, goal and return on investment	<ul style="list-style-type: none"> # of monthly hits on RUCO website # of external stakeholder meetings hosted or attended 	Consistently communicate RUCO return on investment on website and with stakeholders. <ul style="list-style-type: none"> Number of cases RUCO intervened on Number of recommendations accepted by ACC

5 Year Plan

Issue 1 Optimize Value For Customers

Description Increase external communication and community engagement in RUCO's mission, goal and return on investment.

Solutions:

Consistently communicate RUCO return on investment on website and with stakeholders through: number of cases RUCO intervened on and number of recommendations accepted by the Arizona Corporation Commission.

Issue 2 High Performing and Professional Workforce

Description Increase AMS Implementation

Increase employee engagement

Solutions:

Work with the Arizona Government Transformation Office to implement AMS.

Improve employee satisfaction and engagement: track and analyze employee satisfaction and engagement and identify and address areas for improvement.

Issue 3 Operational Excellence through continuous improvement

Description Increase standardization for all major internal processes at RUCO.

Increase effectiveness of RUCO recommendations to the Arizona Corporation Commission.

Solutions:

Identify and develop areas where internal systems are needed, to include: direct testimony, rate design, surrebuttal testimony and Hearing testimony.

Establish a baseline for RUCO recommendations that are accepted by the Arizona Corporation Commission based on tracking and analysis of, at a minimum: major issue areas within RUCO recommendations that were accepted and rejected, and Utility specific areas within RUCO recommendations that were accepted and rejected.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	9.0	9.0	9.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,388.9	1,388.9	1,388.9
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

◆ **Goal 1** To deliver exceptional representation and advocacy for residential ratepayers

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of cases analyzed	8	9	7	7	8
RUCO interventions in rate making	8	9	7	7	8

◆ **Goal 2** To secure fair and reasonable rates and quality service for residential utility ratepayers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of proceedings intervened in	8	9	7	7	8
Number of proceedings intervened in that resulted in a \$\$ reduction	5	7	7	7	8
Total dollar amount of reductions in millions US Dollars	288.0	250.0	425.0	250.0	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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	328.9	324.1	324.1
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	328.9	324.1	324.1
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 2022, the Board will complete and resolve complaints within 180 days from receipt.

Goal 2: By December 2021, the Board will implement a new database solution (E Licensing) that accurately tracks licensing timeframes and provides realtime application updates online. (Goal not met, hold placed on Thentia Solution by Gov's Office and ASET)

Strategy: By December 2021 add all service to the Web Portal so that all transactions may be paid with a credit card or electronic funds transfer. (Goal not met, hold placed on Thentia Solution by Gov's Office and ASET)

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	3.0	3.0	3.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	300.0	300.0	300.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
New licenses issued.	451	250	575	350	350
Explanation: Total number of licenses issued					
Average number of days to renew a license	2	2	2	2	2
Explanation: Average number of days from receipt to granting a temporary license					
Total number of applications for permanent licenses	487	200	1078	200	200

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of complaints received	297	250	237	250	200
Explanation: Total number of complaints received					
Average days from receipt of complaint to resolution	66	60	145	60	60
Explanation: Average number of day to close a complaint					
Average monthly backlog of complaints not yet resolved	55	75	137	75	60
Explanation: Total number of complaints pending from month to month					
Number of licenses revoked or suspended	19	10	6	10	10
Explanation: Total number of licenses revoked or suspended					
Total number of practitioners investigated	366	150	234	150	150
Percent of investigations resulting in disciplinary or enforcement action	15	10	6	10	10
Total percent of licensees receiving disciplinary action	3.1	2	1	2	2

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ MEMBER SERVICES	23,101.3	27,094.8	26,705.1
➤ ADMINISTRATION AND SUPPORT	4,875.6	5,142.8	5,142.8
➤ INVESTMENT MANAGEMENT	262,131.0	133,036.6	137,450.0
Agency Total:	290,107.9	165,274.2	169,297.9
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	23,347.6	25,048.4	25,673.4
Other Non Appropriated Funds	266,760.3	140,225.8	143,624.5
Total Funding	290,107.9	165,274.2	169,297.9
FTE Positions	240.9	240.9	240.9

5 Year Plan

Issue 1 Maintain Sustainable Benefit Plans

Description Sustainability refers to the ability of the ASRS to provide and maintain the Pension, Health Insurance Supplement, and Long-Term Disability plans without the need for significant plan design changes or significant increases in contribution rates.

Solutions:

The ASRS focuses on the sustainability of the plans through the development, implementation, management, and monitoring of our funding policy, investment management program, and plan design modifications for consideration through the legislative process. The goal of the ASRS Funding Policy is to ensure that a thorough process has been developed, documented, and implemented to fully fund benefits in a manner consistent with the capital market, demographic, risk tolerance, and other parameters. The goal of the investment management program is to ensure that investment strategies are designed and implemented to meet the required investment objectives to fund the plans. The purpose of reviewing plan design features for legislative consideration is to ensure that potential plan design flaws and inequities are conveyed to legislative bodies for consideration.

Issue 2 Achieve Investment Goals

Description The financial health of the ASRS significantly depends on the ability to generate high levels of investment returns for acceptable levels of risk. Investment returns have one of the largest impacts on determining long-term contribution rates.

Solutions:

Design, implement, manage, monitor, and modify investment strategies considering forecasts in the capital markets, funding goals, risk tolerances, and market conditions.

Issue 3 Enhance Risk Management Capabilities

Description As the threat landscape continues to evolve, pension funds must continue to enhance their risk management capabilities to protect pension fund assets, systems, and data.

Solutions:

Enhance the agency's enterprise-wide risk management (ERM) program to ensure that the agency has identified and is monitoring, managing, and mitigating risks most likely to impact the agency. For this planning period, emphasis will be placed on fraud detection, information security, information privacy, and cash controls.

Issue 4 Optimize Operational Effectiveness

Description Continue to perform analysis and identify opportunities to improve the agency's operational effectiveness.

Solutions:

Utilize peer benchmarking, lean analysis, ongoing budget monitoring, and enhanced technology to improve productivity, increase service, or reduce cost where room for improvement has been identified.

Issue 5 Provide Outstanding Customer Service

Description To ensure members continue to receive high levels of service, the ASRS must regularly monitor, review, and manage its customer service to ensure members remain satisfied with the service they receive.

Solutions:

Continue to utilize peer benchmarking and internal surveys to monitor customer service. When required, develop strategies to address any issues that are present.

Issue 6 Ensure Operational Continuity

Description To successfully achieve agency priorities, the ASRS must recruit, retain, and develop a workforce that is high-performing and engaged.

Solutions:

Develop effective recruitment and transition management plans. Work with management to develop strategies to maintain high levels of employee engagement. Cultivate an employee development plan that mentors and develops future leaders.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 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

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	18,837.4	20,607.1	21,232.1
Other Non Appropriated Funds	4,263.9	6,487.7	5,473.0
Total Funding	23,101.3	27,094.8	26,705.1
FTE Positions	200.0	199.0	199.0

- ◆ **Goal 1** To ensure member disbursements will be distributed timely, accurately, and cost-effective, resulting in high levels of member satisfaction.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of months in which 90% or more of new retirees receive initial payment within 10 business days of retirement	0	12	1	12	12
Percent of overall member satisfaction with the retirement application process for new retirees (objective 90%)	91	90	87	90	90
Number of months in which 100% of monthly pension payments are disbursed on the first day of the month	12	12	12	12	12
Number of months in which 90% or more of forfeitures are disbursed within 5 business days of request	12	12	12	12	12
Percent of overall member satisfaction with the forfeiture process (objective 90%)	92	90	84	90	90
Percent of overall member satisfaction with the survivor benefit process (objective 90%)	88	90	82	90	90
Number of months in which 90% of survivor benefit annuity calculations are finalized within the first month possible following receipt of all documentation and information	12	12	12	12	12
Number of months in which 90% of survivor benefit lump sum payments are disbursed to beneficiaries within 10 days of receipt of required documentation and information	4	12	4	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of members that are satisfied with the cost of medical insurance plans for the benefits received	95	90	0	90	0
Percent of eligible members participating in an ASRS medical insurance plan	22	25	0	25	0
Percent of medical insurance performance guarantees that are met and enforced	100	100	0	100	0
Percent of members that are satisfied with the cost of dental insurance plans for the benefits received	90	90	0	90	0
Percent of eligible members participating in an ASRS dental insurance plan	34	35	0	35	0

- ◆ **Goal 3** To administer a Long Term Disability plan that is competitive, efficient and satisfies members

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent change in administrative expenses per disabled member	0	-1	0	0	0
Percent of long term disability performance guarantees that are met and enforced	0	100	0	0	0
Percent of members that are satisfied with the LTD approval process based on the quarterly survey conducted by vendor	96	100	0	100	0
Percent of members that are satisfied with the LTD maintenance process based on the quarterly survey conducted by vendor	95	100	0	100	0

- ◆ **Goal 4** To provide members and employers with timely and accurate service that results in high levels of customer satisfaction.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of months which 70% or more of member calls are answered within 20 seconds	12	12	11	12	12
Percentage of overall member satisfaction with Telephone Service at the Arizona State Retirement System (objective 90%)	98	90	98	90	90
Number of months which 90% or higher of member secure messages are answered within one business day	12	12	12	12	12
Percentage of overall member satisfaction with walk-in counseling (objective 90%)	90	90	89	90	90
Number of months which 90% or more of employer secure messages are answered within two business days	10	12	12	12	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of overall user satisfaction with core business applications	83	90	80	90	90
Percent of overall user satisfaction with non-core business applications	86	90	90	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of months in which 90% or higher of members receive a service purchase cost invoice within 5 days	12	12	12	12	12
Percent of members satisfied with the service purchase process	84	90	71	90	90
Percent of employers satisfied with the contribution process	84	90	84	90	90
Percent of active member accounts that have a complete demographic profile	95	98	0	98	0
Percent of inactive members that have a valid birthdate and address	85	90	0	90	0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	4,227.6	4,441.3	4,441.3
Other Non Appropriated Funds	648.0	701.5	701.5
Total Funding	4,875.6	5,142.8	5,142.8
FTE Positions	29.9	29.9	29.9

◆ **Goal 1** To ensure responsible governance in the administration of ASRS and its benefit programs

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Net promoter score: Employers respond positively when asked “How do you rate the ASRS as an organization?”	87	90	47	50	50
Members respond positively when asked if “ASRS operates in my best interest”	91	90	80	90	90
Members respond positively when asked if “My retirement is secure with the ASRS”	94	90	84	90	90
Stakeholders respond positively when asked if “The ASRS acts ethically”	89	90	78	90	90
Obtain an unmodified opinion from the independent auditors on the ASRS’ annual audited financial statements (CAFR) (Measure as % complete)	0	100	0	0	0
Obtain an unmodified opinion from the independent auditors on the ASRS’ GASB 68 reporting schedules (Measured as % complete)	0	100	0	0	0
Obtain an unmodified opinion from the independent auditors on the ASRS’ GASB 75 reporting schedules (Measured as % complete)	0	100	0	0	0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total rolling annual turnover rate compared to the State of Arizona	12.7	18	11.8	12	12
Engagement score from ADOA employee engagement survey	0	9	88	80	80

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	282.6	0.0	0.0
Other Non Appropriated Funds	261,848.4	133,036.6	137,450.0
Total Funding	262,131.0	133,036.6	137,450.0
FTE Positions	11.0	12.0	12.0

- ◆ **Goal 1** To achieve a total fund rate of return equal to or greater than the actuarial assumed interest rate.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of investment returns	0.8	7.5	0	7.5	0
20-Year rolling annual rate of return on total fund assets (%)	0	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Annualized rate of return	0.8	0	0	0	0
Excess return measured against strategic asset allocation benchmark	0.8	0	0	0	0
3-year rolling annual rate of return	5.5	0	0	0	0
3-Year excess return measured against strategic asset allocation benchmark	1.2	0	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Annualized rate of return for total equity	-1.6	0	0	0	0
Excess total equity return measured against benchmark	-0.3	0	0	0	0
Annualized rate of return for interest rate sensitive	9.0	0	0	0	0
Excess interest rate sensitive return measured against benchmark	0.3	0	0	0	0
Annualized rate of return for total credit	4.4	0	0	0	0
Excess total credit return measured against benchmark	11.3	0	0	0	0
Annualized rate of return for real estate (IRR)	-0.7	0	0	0	0
Excess real estate return measured against benchmark	-4.5	0	0	0	0
3-year rolling annual rate of return for total equity	5.0	0	0	0	0
3-year rolling annual excess total equity return measured against benchmark	0.2	0	0	0	0
3-year rolling annual rate of return for interest rate sensitive	5.4	0	0	0	0
3-year rolling annual excess interest rate sensitive return measured against benchmark	0.1	0	0	0	0
3-year rolling annual rate of return for total credit	7.3	0	0	0	0
3-year rolling annual excess total credit return measured against benchmark	5.8	0	0	0	0
3-year rolling annual rate of return for real estate	4.6	0	0	0	0
3-year rolling annual excess real estate return measured against benchmark	-0.4	0	0	0	0

◆ **Goal 4** To ensure sufficient monies are available to meet cash flow requirements.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total market value of ASRS fund assets (in billions)	40.5	0	0	0	0
Total annual benefit payments (in billions)	0	0	0	0	0
Percentage of liability funded	0	0	0	0	0

Agency Summary

DEPARTMENT OF REVENUE

Rob Woods, Director
Phone: (602) 716-6090
A.R.S. §§ 42-1001 et seq.

Mission:

To serve 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ SERVICE	19,654.7	17,967.5	17,967.5
➤ PROCESSING	11,049.2	11,887.7	11,887.7
➤ EDUCATION AND COMPLIANCE	17,382.5	18,120.8	18,120.8
➤ AGENCY SUPPORT	30,987.7	35,811.4	56,482.7
Agency Total:	79,074.0	83,787.4	104,458.7

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	29,253.2	53,542.4	65,343.6
Other Appropriated Funds	47,804.8	27,161.2	36,031.3
Other Non Appropriated Funds	2,016.1	3,083.8	3,083.8
Total Funding	79,074.0	83,787.4	104,458.7

FTE Positions	895.0	895.0	895.0
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5 Year Plan

Issue 1 Please see Arizona Department of Revenue's strategic plan for all issues.

Description**Solutions:**

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	895.0	895.0	895.0
General Fund	65,343.6	65,343.6	65,343.6
Other Appropriated Funds	36,031.3	36,031.3	36,031.3
Non-Appropriated Funds	2,940.0	2,395.0	2,395.0
Federal Funds	0.0	0.0	0.0

Department of Revenue

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Rob Woods
Kathy Gamboa
7/13/21

Vision: Funding Arizona's priorities through excellence in innovation, exceptional customer experience and public servant-led continuous improvement.

Mission: Serving Taxpayers!

Agency Description:

The mission of the Arizona Department of Revenue (ADOR) is to serve taxpayers. The department administers collection and distribution of individual and corporate income tax, transaction privilege (sales), use, luxury, withholding, property, fiduciary, bingo, and severance taxes. The department oversees county assessors in the administration of locally-assessed property taxes.

Executive Summary: The Arizona Department of Revenue has identified four strategic priorities in furtherance of fulfilling our vision. This holistic strategy engaged every level of the ADOR workforce and is aligned to the agency's core purpose of collecting and distributing revenue to the State of Arizona. We will accomplish this through focus on the foundational pillars of the Department of Revenue:

Optimize Employee Culture: Create an environment focused on well-being, goal alignment, vision, and purpose from recruitment to retirement.

Maximize Agency Effectiveness & Efficiency: Review processes to ensure focus on what is required and realistic. Prioritize by impact and frequency with financial tools that promote reduction in time, costs, and resources.

Enhanced Customer Experience: Creating a unique experience enabling a positive customer interaction through increased availability, reduced wait times, first contact resolution, by responding to customer needs with urgency while utilizing feedback to improve processes.

Legislative Agility: Enable agency to respond to changing priorities quickly to better support the taxpayers of Arizona through implementing legislation in a technically sound and administratively feasible manner.

Summary of 3-Year Strategic Priorities

#	Multi-Year Strategy	Start Year	Progress / Successes
1	Optimize Employee Culture - Enhance Employee Centric Culture	2021	Quarterly survey created and implemented; maintained state leadership engagement scores despite moving to a remote workforce; actively used new subject matter experts to drive strategy, building our bench of experts; agency-wide web-based engagement tool created to nominate/share successes; skills matrix pilot in flight; standard work mindset permeating the DNA of ADOR.
2	Maximize Agency Effectiveness & Efficiency - Increase Voluntary Compliance	2021	Tracking tool in outreach to monitor success of compliance programs (pilot); completed analysis provides foundation to Y2 of strategy; developed white paper; inked deal with vendor, ASR, that will achieve \$30 million in revenue from compliance efforts.
3	Enhanced Customer Experience	2021	Collected customer feedback via in-person (lobby) and virtual (phone and surveys) to better understand customer needs.
4	Legislative Agility	2021	Process standardization developed for legislative mandates, aligning future work strategies; implementation of Prop 207 with IT development completed in record time; enhanced synergy between IT/Business; developed Arizona Management Systems (AMS) support system (morning huddle) to discuss evolving legislation in real time and quantify impact to the agency.

Department of Revenue

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Develop career pathing and standard work to optimize the number of “Ready Now” candidates.	- % of processes created and transitioned to a standard operating practice.	- Develop standard process/countermeasures to address gaps in critical roles.
2	Reduce critical Agency backlog.	- % monthly in backlog for Transaction Privilege Tax (TPT) Refunds.)	- Understand backlog inventory. - Scale TPT resources to align with needed activities. - Deploy formal problem solving at the appropriate level and develop standard work.
2	Increase TPT Voluntary Compliance.	- Return on Investment (ROI) on TPT investment activities.	- Scale E-Commerce Compliance & Outreach into appropriate business units including training and resourcing. - Align resources to improve collections activity. - Identify and improve AZTaxes resources for remote and in-state sellers (recommendations provided to Legislative Agility to implement).
3	Initiate a Voice of the Customer System.	- % project complete.	- Find and implement Net Promoter Score (NPS) opportunity. - Train staff and operationalize response activities. - Identify top issue impacting satisfaction.
3	Improve online resources for taxpayers.	- % project complete.	- Establish customer journey in AZTaxes to file/pay online. - IT Architect scope project and needs. - Implement changes.
4	Supporting legislative initiatives.	- % to scope of project.	- Identify and implement legislation and other administrative mandates within required deadline. - Collect feedback that will streamline/simplify tax law recommendations for the Executive Office.

Program Summary

SERVICE

Neeraj Deshpande, Acting 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 supporting Arizona taxpayers through the provision of prompt, accurate and helpful assistance in coming into compliance with Arizona state tax requirements and obligations. These services include: providing customer service support in-person, by phone and through various on-line platforms including electronic mail and live chat; providing cashier support in three lobby locations; providing direct customer assistance for more complex matters and inquiries; facilitating customer use of AZTaxes to obtain and renew licenses, file and pay tax obligations; providing specialized support for unique business areas; partnering with cities and towns to create a singular customer experience; preparing, improving and issuing state tax forms, providing taxpayers with guidance in the form of tax rulings, procedures and instructions to aid in their compliance efforts; representing the department in appeals process at the administrative level while ensuring taxpayers are granted due process in the appeal of determinations made by the department; assisting in the analysis of proposed legislation and in proposing new legislation and policy to improve tax administration; exercising general supervision over county assessors to ensure all property is uniformly valued for property tax purposes; prescribing guidelines for appraisal methods and valuing centrally valued properties; resolving taxpayer account problems and disputes; returning unclaimed property to its rightful owner by identifying, locating and notifying owners of the property; administering and enforcing Arizona tobacco tax laws, including processing applications for tobacco distributor licenses and conducting routine retailer inspections; processing public information requests and ensuring agency adherence to state confidentiality laws.

This Program Contains the following Subprograms:

- ▶ Inquiries and Requests
- ▶ Local Jurisdictions
- ▶ Taxpayer, Executive, and Legislative Issues
- ▶ Enforcement

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,057.3	12,895.7	12,895.7
Other Appropriated Funds	17,493.9	3,443.4	3,443.4
Other Non Appropriated Funds	1,103.4	1,628.4	1,628.4
Total Funding	19,654.7	17,967.5	17,967.5
FTE Positions	208.8	208.8	208.8

◆ Goal 1 To optimize taxpayer services

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Complete Voice of the Customer project (percent complete)	0	0	0	100.0	N/A
Complete online resources/AzTaxes project (percent complete)	0	0	0	100.0	N/A

◆ **Goal 2** To increase legislative agility

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Implementation of legislation or other administrative mandates within required deadline (percent complete)	100.0	100.0	100.0	100.0	100.0
Map processes and align resources (project percent completion)	100.0	90.0	N/A	N/A	N/A
Completion of pre-implementation tasks for ATLAS (project percent completion)	100.0	5.0	N/A	N/A	N/A

Subprogram Summary

INQUIRIES AND REQUESTS

Neeraj Deshpande, Acting Assistant Director of Taxpayer Services
 Phone: (602) 716-6090
 A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

Inquiries & Requests is responsible for supporting Arizona taxpayers through the provision of prompt, accurate and helpful assistance in coming into compliance with Arizona state tax requirements and obligations. Services include: providing customer service support in-person, by phone and through various on-line platforms including electronic mail and live chat; providing cashier support in three lobby locations; providing direct customer assistance for more complex matters and inquiries; facilitating customer use of AZTaxes to obtain and renew licenses, file and pay tax obligations; providing specialized support for unique business areas; partnering with cities and towns to create a singular customer experience; resolving taxpayer account problems and disputes; returning unclaimed property to its rightful owner by identifying, locating and notifying owners of the property; reviewing and evaluating penalty abatement requests; supporting remote sellers and marketplace facilitators in understanding and complying with Arizona remote seller tax laws.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,057.3	6,586.1	6,586.1
Other Appropriated Funds	9,741.2	1,574.4	1,574.4
Other Non Appropriated Funds	38.4	580.2	580.2
Total Funding	10,836.9	8,740.7	8,740.7
FTE Positions	91.9	97.1	97.1

Subprogram Summary

LOCAL JURISDICTIONS

Neeraj Deshpande, Acting 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; developing appraisal and assessment guidelines; and conducting analysis to ensure assessors' values are within statutorily prescribed limits. The subprogram also includes the General Council, Hearing Office and the Disclosure Office. The Hearing Office conducts hearings and issues decisions on 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.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	3,153.1	3,153.1
Other Appropriated Funds	3,060.9	21.3	21.3
Other Non Appropriated Funds	32.2	32.2	32.2
Total Funding	3,093.0	3,206.6	3,206.6
FTE Positions	35.6	34.7	34.7

Subprogram Summary

TAXPAYER, EXECUTIVE, AND LEGISLATIVE ISSUES

Neeraj Deshpande, Acting 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. The subprogram administers and enforces Arizona tobacco tax laws, including the issuance of tobacco distributor licenses. The subprogram consists of Appeals, Individual Income and Corporate Appeals, Non-Income Appeals, and Tax Research & Analysis section.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	3,156.5	3,156.5
Other Appropriated Funds	4,494.0	1,645.7	1,645.7
Other Non Appropriated Funds	775.9	751.6	751.6
Total Funding	5,269.9	5,553.8	5,553.8
FTE Positions	71.3	67.0	67.0

Subprogram Summary

ENFORCEMENT

Neeraj Deshpande, Acting 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.

Program Summary

PROCESSING

Kathy Gamboa, Acting Assistant Director of Processing

Phone: (602) 716-6090

A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

The Processing program is comprised of three subprograms: Process Administration, Tax Data Management, and Tax Fraud Prevention.

This Program Contains the following Subprograms:

- ▶ Process Administration
- ▶ Tax Data Management
- ▶ Tax Fraud Prevention

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,790.2	11,662.2	11,662.2
Other Appropriated Funds	2,170.2	198.8	198.8
Other Non Appropriated Funds	88.8	26.7	26.7
Total Funding	11,049.2	11,887.7	11,887.7

FTE Positions	156.0	156.2	156.2

◆ Goal 1 To accelerate processing

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Sustain processing times for Transaction Priviledge Tax (days)	0	0	0	6	6

◆ **Goal 2** To Enhance Services & Automation - Mature Agency Data Management

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Increase Data Management Maturity (DMM) model score (scale 0 - 5)	2.2	2.11	N/A	N/A	N/A
Meeting key milestones in BI roadmap and readiness to implement new system (project percent completion)	100.0	100.0	N/A	N/A	N/A

Subprogram Summary

PROCESS ADMINISTRATION

Kathy Gamboa, Acting 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 three 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.

Treasury Team: Responsible for depositing all tax revenue and for entering all taxpayer data.

Error Resolution: Ensures accuracy in the processing of returns and payments for the four largest tax types.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	5,514.8	6,067.3	6,067.3
Other Appropriated Funds	0.0	21.3	21.3
Other Non Appropriated Funds	0.0	2.1	2.1
Total Funding	5,514.8	6,090.7	6,090.7
FTE Positions	114.0	115.1	115.1

Subprogram Summary

TAX DATA MANAGEMENT

Neeraj Deshpande, Acting Chief Data Officer
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 three major components:

Advanced Error Resolution and Testing: Ensures taxpayer accounts are correct and in balance through the correction of known data quality issues. In addition, it is responsible for the business unit testing of system and application changes to ensure integrity of data entering the system.

Data management: Responsible for improving the agency data management maturity through the development and implementation of the data management strategy, data governance, data quality, and supporting processes.

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.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	3,275.5	5,594.9	5,594.9
Other Appropriated Funds	2,170.2	177.5	177.5
Other Non Appropriated Funds	88.8	24.6	24.6
Total Funding	5,534.4	5,797.0	5,797.0
FTE Positions	42.0	41.1	41.1

Subprogram Summary

TAX FRAUD PREVENTION

Neeraj Deshpande, Acting Chief Data Officer
Phone: (602) 716-6090
A.R.S., Title 42

Mission:

To serve taxpayers!

Description:

This Sub-Program is responsible for stopping tax fraud and pursues financial investigations when fraudulent activity is suspected.

Program Summary

EDUCATION AND COMPLIANCE

Kathy Gamboa, 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.

This Program Contains the following Subprograms:

- ▶ Education and Outreach
- ▶ Audit and Assessing
- ▶ Collections

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,888.0	2,984.1	2,984.1
Other Appropriated Funds	14,068.2	14,454.5	14,454.5
Other Non Appropriated Funds	426.3	682.2	682.2
Total Funding	17,382.5	18,120.8	18,120.8
FTE Positions	327.2	326.7	326.7

◆ **Goal 1** To maximize taxpayer education and compliance

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of ECCO customer satisfaction surveys scoring 4 or above	100.0	80.0	95.0	90.0	95.0
Award unlicensed remote seller leads contract (percent)	99.0		100.0	N/A	N/A
Number of TPT licenses corrected	1,412	1,500	1,154	900	900

◆ **Goal 2** To maximize Agency effectiveness & efficiency - increase voluntary compliance

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Increase number of Taxpayers impacted by voluntary compliance education efforts.		5,480	7,643	N/A	N/A
Increase in Voice of Customer response rating (scale of 1 - 5)		4.8	4.32	N/A	N/A
Reduce monthly % of TPT refunds backlog (cumulative percent)	0	0	N/A	24.0	N/A
Increase Return on Investment on TPT investment activities (thousands)	0	0	0	30,000.0	N/A

Subprogram Summary

EDUCATION AND OUTREACH

Kathy Gamboa, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	340.0	335.1	335.1
Other Appropriated Funds	1,320.4	1,415.4	1,415.4
Other Non Appropriated Funds	82.1	85.1	85.1
Total Funding	1,742.5	1,835.6	1,835.6
FTE Positions	34.0	33.7	33.7

Subprogram Summary

AUDIT AND ASSESSING

Kathy Gamboa, 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,778.9	1,797.6	1,797.6
Other Appropriated Funds	4,676.6	4,858.9	4,858.9
Other Non Appropriated Funds	310.4	426.9	426.9
Total Funding	6,766.0	7,083.4	7,083.4
FTE Positions	115.7	115.5	115.5

Subprogram Summary

COLLECTIONS

Kathy Gamboa, 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	769.1	851.4	851.4
Other Appropriated Funds	8,071.3	8,180.2	8,180.2
Other Non Appropriated Funds	33.7	170.2	170.2
Total Funding	8,874.1	9,201.8	9,201.8
FTE Positions	177.5	177.5	177.5

Program Summary

AGENCY SUPPORT

Rob Woods, 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, strategic and resource planning, legal services to management, financial and inventory accounting, and communications to support all core business processes of the Department.

This Program Contains the following Subprograms:

- ▶ Human Resources
- ▶ Information Services
- ▶ Support Services

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	16,517.7	26,000.4	37,801.6
Other Appropriated Funds	14,072.5	9,064.5	17,934.6
Other Non Appropriated Funds	397.6	746.5	746.5
Total Funding	30,987.7	35,811.4	56,482.7
FTE Positions	203.0	203.3	203.3

◆ Goal 1 To optimize employee culture - enhance employee centric culture

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Improve quarterly agency engagement score (no scale)		9.2	81	N/A	N/A
Optimize number of positions enabled for telework (number by job type)		60.0	251	N/A	N/A
Increase the number of critical positions with at least one "ready now" candidate (position count)	0	37.0	101	N/A	N/A
Create and transition standard operating processes to practice	0	0	0	40	N/A

Subprogram Summary

HUMAN RESOURCES

Rob Woods, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	754.8	754.8
Other Appropriated Funds	647.0	21.3	21.3
Other Non Appropriated Funds	3.7	0.0	0.0
Total Funding	650.8	776.1	776.1
FTE Positions	8.0	8.1	8.1

Subprogram Summary

INFORMATION SERVICES

Rob Woods, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	14,567.8	16,440.5	28,241.7
Other Appropriated Funds	5,485.7	5,374.2	14,244.3
Other Non Appropriated Funds	326.1	720.4	720.4
Total Funding	20,379.7	22,535.1	43,206.4
FTE Positions	135.0	135.0	135.0

Subprogram Summary

SUPPORT SERVICES

Rob Woods, 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; accounting and distributions of all revenues received; purchasing and internal financial and inventory accounting; management and maintenance of all department facilities and communications.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,949.9	8,805.1	8,805.1
Other Appropriated Funds	7,939.7	3,669.0	3,669.0
Other Non Appropriated Funds	67.7	26.1	26.1
Total Funding	9,957.2	12,500.2	12,500.2
FTE Positions	60.0	60.2	60.2

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 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.

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADMINISTRATION	4,833.1	6,175.9	7,322.2
➤ BUSINESS SERVICES	930.9	938.1	938.1
➤ PUBLIC SERVICES	204.8	185.8	185.8
➤ ELECTION SERVICES	11,130.2	1,523.1	13,737.8
➤ ARIZONA STATE LIBRARY, ARCHIVES, AND PUBLIC RECORDS	12,385.1	13,637.2	14,742.8
Agency Total:	29,484.1	22,460.1	36,926.7
Funding:			
General Fund	17,050.4	12,907.7	25,754.2
Other Appropriated Funds	1,239.3	1,479.3	3,099.4
Other Non Appropriated Funds	11,194.4	8,073.1	8,073.1
Total Funding	29,484.1	22,460.1	36,926.7
FTE Positions	131.9	132.2	140.2

5 Year Plan

Issue 1 Ensure safe and secure elections.

Description Elections officials from the federal government to local municipalities, recognize 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 been essential to addressing this issue at the state and county level by providing critical resources for the counties to enhance the security of their election infrastructure. The SOS will continue to explore what is needed to protect from any vulnerabilities that might exist, including mis-, dis-, and mal-information. Partnerships established through the policy academy, state, local, and federal entities have greatly enhanced our preparedness to respond to any threats we face. Beginning in 2020, every county had an incident response plan and a Threat Liaison Officer to facilitate communication between the county and the law enforcement community to monitor threats at the local, state, and federal level. The SOS considers this program a priority to continue in upcoming elections. Given the continued spread of false information about Arizona's elections, the SOS will also continue working to ensure public confidence in the electoral process.

Issue 2 Pending litigation

Description Regardless of the actions of the Arizona legislature in passing the FY2022 budget, the Secretary of State will always be at the center of litigation, whether it be challenging elections laws or dealing with notary complaints. The legislature did provide for the Department to hire a legal counsel, however, they did not include an appropriation for this position or any of the support staff needed to provide the level of legal support required by the SOS.

Solutions:

Appropriate resources need to be made available to the Secretary of State for legal services and support.

Issue 3 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:

Continue implementation of the recommendations from the Gartner Assessment. This multi-year approach will bring the SOS up to date in terms of technology and security.

Issue 4 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 5 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. During the 2020 election cycle state and county officials had access to private grants for public education. During the 55th legislature house bill 2569 was passed prohibiting the use of private funds by election administrators in Arizona. As a result, the Secretary of State's office is requesting monies for elections public education from the general fund for FY23.

Issue 6 Archives and Records Management

Description The Archives and Records Management program is inefficient and unable to meet the state's current and future records management needs leading to increased costs and liabilities for government bodies due to lack of resources and outdated records management procedures. Storage of all the state government bodies' paper and electronic records costs the state a significant amount of money per year, and inefficient records management contributes to that cost.

Solutions:

As outlined in A.R.S. 41-151.13, the agency will create a robust records management program that assists government bodies with managing their public records efficiently and effectively. With an effective Archives and Records Management program, overall storage costs will be reduced. The enhanced Archives and Records Management program will update and review retention schedules regularly, provide records disposition training to ensure unneeded records are being disposed of properly and consistently, and provide guidance for managing and storing digital records in accordance with industry standards. The updated records management program will help all levels of government save money and assist citizens with gaining access to public records in a timely manner. This work will require that the cash under the Records Services Fund continues to be sufficiently appropriated to support the program operations as outlined in the fiscal year 2023 budget issue titled "Increase Records Services Fund Appropriation."

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, information, and affordable broadband for ALL Arizonans.

Solutions:

The agency will improve access to Arizona's underserved and unserved populations with a particular emphasis on training, digital inclusion, broadband adoption, collection development, and user experience.

Issue 9 Resource Development

Description Continue to seek outside funds for special projects, initiatives, and exhibits at the State Library.

Solutions:

The State Library's Library Services and Archives branches were awarded over 7 million dollars in grant funds during the state fiscal year 2021 for Arizona libraries, 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 while continuing to make effective use of existing resources.

Issue 10 Preservation of Permanent Records

Description Storage, Intellectual Control, and Access to the State of Arizona's permanent records will continue to demand increased resources. Archives and Records Management is challenged to meet statutory obligations with existing resources and staff. Even though most records are now created electronically, there is still an estimated 50 years' worth of permanent paper records held by state government bodies. While many state and local government bodies are implementing digitization programs, the cost of digitizing records to meet preservation standards can be higher than the cost of preserving the paper record. The digital records must meet a specified set of standards and disposition for ingest into the state archives' digital environment that ensures the long-term preservation and authenticity of the records.

Solutions:

Meet this challenge with a three-pronged approach: sufficient staffing with required expertise, a future Trusted Digital Repository to preserve digital information, and continued support to the environment and processes of the Archives that preserve and provide access to permanent records – analog and digital. Grow the staff of the Archives and Records Management branch to meet the records needs of the state at classification levels that can draw appropriate candidates. Provide long-term funding for trusted platforms to store and preserve digital information. Continue to invest in the Polly Rosenbaum Archives and History building by adding high-capacity shelving to house the incoming paper records.

Issue 11 There continues to be a low number of participants in the Address Confidentiality Program (ACP) from traditionally marginalized and underserved communities. There are not enough Application Assistants within these communities.

Description The ACP is a statewide program that should reflect the state, but data from the program shows that Latino and Native American communities are unrepresented in the population of participants, at 18.34% and .43%, respectively. 14.84% identify as multiple races, so that may address some of the underrepresentation, but it not entirely. And clearly, with a state that has 5.30% American Indian population, the native representation in the program is quite low. And when you look at the application assistants (AA's) throughout the state, it is not surprising. While there are 62 different agencies throughout the state that have AA's, there are none in Apache, Greenlee, and Santa Cruz counties, and 85% of all AA's are spread between 5 counties – Maricopa, Pima, Pinal, Yavapai, and Coconino.

Solutions:

The SOS needs additional resources in order to expand the number of application assistants statewide, through additional outreach and training. The ACP has implemented and will continue to expand virtual trainings to assist with the effort of registering application assistants statewide. ACP also wishes to expand its capacity for outreach through public awareness, as well as expand the support staff available who can work to promote efforts in these communities. Materials could include newly developed posters and outreach materials in English and Spanish, as well as creation of a virtual application process.

Issue 12 The Address Confidentiality Program has limited resources available for it's program.

Description The ACP is currently funded through fines administered by judges in the criminal disposition of domestic violence, sexual offenses, and stalking. These fines do not currently cover the daily costs to operate this essential program, so there is also grant funding through the Victims of Crime Act administered by the Arizona Department of Public Safety. In addition, the Address Confidentiality Program has had to raise over \$900,000 in the past 4 FFYs to cover additional costs to operate the enhanced services provided by the program. Although fines are received for operational costs, with continued growth of the program, more funding will be needed to expand the program.

Solutions:

The department seeks new sources of funding in order to expand available resources for the program. The SOS will continue to seek outside/additional funds for the ACP statutory based and enhanced services, all of which are necessary to run a state-wide secure and safe confidential address program. The program has to be creative in finding sources of funding, however, because, as a government-based program, it is not eligible for many of the grants that other victim service providers are eligible to receive.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	143.1	143.1	143.1
General Fund	8,462,737.0	8,462,737.0	8,462,737.0
Other Appropriated Funds	337,914.0	337,914.0	337,914.0
Non-Appropriated Funds	723,428.0	723,428.0	723,428.0
Federal Funds	789,936.0	789,936.0	789,936.0

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 oversees and carries out technology support, communications, legislative oversight and compliance monitoring, financial management, accounting, budgeting, procurement, human resources and payroll.

Administration provides support for Business Services, Public Services/Administrative Rules, Arizona State Library, Archives, Public Records, Capitol Museum, Address Confidentiality Program and Road to Rights, and Election Services Divisions. The Assistant Secretary of State and the Chief Financial Officer support leadership in policy making duties with responsibility for obtaining, enhancing and sustaining all office resources. Note, as of 09/29/21 AZ Capitol Museum transitions to the purview of Legislative Council per senate bill 1819.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	4,193.3	4,627.7	5,774.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	639.8	1,548.2	1,548.2
Total Funding	4,833.1	6,175.9	7,322.2
FTE Positions	36.0	39.3	45.3

- ◆ **Goal 1** 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Maintain an above average favorable response rate on annual employee engagement survey.		4.5	85	80	80
Maintain 80%+ participation in Employee Engagement Survey.	0	80	83	80	80

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 support and provide resources to customers and stakeholders in the business community through timely and accurate filings. To ensure that information is easily accessible to the public and promote transparency by offering online searches of the public records we maintain.

Description:

The Business Services Division is a diverse section within the Secretary of State's Office which exists to centralize statewide registration of Trademarks, Trade Names, Limited Partnerships, Foreign Partnerships, Advance Directives and Telephonic sellers; to accept for filing Uniform Commercial Code (UCC) financing statements; to commission Notaries Public; to provide Notary services; to issue Apostilles and Certificates of Authentication going to foreign countries. Note, senate bill 1352 established a health care directives registry under a qualifying health information exchange organization and Advance Directives is set to be moved to Health Current in FY21.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	807.2	809.8	809.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	123.7	128.3	128.3
Total Funding	930.9	938.1	938.1
FTE Positions	13.0	13.0	13.0

◆ **Goal 1** To serve the public by filing records accurately and expeditiously.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average number of business days to process trademark applications	10	8	10	10	10
Average number of business days to process Uniform Commercial Code filings	8	5	5	5	5
Average number of business days to process partnership filings	5	5	10	8	8
Average number of business days to process tradename applications	10	8	10	10	10
Average number of business days to process apostilles	10	8	10	8	8

◆ **Goal 2** To provide public disclosure through easy, accessible information and public documents, and on-line database search capabilities.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Trade names and Trademarks filed per month	2,400	2,500	3390	3000	3000
Number of partnerships on file per month	250	250	166	200	200
Number of UCC records filed per month	7,600	8,000	8662	8000	8000
Number of Apostilles processed per month	1,250	1,600	1250	1500	1500

◆ **Goal 3** To provide service to allow Notaries Public to perform their duties accurately and efficiently in the state.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of notaries commissioned per month	1,500	1,600	1700	1,700	1700
Number of notary seminars	22	24	0	24	24
Average number of days to process notary applications	20	20	25	20	20

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	204.8	185.8	185.8
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	204.8	185.8	185.8
FTE Positions	2.0	2.0	2.0

◆ **Goal 1** To advance the Division's mission statement

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Provide transparency by electronically publishing a list of filed state agency notices online at least once a week (percentage completed).	100	100	100	100	100
Achieve greater efficiency and reduce printing costs by digitally authenticating the Administrative Register on the website once a week (percentage completed).	100	100	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).	100	100	100	100	100
Update the Arizona Rulemaking Manual [1 manual in 12 month period].	0	1	0	1	1
Explanation: New goal in FY2020.					
Update form templates, maintain updates and post online (percentage completed).	0	100	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	1	1	1	1
Explanation: New goal in FY2020.					
Create a legislative proposal to expedite the rulemaking process. Submit to administration for review [once annually].	1	1	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).	100	100	100	100	100

◆ **Goal 2** To maintain a responsive Division workforce.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Promote at least one professional growth and/or development opportunity to staff annually.	1	1	1	1	1
Engage staff to suggest legislation to improve rulemaking process [once annually].	1	1	1	1	1

◆ **Goal 3** To provide service that allows agencies, boards and commissions to develop rules accurately and efficiently.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Maintain a log of rule notices. Record number of rule notices filed in a fiscal year.	277	250	250	250	250

◆ **Goal 4** To assist and train state agency staff, facilitate positive relationships, foster open and effective communications.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Perform courtesy reviews of notices upon request (percentage completed).	100	100	100	100	100
Provide informal assistance over the telephone, in person, or electronically (percentage completed).	100	100	100	100	100

◆ **Goal 5** To maintain deadlines, maintain commitment to customers.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of customers indicating they found the public information they were seeking	100	100	100	100	100
Percent of statutory publications provided	100	100	100	100	100

◆ **Goal 6** To reduce costs and energy consumption – Green Initiative.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Review costs for division expenditures. Check surplus before ordering products. Increase awareness of the need to recycle and reuse office products (percentage completed).	100	100	100	100	100
Print draft documents double-sided (percentage completed).	100	100	100	100	100

Explanation: New goal in FY2020.

Program Summary

ELECTION SERVICES

Kori Lorick, Director

Phone: (602) 364-1562

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: Maintaining and improving the 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; assisting county partners with redistricting updates following the biennial census..
- 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. .provide resources to committees and circulators; review and approve circulator affidavits.
- 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; compile and distribute Arizona's Election Statute Book.
- Public Records:; undertaking massive data inquiries to produce 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	5,634.8	1,326.1	12,026.3
Other Appropriated Funds	0.0	192.5	1,707.0
Other Non Appropriated Funds	5,495.4	4.5	4.5
Total Funding	11,130.2	1,523.1	13,737.8
FTE Positions	11.9	11.9	13.9

- ◆ **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 each odd numbered calendar year.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Elections Procedures Manual submitted to Attorney General and Governor by October 1 of each odd numbered year calendar year (percentage completed).	100		0	100	0
Elections Procedures Manual approved by Attorney General and Governor by December 31 of each odd numbered year (percentage completed).	100		0	100	0

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	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Use electronic format and information provided by county offices and MVD to maintain voter registration rolls (percentage completed)	100	100	100	100	100
Number of registered voters as of January 2 (in thousands).	3,927	4,021	4300	4360	4400

- ◆ **Goal 3** To provide statewide voter registration.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Total voter registration	3,926,649	4,026,649	4,300,058	4,360,000	4,400,000

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Create an Incident Response Plan in partnership with federal, state and local officials to be used in the 2020 each Election Cycle (percentage completed).	75	100	100	0	100
Explanation: This goal is for fiscal year 2020.					
Number of state and local officials who participated in election security table top exercise or other security trainings coordinated by SOS office.	160		0	15	0
Distribute aid to counties through various subgrant programs each FY.	0	0	13	8	8

- ◆ **Goal 5** To provide quality training, certification, and re-certification of election officials statewide in FY2020 and FY2022.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of election officers certified.	441	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.	37	0	0	35	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of Campaign Finance data available on-line.	100	0	100	100	100
Number of Campaign Finance reports filed.	6,676	0	6283	6200	6200
Number of candidate, political action, and political party committees registered.	1,077	0	1093	1,200	1200
Number of Standing Political Committees registered.	139	0	147	150	150

- ◆ **Goal 7** To efficiently receive and process candidate, initiative/referenda/recall, and new party petitions.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of IRR petitions received and processed (in thousands).	145.1	0	146	75	200
Number of IRR petition signatures processed for county recorder verification (in thousands).	1,569.1	0	1517	0	2500
Number of new party petitions received and processed (in thousands).	0	0	0	5	0
Number of candidate petition signatures received and processed (in thousands).	0	0	58	150	0

◆ **Goal 8** To prepare for and respond to the coronavirus pandemic for the 2020 federal election cycle

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Fund \$5,000,000 in subgrants to Counties for response and preparation to the coronavirus pandemic for the 2020 federal election cycle	0	5,000,000	4,081,316	0	0
Provide counties with 100% of personal protective equipment and sanitation supplies requested for voting and ballot processing facilities.	0	100	100	0	0
Purchase and distribute ballot drop boxes to rural and tribal counties	0	45	79	0	0
Assist counties with recruiting at least 1,600 pollworkers through sign up sheet on the Secretary of State's website.	0	1,600	23,121	0	0
Educate the public on voting options and how to vote safely during the pandemic, measured by number of impressions.	0	95,000,000	635Billion	0	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	6,210.3	5,958.3	6,958.3
Other Appropriated Funds	1,239.3	1,286.8	1,392.4
Other Non Appropriated Funds	4,935.5	6,392.1	6,392.1
Total Funding	12,385.1	13,637.2	14,742.8
FTE Positions	69.0	66.0	66.0

- ◆ **Goal 1** To preserve Arizona's history through the collection, storage, and digitization of permanent government records, publications, and artifacts.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
New records received (linear feet/boxes-in thousands)	25.2	25	.7	25	25
Materials digitized (in thousands)	66.1	51.6	54.9	56	57
Physical collection items added	0	0	19.1	30	31
Local digital collection items added	0	0	55.1	56	57

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Archives and records materials used (in thousands)	66.4	65	34.4	65	66
Physical collection usage (in thousands)	365.2	332	11.9	332	333
Digital collection usage (in thousands)	2,664.9	2,645	2835.1	2646	2647
Online engagement (in thousands)	922.7	301.8	648.8	302	303
Statewide database usage (in thousands)	12,040.6	10,010	16224.1	10010	10011
Reference and consultations (in thousands)	65.2	65.1	55.5	65.1	66
Visits (in thousands)	96.2	96.2	.6	1.5	2.5
Museum school tours (in thousands)	11.6	20	.1	0	0
Explanation: Note, as of 09/29/21 AZ Capitol Museum transitions to the purview of Legislative Council per senate bill 1819.					
Public outreach (in thousands)	6	5.9	4.1	6	7
Grants awarded (in hundreds)	195	120	157	100	100
Continuing education contact hours (in thousands)	0	0	104.3	105	106
Programs to the public contact hours (in thousands)	0	0	8	9	10

Agency Summary

STATE BOARD OF TAX APPEALS

David V. Medina, 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	291.7	283.3	283.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	291.7	283.3	283.3
FTE Positions	3.0	3.0	3.0

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 practitioners, as well as others involved in the field of State taxation. The Covid-19 pandemic over the last couple of years has 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	3.0	3.0	3.0
General Fund	283.3	283.3	283.3
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Caseload processing (and number of issues)	42(82)	45(90)	30(72)	60(110)	42(90)
Number of tax appeals resolved	12	30	9	40	20
Number backlogged requiring written decision	2	5	6	5	5
Number of months to process appeal	12	12	8	8	8

Agency Summary

BOARD OF TECHNICAL REGISTRATION

Judith Stapley, Executive Director
Phone: (602) 364-4939
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	1,834.1	2,352.9	2,612.9
Other Non Appropriated Funds	51.5	0.0	0.0
Total Funding	1,885.6	2,352.9	2,612.9
FTE Positions	25.0	25.0	25.0

5 Year Plan

Issue 1 Digitization of Board documents/records

Description Prior Board administration did little to centralize and maintain registrant records for easy access. All records are stored in paper form in multiple 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 preparation for the transfer to digital files. The Board sought appropriation for FY2022 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 is currently working with vendors to obtain costs and a detailed analysis of the scope of work. The Board is also working with procurement on the RFP process.

The cost of digitization is approximately 150,000.00.

Issue 2 IT Analyst, E-licensing and data management system

Description The Board currently utilizes a CRM 365 database to track licensees, complaints, renewals and applications. The current database does not allow online submission of renewals, applications, complaints or service requests. It also does not have an online payment portal.

Solutions:

The Board will submit an appropriation request for FY23 for an eLicense platform.

The Board has consulted with ASET and it is recommended that the Board determine when the current CRM 365 data system is at an optimum for data transfer. ASET will provide guidance for an RFP and represent the agency during the project development phase.

In addition, the Board has consulted with three vendors for an eLicense platform. The first step necessitates research of system development options and cost. The Board will consider strategies and structure for approaching a new system, consider 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. Based on the Board's experience this is anticipated to be a one year process due to the Board's small staff and limited ability to commit human resources to the project while continuing full agency operations.

The cost of this project is anticipated to be approximately \$200,000.00

Issue 3 The Board's statutes and rules need to be updated to be consistent with current practices, meet national trends in the professions for licensure and regulation, adapt to changes in licensing and improve clarity.

Description The Board's statutes and rules are outdated and have not been updated as new occupations have been placed under the Board's jurisdiction. The statutes can be difficult to interpret. Additionally, some sections of statute are contradictory. Furthermore, new rules need to be promulgated for occupations that have been added to the Board's practice act.

Solutions:

Revised rules have been submitted to the Governor's Office requesting an exemption from the rule-making moratorium. The Board has reviewed statutes to identify outdated and contradictory language. The Board has engaged in stakeholder outreach to identify statutes that require attention.

Issue 4 Sound system

Description Recent legislation changed the Board composition from a nine member Board to an eleven member Board. The Boardroom the Board utilizes is equipped with a minimal sound system and is not large enough to accommodate eleven Board members, Board staff, constituents, complainants and legal counsel. Due to the size increase of the Board and changes in meeting protocols due to the COVID-19 pandemic, the Board needs to meet in a larger space.

Solutions:

The Board will utilize a larger, shared, Boardroom within the Board's building. The shared Boardroom is not equipped with any technology of any kind. The Board has been researching vendors and has consulted with one vendor. Updating the shared Boardroom with technology will streamline the meeting process, will offer better audio files, will mitigate electronic disruption, will offer more options for the visually and hearing impaired and will allow for a safe meeting space to accommodate all individuals who wish to appear in-person at the meetings.

The cost of this project will be approximately \$60,000.00

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	25.0	25.0	25.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds			
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of professional licensees	42,503	48,000	41,817	43,000	43,000
Explanation: Total number of professional and occupational licensees					
Total number of applications received	2,839	3,200	2,866	2,900	2,900
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 mapped and it is expected that abnormal numbers that are not historically consistent contain errors. The estimates are based historical data.					
Total number of applications processed	2,839	3,500	2,701	2,700	2,700
Percent of applications processed within agency timeframes	100	99	100	100	100
Total number of license renewal applications processed	10,539	13,500	10,446	10,500	10,500
Number of application denials	1	1	0	1	0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of complaints resolved by informal methods	90	95	91	91	91
Number of investigations closed	157	135	132	140	140
Number of complaints received	107	130	117	135	135
Number of non-registrant complaints	25	30	19	30	30
Average number of days open per complaint	181	180	253	175	180
Complaints against registrants resulting in disciplinary action	50	50	51	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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of persons grading response to request for information as good or better	100	100	N/A	100	N/A
Number of Public Information requests received	70	75	32	70	70

Agency Summary

OFFICE OF TOURISM

Debbie Johnson, Director
Phone: (602) 364-3717
A.R.S. § 41-2305

Mission:

To stabilize and strengthen local economies, protect environmental and cultural resources, create a meaningful visitor experience and enhance the quality of life for Arizonans through tourism collaboration, promotion and development.

Description:

The Arizona Office of Tourism (TOA) leads the state's tourism industry in the development of global marketing programs to promote Arizona as a travel destination.

With multiple research-based initiatives including advertising campaigns, cooperative marketing programs, trade and media relations and community outreach, TOA sets into motion a positive and profitable cycle of visitation, spending, job growth and tax revenue.

Agency Summary: (\$ Thousands)

Program	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
➤ ADMINISTRATION	17,280.5	16,188.0	16,188.0
➤ TOURISM PROMOTION	13,403.7	15,726.4	15,726.4
Agency Total:	30,684.2	31,914.4	31,914.4
<hr/>			
Funding:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	8,335.1	8,481.5	8,481.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	22,349.1	23,432.9	23,432.9
Total Funding	30,684.2	31,914.4	31,914.4
FTE Positions	28.0	28.0	28.0

Office of Tourism

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Debbie Johnson
Kiva Couchon
09/08/2021

Vision: Create an Arizona experience that captures and nurtures the hearts and minds of people who call it home and travelers the world over in search of extraordinary adventure and natural wonders.

Mission: We stabilize and strengthen local economies, protect environmental and cultural resources, create a meaningful visitor experience and enhance the quality of life for Arizonans through tourism collaboration, promotion and development.

Agency Description: The Arizona Office of Tourism (AOT) leads the state's tourism industry with the development of global marketing programs to promote Arizona as a travel destination. With multiple research-based initiatives including advertising campaigns, cooperative marketing programs, trade and media relations and community outreach, AOT sets into motion a positive and profitable cycle of visitation, spending, job growth and tax revenue.

Executive Summary: For FY22, AOT will continue to monitor travel consumers' response to our Rediscover Arizona campaign launched in late FY20. What started as a recovery campaign, designed specifically to help rebuild the state's tourism economy and offset the substantial loss of spending and tax revenue generated due to the COVID-19 crisis, became AOT's primary marketing campaign.

To further help communities across the state that face diminished or eliminated marketing budgets, AOT will continue with our robust cooperative marketing, trade and media relations and community outreach programs.

Our goal to cultivate a productive Arizona tourism industry is now more important than ever. AOT is developing a one-year recovery plan, along with a three-year strategic plan and a 10-year sustainability plan with a well-respected industry consultant to address the specific needs of our state and Arizona communities in regaining lost economic activity.

Summary of Multi-Year Strategic Priorities			
#	Five Year Strategy	Start Year	Progress / Successes
1	Attract qualified visitors and increase direct spending	2017	<ul style="list-style-type: none">Generated \$15 billion in direct travel spending in 2020.Executed consumer travel advertising campaigns (national, in-state and regional) in 2020.Launched COVID-19 recovery campaigns, with guidance from engaged stakeholders.Launched a meetings mean business and job campaign in support of the industry.Held digital travel-trade sales appointments and destination trainings with international trade representatives.
2	Cultivate a productive Arizona tourism industry	2019	<ul style="list-style-type: none">Produced local articles and TV interviews featuring the value of Arizona's tourism industry.Increased number of official Arizona Visitor Information Centers.Launched Appreciate AZ, Arizona's brand for responsible outdoor recreation and sustainability.
3	Maximize internal agency functions	2019	<ul style="list-style-type: none">Digitized office processes and management.Launched an AOT Industry portal to streamline destination information from communities to AOT.Provided latest office technology and equipment to ensure immediate pivot to teleworking office in response to coronavirus pandemic.

Office of Tourism

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
#1	1.A Recapture in-state visitation and spending 1.B Recapture domestic visitation and spending 1.C Increase international leisure destination visitation 1.D Conduct an in-depth study of brand strengths and marketing personas 1.E Increase representation of Diversity, Equity, Inclusion and Accessibility (DEIA)	1.A,B Campaign Return-On-Investment 1.A,B Regional cooperative program participation number 1.C Global earned media number 1.C Support of international flights campaign performance 1.D Defined brand strengths and marketing personas 1.E Number of DEIA opportunities identified and media placements	1.A, B, C Execute research-driven advertising campaigns at the appropriate times, including consumer customization 1.A, B, C Administer the Visit Arizona Initiative grants program 1.A, B, C Build strategic marketing partnerships and community collaborations 1.A, B, C Conduct global trade/media relations activities to educate and engage industry-related trade/media representatives 1.A, B, C Provide cooperative marketing program for rural Destination Marketing Organizations, tribal and urban areas 1.D Research and reevaluate target audiences and life stages to ensure effectiveness of brand strength, marketing reach and impact 1.E Identify DEIA opportunities in existing and new marketing material
#2	2.A Increase engagement and education of industry 2.B Develop industry support for destination management platform, Appreciate AZ 2.C Increase support for meetings mean business/business travel	2.A In-state earned media number 2.B Appreciate AZ program material distribution number 2.C Number participants in the meetings mean business programs	2.A Disseminate research data and agency information in a timely fashion and provide annual symposium 2.B Promote Appreciate AZ principles and education component to engage industry representatives 2.C Promote meetings mean business program opportunities
#3	3.A Increase number of standard work processes 3.B Develop 5S Program 3.C Increase industry participation in agency portal	3.A Number of standard work processes documented 3.B Number of consolidated folders 3.C Number of industry partners in agency portal	3.A Identify and document standard work processes throughout agency 3.B Implement 5S program within agency 3.C Promote agency portal to industry representatives and capture their material

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 TOA to achieve its mission and vision.

Description:

Administration supports the planning and operational needs of TOA 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	7,235.1	7,381.5	7,381.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	10,045.4	8,806.5	8,806.5
Total Funding	17,280.5	16,188.0	16,188.0
FTE Positions	28.0	28.0	28.0

◆ **Goal 1** To maximize internal agency functions.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Challenge Invoices	67	80	54	80	80
Explanation: Measured as a percent.					
Standard Work Processes Documented	0	0	30	42	52
Industry Partners in Agency Portal (in development)	0	0	472	TBD	TBD
Explanation: The underlying infrastructure for the program is in development with iDSS, TOA's partner portal. Targets are TBD.					
Consolidated Folders	0	0	757	357	357
Explanation: Count of the number of folders in TOA's S drive.					

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, TOA works to increase travel to and within Arizona. TOA 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,100.0	1,100.0	1,100.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	12,303.7	14,626.4	14,626.4
Total Funding	13,403.7	15,726.4	15,726.4
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. TOA will also play a role in tourism recovery in the wake of the COVID-19 pandemic.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,100.0	1,100.0	1,100.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	6,969.2	8,950.1	8,950.1
Total Funding	8,069.2	10,050.1	10,050.1
FTE Positions	0.0	0.0	0.0

◆ **Goal 1** To cultivate a productive Arizona tourism industry.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Industry Education	66	65	62	65	65
In-State Earned Media	792	585	443	552	563
Arizona Visitor Information Center Participants	49	49	60	60	60
Appreciate AZ Pageviews	0	11,560	44,322	12,000	12,000
Meetings Mean Business Participants (in development)	0	0	0	TBD	TBD
Appreciate AZ Program Material Distribution	0	0	0	4,800	4,800

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, TOA would not have the reach and frequency for its marketing efforts to strengthen and expand Arizona's economy.

◆ **Goal 1** To attract qualified visitors and increase direct spending.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Global Earned Media	1,201	604	1,009	600	600
Trade Sales Appointments	9,054	4,905	10,074	5,825	5,825
Explanation: Includes virtual and in-person appointments					
Social Media Engagements	0	155,833	283,088	291,667	297,500
Explanation: Measured as a monthly average					
Campaign Return on Investment	0	0	203	243	248
Explanation: Measured as dollars.					
Regional Cooperative Program Participation	0	0	31	35	35
Defined Brand Strengths and Marketing Personas	0	0	0	100	NA
Explanation: Percent to project completion					
DEIA Opportunities and Placements	0	0	0	8	8
Explanation: DEIA = Diversity, Equity, Inclusion, Accessibility					
Support of International Flights	0	0	NA	TBD	TBD
Explanation: Once borders reopen to nonessential travel, quarterly targets can be determined.					

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 TOA, 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, TOA 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	5,334.5	5,676.3	5,676.3
Total Funding	5,334.5	5,676.3	5,676.3
FTE Positions	0.0	0.0	0.0

- ◆ **Goal 1** To distribute Proposition 302 money in a timely manner.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADMINISTRATION	1,549,173.6	87,749.2	82,649.1
➤ INTERMODAL TRANSPORTATION	1,125,935.4	274,470.4	276,503.8
➤ MOTOR VEHICLE	107,021.6	110,518.3	117,267.8
➤ STATE MOTOR VEHICLE FLEET	0.0	18,267.7	18,267.7
Agency Total:	2,782,130.6	491,005.6	494,688.4
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	1,460.5	3,300.0	0.0
Other Appropriated Funds	399,712.8	467,515.2	473,939.8
Other Non Appropriated Funds	2,380,957.3	20,190.4	20,748.6
Total Funding	2,782,130.6	491,005.6	494,688.4
FTE Positions	3,639.0	0.0	84.0

Department of Transportation

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

John Halikowski
Melissa Wynn
07/30/2021

Vision: Moving AZ. Becoming the safest, most reliable transportation system in the nation.

Mission: Connecting AZ. Everyone. Everywhere. Every Day.

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: The Arizona Department of Transportation (ADOT) has identified four strategic priorities to reach our vision:

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	<ul style="list-style-type: none">Targeted countermeasures helping to reduce roadway crashes in high risk areasImproved electronic reporting helping law enforcement deliver faster and more accurate crash dataNew technology at ports-of-entries helping to improve and strengthen commercial vehicle safety inspections
2	Build a Culture of Highly Engaged Employees	2018	<ul style="list-style-type: none">Achieved agency goal of all AMS elements at 3.0 or higherDeployed AMS training to 3,000 front line employees
3	Deliver Value to the Customer	2018	<ul style="list-style-type: none">Implemented state-of-the-art MVD legacy system replacementExpanded the number of MVD services offered online
4	Maximize Resources	2018	<ul style="list-style-type: none">Annually, 7,000+ kaizen improvement ideas submitted and standardized by ADOT employees (Over 30K since inception)

Department of Transportation

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

Strategy #	FY22 Annual Objectives	Objective Metrics	Annual Initiatives
1	Reduce roadway crashes	<ul style="list-style-type: none"> • Crash report backlog • Percent overweight CVS 	<ul style="list-style-type: none"> • Improve safety outcomes in the 50 highest crash locations • Reduce unpermitted overweight commercial carriers
2	Improve our ability to recruit and retain the best talent	<ul style="list-style-type: none"> • Percent regrettable attrition • Percent remote capable • Employee engagement score 	<ul style="list-style-type: none"> • Define and implement Work from Anywhere Program • Improve
3	Maximize efficiencies and confidence in MVD service delivery	<ul style="list-style-type: none"> • Office experience time • Level 2 call center hold time • Number REAL-ID licenses issued 	<ul style="list-style-type: none"> • Improve customer experience time • Transition drivers to Travel ID
4	Improve/maintain the transportation system condition based on existing revenues	<ul style="list-style-type: none"> • Achieve project milestones • Pavement treatments (miles) 	<ul style="list-style-type: none"> • Deliver federal and state funded life expansion projects • I-10 improvements from Phoenix to Casa Grande • I-17 expansion from Anthem to Sunset Point • Install broadband on I-17 and I-19
	Improve reliability of core business processes	<ul style="list-style-type: none"> • Incident Resolution Time 	<ul style="list-style-type: none"> • Improve IT processes
	Finalize the transition of state fleet to ADOT	<ul style="list-style-type: none"> • Achieve transition plan milestones 	<ul style="list-style-type: none"> • Phase 1: complete transition of licensed over the road light duty fleet owned by ADOA • Phase 2: transition licensed over the road light duty fleet purchased outside of ADOA fleet program • Phase 3: Develop plan to incorporate rogue fleet

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

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	187.3	3,300.0	0.0
Other Appropriated Funds	68,760.3	75,845.9	73,804.2
Other Non Appropriated Funds	1,480,226.0	8,603.3	8,844.9
Total Funding	1,549,173.6	87,749.2	82,649.1
FTE Positions	622.8	0.0	1.0

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>		
General Fund	0.0	3,300.0	0.0		
Other Appropriated Funds	14,624.8	17,096.6	24,196.6		
Other Non Appropriated Funds	0.0	0.0	0.0		
Total Funding	14,624.8	20,396.6	24,196.6		
FTE Positions	8.3	0.0	0.0		
◆ Goal 1 To Promote Transportation Safety					
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Crash report processing time (in days)	0	0	109	45	45
◆ Goal 2 To Build A Culture of Highly Engaged Employees					
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent regrettable attrition	17	10	18	15	15
◆ Goal 3 To Deliver Value to the Customer					
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Urban MVD field office entrance to exit time (minutes)	19	25	23	30	30
◆ Goal 4 To Maximize Resources					
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent on-time construction	78	90	73	100	100

Subprogram Summary

TRANSPORTATION SUPPORT SERVICES

Scott Omer, Deputy Director 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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	187.3	0.0	0.0
Other Appropriated Funds	54,135.5	58,749.3	49,607.6
Other Non Appropriated Funds	1,475,415.7	3,772.4	4,014.0
Total Funding	1,529,738.5	62,521.7	53,621.6
FTE Positions	598.5	0.0	1.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	4,810.3	4,830.9	4,830.9
Total Funding	4,810.3	4,830.9	4,830.9
FTE Positions	16.0	0.0	0.0

Program Summary

INTERMODAL TRANSPORTATION

Dallas Hammit, Deputy Director Transportation
Phone: (602) 712-7391
A.R.S. Title 28

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 Multimodal 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,273.2	0.0	0.0
Other Appropriated Funds	238,478.3	273,737.0	275,453.8
Other Non Appropriated Funds	886,183.9	733.4	1,050.0
Total Funding	1,125,935.4	274,470.4	276,503.8
FTE Positions	1,877.0	0.0	0.0

Subprogram Summary

MAINTENANCE

Dallas Hammit, Deputy Director Transportation
Phone: (602) 712-7391
A.R.S. Title 28

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	69.4	0.0	0.0
Other Appropriated Funds	162,231.8	195,162.1	196,578.9
Other Non Appropriated Funds	24,907.7	0.0	0.0
Total Funding	187,209.0	195,162.1	196,578.9
FTE Positions	800.0	0.0	0.0

Subprogram Summary

CONSTRUCTION

Dallas Hammit, Deputy Director Transportation
Phone: (602) 712-7391
A.R.S. Title 28

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,203.8	0.0	0.0
Other Appropriated Funds	55,148.3	56,190.0	56,490.0
Other Non Appropriated Funds	816,937.9	-266.6	50.0
Total Funding	873,289.9	55,923.4	56,540.0
FTE Positions	821.0	0.0	0.0

Subprogram Summary

INTERMODAL TRANSPORTATION PLANNING

Greg Byres, Division Director
Phone: (602) 712-8143
A.R.S. Title 28

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	2,514.6	3,099.7	3,099.7
Other Non Appropriated Funds	44,338.3	1,000.0	1,000.0
Total Funding	46,852.9	4,099.7	4,099.7
FTE Positions	79.0	0.0	0.0

Subprogram Summary

VEHICLES AND HEAVY EQUIPMENT

Sonya Herrera, Division Director
Phone: (602) 712-6255
A.R.S. Title 28

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	18,583.7	19,285.2	19,285.2
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	18,583.7	19,285.2	19,285.2
FTE Positions	177.0	0.0	0.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	92,474.2	99,664.6	106,414.1
Other Non Appropriated Funds	14,547.4	10,853.7	10,853.7
Total Funding	107,021.6	110,518.3	117,267.8
FTE Positions	1,139.3	0.0	83.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	68,315.7	72,031.7	77,621.7
Other Non Appropriated Funds	10,878.1	10,852.6	10,852.6
Total Funding	79,193.7	82,884.3	88,474.3
FTE Positions	866.0	0.0	83.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	24,158.6	27,632.9	28,792.4
Other Non Appropriated Funds	3,669.3	1.1	1.1
Total Funding	27,827.9	27,634.0	28,793.5
FTE Positions	273.3	0.0	0.0

Program Summary

STATE MOTOR VEHICLE FLEET

Scott Omer, Deputy Director Operations
Phone: (602) 712-7228
A.R.S. Title 28

Mission:

To administer the state motor vehicle fleet

Description:

The FY 2022 Transportation BRB transfers the control of the state fleet from the Arizona Department of Administration (ADOA) to ADOT.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	18,267.7	18,267.7
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	0.0	18,267.7	18,267.7
FTE Positions	0.0	0.0	0.0

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,144.7	15,010.2	15,010.2
Other Appropriated Funds	40,270.7	9,767.5	9,767.5
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	41,415.4	24,777.7	24,777.7
FTE Positions	28.0	33.0	33.0

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 a 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 an 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 & College Savings Program

Description Promote financial literacy and advance educational savings opportunities throughout the State of Arizona.

Solutions:**OBJECTIVES:**

Raise awareness by connecting with Arizonans in all 15 counties of the need to have stronger skills in basic money management through financial literacy and saving early on for post high school education and workforce development through the management of the Arizona 529 Family College Savings Program.

Implement action plans based on the recommendations of the Financial Literacy Task Force and AZ529 Advisory Committee.

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.

Obtain grants to assist with providing resources to promote financial literacy to all Arizonans.

Measurements:

Implementation of Task Force and Advisory Committee recommendations.

Evaluate the growth in savings accounts opened and maintained with the Arizona 529 Family College Savings Program.

Evaluate the increase in grants received.

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Customer satisfaction rating for State Agency depositors (scale 1-8)	7.8	7.8	7.7	7.5	7.5
◆ 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Customer satisfaction rating for State Agency banking customers (scale 1-8).	7.3	7.5	7.7	7.5	7.5
Customer satisfaction rating for distribution recipients (scale 1-8)	7.8	7.3	7.6	7.3	7.5
Percent of distributions sent successfully and accurately.	99.5	99.0	98.06	99.0	99.0
Percent of outgoing wires sent successfully and accurately.	99.8	99	99.7	99	99
Percent of distributions sent on time.	99.5	99	99.3	99	99.0
Percent of outgoing wires sent on time.	99.7	99	100	99	99

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- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of non-compliant trades	0	2	0	2	0
Average days to correct non-compliant trades	0	1	0	1	0

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ GOVERNANCE	226,540.7	260,796.2	270,796.2
➤ STUDENT ASSISTANCE	25,477.1	42,152.6	53,806.2
➤ COMMISSION FOR POSTSECONDARY EDUCATION	0.0	0.0	3,882.8
Agency Total:	252,017.8	302,948.8	328,485.2
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	21,965.2	29,916.0	66,596.9
Other Appropriated Funds	0.0	0.0	1,537.1
Other Non Appropriated Funds	230,052.6	273,032.8	260,351.2
Total Funding	252,017.8	302,948.8	328,485.2
FTE Positions	41.4	42.5	46.0

Program Summary

GOVERNANCE

Chad Sampson, VP Academic Affairs and Institutional Analysis
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	2,945.3	2,881.3	12,881.3
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	223,595.4	257,914.9	257,914.9
Total Funding	226,540.7	260,796.2	270,796.2
FTE Positions	35.8	36.9	36.9

◆ **Goal 1** To drive student educational success and learning.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total Enrollment	195,700	199,591	204,460	204,987	210,543

◆ **Goal 2** To advance educational achievement within Arizona.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Bachelor's degrees produced annually in the system.	32,959	35,056	0	36,219	37,387

Explanation: FY 2021 Actual not available yet

◆ **Goal 3** To discover new knowledge and impact Arizona

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Public service activity (in thousands of dollars)	\$171,280	\$175,011	0	\$178,862	\$182,902

Explanation: FY 2021 Actual not available yet

Total Research Activity (in thousands of dollars) \$1,393,140 \$1,433,160 0 \$1,478,280 \$1,520,060

Explanation: FY 2021 actual not available yet

Invention Disclosures 33 35 0 40 44

Explanation: FY 2021 actual not available yet

◆ **Goal 4** To oversee the university internal audit process.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
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Audits scheduled 38 34 52 48 41

Explanation: 2023 reflects a realistic scaling back from the more aggressive and unrealizable numbers from 2021 & 2022

Audits performed on universities 28 36 17 40 39

Explanation: 'Fiscal years 2021 and 2022 audits were largely impacted by the pandemic. Some impact was experienced through resource shortages due to staff turnover.

Program Summary

STUDENT ASSISTANCE

Chad Sampson, VP Academic Affairs and Institutional Analysis

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	19,019.9	27,034.7	52,034.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	6,457.2	15,117.9	1,771.5
Total Funding	25,477.1	42,152.6	53,806.2
FTE Positions	5.6	5.6	5.6

◆ **Goal 1** To deliver a high-quality university education

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total number of Western Interstate Commission for Higher Education awards	152	145	160	152	150
Number of first year Western Interstate Commission for Higher Education awards	37	32	37	39	35
Number of first year WICHE applications meeting eligibility requirements	162	125	147	140	140
Number of first year WICHE applications processed	183	150	158	150	150
Percent of recipients returning to practice in Arizona	79	78	77	76	75
Number of Students Enrolled in the Arizona Teachers Academy	2,702	3,800	2,886	3,000	3,500
Six-Year Graduation Rate	64.1%	67.2%	64.3%	67.3%	68.6%

Program Summary

COMMISSION FOR POSTSECONDARY EDUCATION

Daniel Helm, Interim Executive Director
 Phone: (602) 542-7236
 A.R.S. § 15-1851

Mission:

To expand access to and increase success in postsecondary education for Arizonans.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	1,680.9
Other Appropriated Funds	0.0	0.0	1,537.1
Other Non Appropriated Funds	0.0	0.0	664.8
Total Funding	0.0	0.0	3,882.8
FTE Positions	0.0	0.0	3.5

◆ **Goal 1** To maximize student financial assistance available to students and families

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of LEAP student awardees	2931	3,000	0	0	3,000
Number of Arizona Family College Savings Program accounts	88,744	88,500	0	0	0

Explanation: In FY 22 The Arizona Family College Savings Program will be overseen by the Treasurer's Office

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Arizona College & Career Guides distributed	0	0	0	0	0
Number of Arizona College & Career Guide (ACCG) on-line visits	651	1,000	0	0	500
Attendees at College Goal Sunday	10,236	6,500	0	0	4,000

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	83,927	25,000	0	0	25,000
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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 acces

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- ◆ **Goal 3** To provide a forum where all sectors of postsecondary education dialogue, partner and problem solve issues of mutual interest

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of statewide committees or task forces collaboratively seeking solutions to issues in postsecondary education	2	2	0	0	3
Numbers of research studies published to examine issues of postsecondary access and success	1	1	0	0	1

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ INSTRUCTION	1,107,064.5	1,050,275.8	1,142,530.5
➤ ORGANIZED RESEARCH	385,419.3	459,470.4	459,470.4
➤ PUBLIC SERVICE	148,242.2	20,180.5	20,180.5
➤ ACADEMIC SUPPORT	404,454.7	353,136.1	353,136.1
➤ STUDENT SERVICES	1,156,457.2	1,215,384.0	1,273,076.6
➤ INSTITUTIONAL SUPPORT	488,351.7	819,289.0	830,914.8
Agency Total:	3,689,989.6	3,917,735.8	4,079,308.9

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	320,633.6	385,261.9	397,680.6
Other Appropriated Funds	603,112.0	597,718.8	597,718.8
Other Non Appropriated Funds	2,766,244.0	2,934,755.1	3,083,909.5
Total Funding	3,689,989.6	3,917,735.8	4,079,308.9

FTE Positions

15,050.8 16,153.1 16,312.1

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 underrepresented populations and a growing pool of older students requiring new job skills. 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, growing financial insecurity among families, 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 enrollment of students from underrepresented populations and older students.

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 increased enrollment of and improved outcomes for Arizona community college transfer students.

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, including increasing pathways into ASU.

Strategy 7: Increase affordability for all students.

Strategy 8: Pursue programs and partnerships that provide an opportunity for students to complete baccalaureate degrees in varied locations and/or 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 innovative 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. ASU has made some progress in improving faculty salaries since fall 2016, as demonstrated in the most recent ABOR Annual Personnel Report, 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: As budgetary constraints allow, continue to 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. ASU is one of the fastest growing research enterprises among U.S. universities [source: NSF HERD survey]. ASU is striving to establish itself as a global center for advancing interdisciplinary research and discovery of public value. Impactful research requires very significant resources and a university of this size should be able to sustain more than \$1B in research activity annually, a goal ASU intends to achieve by 2025. In order to achieve this aggressive goal, ASU has developed seven strategies and defined four key focus areas that will support continued exceptional growth while also increasing the impact of the research and scholarly work of our faculty on the communities it serves.

Solutions:

Strategy 1: Differentiate ASU from the competition through the procurement of large projects (> \$10 million) that establish ASU's unique capabilities 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 engage sponsors, build faculty teams and leverage core competencies in order to seize new major research opportunities.

Strategy 2: Make ASU the focus of national and international scholarship in fields of strategic importance, by pursuing 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: Greatly enhance ASU's ability to facilitate faculty pursuit of scholarly activities and projects from across the university through the improvement of the Office for Research and Sponsored Project Administration (ORSPA) 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 ASU research programs by working closely with the ASU Foundation to support its activities and by aggressively promoting the impact of our research across areas of broad concern to the community.

Strategy 5: Expand our collaborative research activities with industry through direct engagement at all levels, from industry-defined student projects to truly integrated activities designed to guide aspects of fundamental research and advance research outcomes to a commercially feasible endpoint.

Strategy 6: Continue to pursue angel and venture investment in emerging companies. Activities will include developing a best-in-class intellectual property team and entrepreneurship strategy.

Strategy 7: Develop and implement plans to ensure that the advanced research facilities and infrastructure required to meet the research goals of the University are broadly available for our researchers and maintained at a high level of performance.

Key Focus Area #1: Incorporate new approaches, including continued focus on interdisciplinary research

In keeping with the spirit of the New American University vision, ASU 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. In Fiscal Year 2003, 20% of active projects involved more than one unit; in Fiscal year 2018, this number increased to 35%. 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 a Skysong Innovation office on campus to foster faculty relationships and commercialization activities

ASU's invention disclosures, issued US patents, and start-ups continue to increase each year as a result of these efforts.

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, through our Prep Digital high school programming, 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 continue to foster innovation through a highly skilled workforce, a dynamic business environment, and strong public universities. To accomplish this objective, 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.

With each successive year, Arizona State University (ASU) plays an increasingly vital role in Arizona's ability to achieve long-term economic expansion; never has this role been more critical than in the state's current economic environment. Leveraging the foundation ASU has created, the world-class Fulton Schools of Engineering, the announcement of Intel's two new fabrication facilities, the new TSMC fabrication facility, and the initial investment from the state in Fiscal Year 2022, ASU has a unique opportunity to make Arizona's transition to a knowledge economy work for all its citizens. To sustain its trajectory, ASU seeks a total of \$34.5 million of incremental base investment in Fiscal Year 2023 to increase Arizona's competitiveness in the New Economy, a revolution that will be dominated by agile companies where automation and data-enabled decision-making power future industries. In this era, diverse technologies spanning fields such as advanced computing, biology, artificial intelligence (AI), autonomous systems, and distributed 3D manufacturing will define industrial growth in the 21st century.

The economic fundamentals are clear: the state needs to further develop its current high wage sectors, expand into tangential industries that build on current strengths, including a highly-trained workforce in STEM disciplines, and later expand into wholly new high wage industries. This is how the state sets the foundation for the private sector to thrive and allow individuals to reach their full potential. ASU's proposal for a New Economy Initiative will address these needs and is comprised of three pillars aimed at maximizing economic return on the public's investment.

This \$34.5 million proposal is comprised of four components: (1) funds to support faculty hiring in the Fulton Schools of Engineering; (2) an investment to add three Science and Technology Centers (STCs) to the two currently underway, which will attract to Arizona a broad range of new companies specializing in New Economy fields; (3) investments in unique strategic and corporate partnerships to drive innovation; and (4) funding to develop and deploy new learning pathways to enhance workforce readiness. Funding will provide a workforce ready for success in the New Economy, including 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 STCs which rely upon close partnerships among government, industry, and the university.

The New Economy is fundamentally changing the way we live, work, and relate to one another. To thrive in this economic climate, Arizona must develop a business environment that supports local entrepreneurship and build a skilled workforce that attracts firms in knowledge based fields. In realizing these ambitions, Arizona will enjoy a future of high employment, strong economic growth, and resilience to future economic shocks while reinforcing its values of individual freedom, self-reliance, equality under the law, and full participation in our democracy.

While ASU anticipates increased public investment in Fiscal Year 2023, it continues long-standing efforts to diversify its revenue base and identify ways to reduce and contain costs. Fiscal Year 2019 NSF HERD research expenditures of \$639.6 million represent an increase of \$21.9 million over the prior year. As for cost containment, ASU units reduced expenses by a cumulative \$96.5 million in Fiscal Year 2021. Some examples of significant cost reduction actions include:

- ASU's University Technology Office achieved \$3.1 million of cost savings and avoidance through competitive bidding, price negotiations, rightsizing and consolidation of software and hardware, and cloud cost optimization in Fiscal Year 2021.
- Since Fiscal Year 2008, ASU has refinanced a significant portion of its outstanding debt, resulting in a net present value savings (in fiscal year 2021 dollars) of \$123.2 million over the lives of the bonds.
- ASU executed a university-wide selective hiring program as a way to manage costs during the pandemic, carefully seeking to fill critical vacant positions and keeping other vacant positions unfilled. This effort resulted in cost avoidance of \$26.7 million of salaries and employee-related expenses for benefits-eligible employees.

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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	58.0	58.0	58.0
General Fund	16,012.8	16,633.0	17,297.0
Other Appropriated Funds	35.9	38.0	40.3
Non-Appropriated Funds	153,629.0	158,237.9	162,985.0
Federal Funds	32,269.1	34,205.2	36,257.5

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	291,981.4	352,775.6	365,194.3
Other Appropriated Funds	290,915.7	283,771.1	283,771.1
Other Non Appropriated Funds	524,167.4	413,729.1	493,565.1
Total Funding	1,107,064.5	1,050,275.8	1,142,530.5
FTE Positions	7,054.8	7,409.8	7,568.8

◆ **Goal 1** To improve the quality of undergraduate education.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average years taken by freshman students to complete a baccalaureate degree program	4.3	4.3	4.3	4.3	4.3
Percentage of undergraduate degree recipients participating in research related or capstone (case study) experience	91	91	89	89	90
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	90	90	90
Number of course enrollments in adaptive learning courses in each academic year	49,547	58,700	61,586	65,265	68,528

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Honors undergraduate headcount students	7,230	7,250	7,000	7,200	7,400
BHC degree recipients (i.e., with honors)	1,300	1,350	1,350	1,390	1,432
Courses offered for honors credit	4,900	5,100	5,100	5,300	5,300

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of visits to academic support service areas	168,977	169,000	129,849	131,147	132,458
Participation in First Year Success programs	4,552	4,620	4,497	4,542	4,587
Number of students enrolled in Major/Career Exploration and Academic Success courses (UNI/ASU101)	22,472	22,500	22,572	25,106	27,617
Fall-to-Fall retention rate for University College Exploratory first-year students	65.0	66.0	80.0	80.0	80.5
Number of degree program course audits run by students and staff	3,013,059	3,163,711	2,237,740	2,349,627	2,467,108
Number of eAdvisor tracking audits run by students and staff	4,763,785	5,240,163	4,723,978	4,960,176	5,208,185
Percent of graduating students who 'have done' or 'plan to do' a practicum, internship, co-op experience, or clinical assignment.	59	59	55	57	59
Number of students participating in LEAD each Fall semester	1,010	1,010	940	1,046	1,082

- ◆ **Goal 4** To provide enriched educational opportunities to students by expanding accessibility and delivery of courses.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Summer sessions headcount students	48,026	57,992	57,992	58,115	66,832
Internet course registrations during the fall semester (duplicated enrollments)	197,091	244,427	242,467	255,604	277,127
Internet course sections offered during the fall semester	4,707	5,631	5,652	6,319	6,814
Fall semester enrollment (headcount)	119,951	128,068	128,788	135,647	147,700
Fall semester enrollment (full-time equivalent)	110,539	117,174	116,997	122,316	131,626

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Students enrolled in graduate degree programs	21,195	22,255	22,880	24,024	25,225
Minority graduate enrollment as percentage of total enrollment	28.6	30.9	30.8	30.3	30.8

◆ **Goal 6** To promote retention and graduation for undergraduate and graduate students.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of full-time first-year students persisting after one year	86.7	86.2	86.2	85.9	87.0
Percent of first-time, full-time, upper-division, degree-seeking undergraduate students graduating in four years	69.9	70.9	71.0	72.4	73.0
Number of Bachelor's degrees granted	20,308	21,803	22,290	22,637	23,834
Masters degrees granted	8,074	8,665	8,883	9,346	10,100
Doctorate degrees granted	755	783	729	734	754
First professional degrees granted	252	270	283	283	283
Number of degrees granted	29,389	31,521	32,185	33,000	34,971
Percent of full-time first-year students graduating in six years	67.0	66.8	66.9	66.8	68.4
Bachelor's degrees granted to Arizona community college transfer students	4,628	4,817	4,750	5,050	5,154

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	13,376.2	13,026.8	13,026.8
Other Non Appropriated Funds	372,043.1	446,443.6	446,443.6
Total Funding	385,419.3	459,470.4	459,470.4
FTE Positions	1,961.8	2,317.2	2,317.2

◆ **Goal 1** To maintain and enhance the University's status as a major research institution.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Dollar value of proposals submitted (in millions)	2,401.6	2,521.7	3,123.9	3,280.1	3,444.1
External dollars received for research and creative activity (in millions of dollars)	496.2	521.0	1,071.1	546.5	573.8
Dollar value of total research expenditures (in millions)	660.0	693.0	680.0	714.0	749.7
Dollar value of externally funded, non-research expenditures (in millions)	60.7	63.7	321.1	63.3	66.4

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Undergraduate students supported by sponsored funds	1,495	1,570	1,441	1,484	1,529
Graduate students supported by sponsored funds	2,126	2,200	2,103	2,166	2,231

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	3,012.7	2,406.4	2,406.4
Other Non Appropriated Funds	145,229.5	17,774.1	17,774.1
Total Funding	148,242.2	20,180.5	20,180.5
FTE Positions	235.7	170.3	170.3

- ◆ **Goal 1** To provide quality educational and informative television programs and improve services provided to the community, especially in rural areas.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Unique visitors to Arizona PBS (azpbs.org) (monthly)	141,395	147,052	72,437	75,334	78,348
Teachers served through educational support programming	69,034	71,105	66,380	68,371	70,422
Students served through educational support programming	1,311,668	1,347,759	1,194,840	1,230,678	1,267,596

- ◆ **Goal 2** To continue to stage excellent cultural and other nonathletic special events for various diverse constituents.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Persons attending University sponsored cultural events (in thousands)	394	400	192	350	380
Special events coordinated	1,771	1,789	2,612	2,664	2,717

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	285.7	515.1	515.1
Other Appropriated Funds	103,246.4	88,737.9	88,737.9
Other Non Appropriated Funds	300,922.6	263,883.1	263,883.1
Total Funding	404,454.7	353,136.1	353,136.1
FTE Positions	2,227.4	1,886.3	1,886.3

- ◆ **Goal 1** To manage the number of books and periodical subscriptions owned by the university libraries for increased accessibility.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Periodical titles	180,132	185,000	223,037	227,500	232,000
Virtual/remote reference transactions	8,418	8,550	8,672	8,750	8,850
Visits to Libraries website (sessions)	1,679,441	1,700,000	1,506,702	1,550,000	1,600,000
Library Service Platform use (sessions)	1,655,333	1,750,000	1,376,451	1,400,000	1,425,000
Online databases use (searches)	13,554,884	13,700,000	9,092,466	9,250,000	9,350,000

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Annual attendance at university art collections	19,230	29,000	2,672	15,000	20,000
Annual attendees of lectures and special events	2,455	5,000	879	2,400	3,000

- ◆ **Goal 3** To provide students and faculty with the technological resources and services needed to support accomplishment of their academic goals.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of mediated classrooms	575	606	603	624	629
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)	75	85	93	96	96

- ◆ **Goal 4** To develop a cohesive integrated tiered reference/research support service.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Library volumes	5,683,437	5,700,000	5,592,092,	5,615,000	5,630,000
E-book and e-journal use	7,575,065	7,700,000	6,432,453	6,600,000	7,000,000
Items borrowed from libraries outside ASU	26,669	27,000	30,812	31,000	31,500

- ◆ **Goal 5** To provide Library Services as an integral and essential component in the academic success of students and faculty.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Library gate count	2,152,060	3,500,000	508,875	2,500,000	3,000,000

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	5,985.8	5,985.8	5,985.8
Other Appropriated Funds	48,105.8	49,106.1	49,106.1
Other Non Appropriated Funds	1,102,365.6	1,160,292.1	1,217,984.7
Total Funding	1,156,457.2	1,215,384.0	1,273,076.6
FTE Positions	1,699.1	1,704.5	1,704.5

- ◆ **Goal 1** To promote the emotional and physical well-being of students by providing quality health care services.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Students receiving health care on campus	54,332	57,049	45,271	49,798	52,288
Disabled students served	6,683	7,017	7,540	7,917	8,313

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Registered campus clubs and organizations	1,099	1,100	975	1,050	1,100
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.	508,991	524,261	554,120	570,744	587,866
Unique number of individual organizations recruiting on campus and virtually	8,701	8,788	8,628	8,714	8,801
Jobs and internships approved and posted in Handshake	53,406	53,940	51,787	52,305	52,828
Percent of graduating seniors who are satisfied with speakers, cultural offerings, and events on campus	90	90	89	89	90

- ◆ **Goal 3** To provide services that enhance the likelihood of students' academic success

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Students participating in orientation	12,593	12,850	14,250	14,500	15,000
Students living in first-year residential communities	10,176	9,000	6,992	9,900	11,000
Students receiving financial assistance in an academic year	124,145	130,352	129,453	135,926	142,722
Dollar volume for all financial assistance programs (dollars in thousands)	1,846,679	1,939,013	1,899,088	1,994,042	2,093,745

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Average GPA of student athletes (4.0 highest)	3.28	3.29	3.28	3.28	3.29
Percent of student athletes graduating in six years based on NCAA Graduation Success Rate	88	89	89	90	91

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	22,380.7	25,985.4	25,985.4
Other Appropriated Funds	144,455.2	160,670.5	160,670.5
Other Non Appropriated Funds	321,515.8	632,633.1	644,258.9
Total Funding	488,351.7	819,289.0	830,914.8
FTE Positions	1,872.0	2,665.0	2,665.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of employees trained through targeted institutional programs	15,266	18,000	27,343	27,500	27,500
Administration as a percentage of total cost	2.03	2.04	2.03	2.04	2.02
Job applications processed	56,679	60,000	45,102	60,000	66,000
Positions filled	3,253	3,600	1,745	2,500	3,000
Percent of agency staff turnover (classified staff only)	10.5	9.1	8.8	8.0	8.0
Percent of agency staff turnover (university staff only)	0	0	15.8	15.0	15.0

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Maintenance work order staff-hours on buildings/tunnels/structures	1,284,388	1,451,370	1,281,346	1,432,659	1,447,302
Number of faculty, staff, and students participating in fire safety training classes	11,587	13,000	13,748	15,143	16,635
Annual Parking Permit Sales to students and staff	31,417	27,500	19,803	25,000	23,000
Community-based police assignments and contacts	2,209	2,253	2,650	3,047	3,138
Crime reports	2,574	2,625	1,773	2,124	2,336
Calls for Service	15,759	16,232	12,192	13,411	14,082

- ◆ **Goal 3** To maintain support for all telecommunications systems throughout the University.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Centrally supported Ethernet connections	185,000	195,000	187,000	200,000	220,000
Internet bandwidth available (in Gigabits)	40	50	300	300	300
Wireless hours (in millions)	130	160	59	170	200

Program Summary

CAPITAL INFRASTRUCTURE

Melinda Gebel, Director
 Phone: (480) 965-2318
 A.R.S. § 15-1601

Mission:

Description:

Agency Summary

NORTHERN ARIZONA UNIVERSITY

Dr. José Luis Cruz Rivera, 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. In 2021, Dr. José Luis Cruz Rivera became the 17th President of NAU, following the retirement of the previous President, Dr. Rita Cheng.

With an estimated enrollment in fall 2021 of approximately 28,800 students, NAU engages students on the Flagstaff campus and reaches 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. Reaffirmation of the university's accreditation occurred in 2017-2018 and extends through 2027-2028.

The university's commitment to diversity continues, with the university's first 2020 Diversity Strategic Plan completed. The first group of Diversity Fellows was announced in March 2021 to play a key role in implementing the new plan. Further, reflecting the diversity of Arizona and the university's commitment to access and attainment for under-represented students, NAU was designated as meeting the criteria of a Hispanic Serving Institution (HSI) by the U. S. Department of Education in March 2021. The NAU Yuma campus has had HSI designation since 2007. Further, NAU ranks in the top one percent of all four-year public universities with the highest Native American enrollment and is highly ranked for awarding degrees to Indigenous students.

In addition to integrating sustainability themes across its curriculum, NAU's 829-acre campus models sustainable operations through multi-modal transportation, environmentally responsible waste disposal, energy-efficient green construction, and sustainability in food procurement. In September 2020, 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ INSTRUCTION	243,102.4	277,159.4	290,579.6
➤ ORGANIZED RESEARCH	59,052.8	59,708.1	60,516.9
➤ PUBLIC SERVICE	29,088.7	35,081.4	36,210.7
➤ ACADEMIC SUPPORT	27,479.0	27,946.9	36,265.0
➤ STUDENT SERVICES	122,751.9	121,069.2	131,477.9
➤ INSTITUTIONAL SUPPORT	117,775.1	90,110.4	97,390.8
➤ AUXILIARY PROGRAM	76,744.0	97,362.8	102,210.2
➤ CAPITAL INFRASTRUCTURE	4,692.9	4,750.6	4,750.6
Agency Total:	680,686.8	713,188.8	759,401.7

Funding:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	121,347.8	135,452.4	151,952.4
Other Appropriated Funds	138,921.3	134,983.3	134,983.3
Other Non Appropriated Funds	420,417.7	442,753.1	472,466.0
Total Funding	680,686.8	713,188.8	759,401.7
FTE Positions	3,863.0	4,440.8	4,682.5

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 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, including Arizona Teachers Academy graduates
- 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, NAU also serves adult students across the state by providing 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 Metrics
- Enhance access and service for traditionally underserved populations and adult learners
- Maintain Hispanic Serving Institution designations
- 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 Metrics
- Cultivate interdisciplinary collaboration among principal investigators
- Foster biomedical research partnerships aligned to our areas of key research strength
- Support research centers and institutes focusing on regionally-relevant public service
- Provide sufficient research infrastructure
- 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 lower state funding to support each student, the university must carefully manage its resources to support the pursuit of the ABOR 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	75.0	85.0	95.0
General Fund	8,000.0	10,000.0	12,000.0
Other Appropriated Funds	3,000.0	3,500.0	4,000.0
Non-Appropriated Funds	2,000.0	2,500.0	3,000.0
Federal Funds	4,000.0	4,500.0	5,000.0

Program Summary

INSTRUCTION

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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 21,000 (fall 2021, preliminary) students at its main campus in Flagstaff and nearly 8,000 students at more than 20 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 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	78,265.0	111,294.6	121,394.6
Other Appropriated Funds	33,247.1	30,349.4	30,349.4
Other Non Appropriated Funds	131,590.3	135,515.4	138,835.6
Total Funding	243,102.4	277,159.4	290,579.6
FTE Positions	1,567.7	1,796.6	1,893.3

Subprogram Summary

FLAGSTAFF AND STATEWIDE INSTRUCTION
Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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.

Funding:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	75,762.8	108,888.2	118,988.2
Other Appropriated Funds	33,247.1	30,349.4	30,349.4
Other Non Appropriated Funds	131,590.3	135,515.4	138,835.6
Total Funding	240,600.2	274,753.0	288,173.2
FTE Positions	1,538.0	1,766.9	1,863.6

◆ **Goal 1** To provide access to educational opportunities for undergraduate and graduate students.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of students enrolling in study abroad programs	1	1	.34	1	1
Increase the number of historically underrepresented ethnic minority students	12,401	11,781	12,368	11,997	11,637
Increase the number of international students	1,535	1,213	789	765	742
Increase the number of Native American students	1,874	1,780	1,853	1,779	1,708
Bachelor degrees granted to statewide students, (includes community campuses and online only).	1,729	1,643	1,694	1,677	1,660
Explanation: as of 8/27/2021					
Total degrees and certificates granted (includes all campuses)	8,105	7,700	8,140	8,221	8,304
Explanation: as of 8/27/2021					
Percentage of full-time, undergraduate students enrolled per semester in three or more primary courses with ranked faculty	85	81	84	85	85
Number of Bachelor degrees granted	5,964	5,666	5,959	5,899	5,840
Explanation: as of 8/27/2021					
Percent of graduating seniors who rate their overall university experience as good or excellent	88	88	91	91	91
Average number of years taken to graduate for students who began as first-time, full-time freshmen.	4.3	4.3	4.3	4.3	4.3
Graduate degrees awarded at the master's level	1,246	1,184	1,280	1,293	1,306
Explanation: as of 8/27/2021					
Graduate degrees awarded at the doctoral level	116	110	110	111	112
Explanation: Excludes DPT; as of 8/27/2021					
Doctorate degrees awarded in the DPT category.	96	91	95	102	103
Explanation: as of 8/27/2021					
Graduate degrees granted (Statewide and Online only)	900	855	970	980	989
Explanation: as of 8/27/2021					
Doctorate degrees awarded in professional practice fields	142	135	142	143	145
Explanation: as of 8/27/2021					
Freshman retention rate (percentage) (all campuses)	76.3	77.0	76.3	74.8	75.5
Explanation: ABOR Enterprise Metric					

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Six-year graduation rate (percentage) (all campuses)	56.8	57	57	58	58
Explanation: ABOR Enterprise Metric					
Research doctoral degrees awarded	70	67	63	64	65
Explanation: As of 8/27/2021					
Number of degrees awarded in high demand fields (all campuses)	3,925	3,975	4,151	4,025	4,050
Explanation: ABOR Enterprise Metric					
Arizona community college transfers with bachelor's degree (all campuses)	1,766	1,825	1,800	1,900	2,000
Explanation: ABOR Enterprise Metric					

Subprogram Summary

YUMA INSTRUCTION

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
 Phone: (928) 523-1829
 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 that provide access to higher education learning experiences for Yuma, Arizona students. Areas of study include biological and natural resource sciences, business and administration, education, justice studies, logistics and supply chain management, allied health, 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 across the border in Mexico. It is a critical component of efforts to meet the goal of increasing the number of Arizona residents with a bachelor's degree, which includes serving the Hispanic population in the border region and the state of Arizona.

Co-located on a beautiful campus with Arizona Western College (AWC), NAU-Yuma is a student-oriented educational community, offering schedules designed for traditional and working students, smaller classes, and individualized academic advising. NAU-Yuma's Student Success Center provides tutoring, mentoring, testing, and writing support services to students. It also provides library access and information services through the Cline Library and its partnership with AWC's library.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	2,502.2	2,406.4	2,406.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	2,502.2	2,406.4	2,406.4
FTE Positions	29.7	29.7	29.7

◆ **Goal 1** To provide access to higher education learning experiences for Yuma Arizona students.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Arizona residents enrolled in undergraduate programs	462	439	393	362	333
Bachelor degrees/certificates granted to Yuma students	204	194	170	168	167
Explanation: as of 8/27/2021					
Undergraduate degree programs offered, per ABOR Academic Program Inventory	13	13	13	13	13
Graduate degree programs offered, per ABOR Academic Program Inventory	6	5	5	3	3
Percent of students graduating (6-year for first time, freshmen)	100	71	71	75	75
Explanation: Cohorts are very small, so graduation rates can fluctuate substantially. 7 students in FY15 cohort. as of 8/27/2021					
Percent of students graduating (5 year rate for lower-division, full-time transfer students)	79	70	70	76	86
Explanation: as of 8/27/2021					
Percent of students graduating (4 year rate for upper division, full-time transfer students)	86	82	85	90	90
Explanation: as of 8/27/2021					
Graduate degrees granted at NAU-Yuma	11	10	24	25	26
Explanation: As of 8/27/2021					

◆ **Goal 2** To provide a rich learning environment with exposure to diverse populations and cultures for all Yuma students.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent Hispanic graduate students enrolled at the Yuma campus	65	62	75	76	77
Hispanic student degrees/certificates awarded at Yuma	146	139	153	155	156
Explanation: as of 8/27/2021					
Percent of Hispanic undergraduate students at the Yuma campus	74	70	78	77	77

Program Summary

ORGANIZED RESEARCH

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
A.R.S. § 15-1601

Mission:

To foster research, scholarship, and creative activity opportunities for students and faculty, and to support the university's contributions to the knowledge economy with a focus on distinctive, regionally-connected agendas that capitalize on the University's unique location, strengths, and areas of opportunity and that lead to improvements to 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	3,388.1	3,835.2	3,835.2
Other Appropriated Funds	7,027.9	5,099.8	5,099.8
Other Non Appropriated Funds	48,636.8	50,773.1	51,581.9
Total Funding	59,052.8	59,708.1	60,516.9
FTE Positions	479.8	504.2	511.3

Subprogram Summary

FLAGSTAFF AND STATEWIDE ORGANIZED RESEARCH

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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, professional preparation, and graduate education at NAU are tightly linked. NAU offers over 130 master's, doctoral, and certificate programs, which provide students outstanding opportunities to be mentored by top scholars in the disciplines and develop skills necessary for forward thinking careers. NAU offers strong master's degree programming with a clear professional and applied focus. Many of these opportunities are available online or at statewide locations, for maximum flexibility and convenience. Outstanding doctoral programs drive research in NAU's foundational research strengths: environmental sciences, forest restoration, biological sciences, applied linguistics, and education. NAU has also launched new graduate programs that connect and expand strengths in informatics, health disparities, astronomy and planetary sciences, bioengineering, and material science.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	3,388.1	3,835.2	3,835.2
Other Appropriated Funds	7,027.9	5,099.8	5,099.8
Other Non Appropriated Funds	48,636.8	50,773.1	51,581.9
Total Funding	59,052.8	59,708.1	60,516.9
FTE Positions	479.8	504.2	511.3

◆ **Goal 1** To offer graduate programs contributing to research and innovation in Arizona

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Graduate students enrolled in Flagstaff Master's level programs	1,311	1,245	1,204	1,288	1,378
Graduate students enrolled in Flagstaff Doctoral level programs	543	516	553	592	633
Graduate degrees granted to Flagstaff students (masters and doctorates)	558	530	515	520	525
Explanation: as of 8/27/2021					
Value of total research expenditures	65 Million	67 Million	67 Million	68 Million	69 Million
Explanation: ABOR Enterprise Metric					
Number of invention disclosures	43	46	51	50	50
Explanation: ABOR Enterprise 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Graduate students enrolled in statewide Master's level programs (includes community campuses and online only)	2,813	2,672	2,923	2,865	2,807
Graduate students enrolled in statewide Doctoral level programs (includes community campuses and online only)	535	508	553	542	531

Subprogram Summary

YUMA ORGANIZED RESEARCH

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost

Phone: (928) 523-1829

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.

- ◆ **Goal 1** To offer graduate programs which meet needs for graduate level instruction, and expand integrated, intentional research and scholarship.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Yuma Graduate students enrolled in Master's level programs.	52	49	68	62	56

Program Summary

PUBLIC SERVICE

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
 Phone: (928) 523-1829
 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 Center for Service and Volunteerism, 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	5,333.6	5,366.1	5,366.1
Other Appropriated Funds	2,270.8	2,526.8	2,526.8
Other Non Appropriated Funds	21,484.3	27,188.5	28,317.8
Total Funding	29,088.7	35,081.4	36,210.7
FTE Positions	166.8	181.5	194.6

Subprogram Summary

FLAGSTAFF AND STATEWIDE PUBLIC SERVICE

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
 Phone: (928) 523-1829
 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 Center for Service and Volunteerism (CSV) engages a diverse network of individuals and partner agencies who meet community needs through the focus areas of education, well-being, capacity building, veterans and military families through direct service, professional development, and innovation. CSV is a National Service leader that engages in communities throughout Arizona in AmeriCorps (Arizona Ready for College and Career, Alternatives to Managing Pain and Prevention, and VISTA) and AmeriCorps Seniors (Foster Grandparent, RSVP, and Senior Companion) programs.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	5,333.6	5,366.1	5,366.1
Other Appropriated Funds	2,270.8	2,526.8	2,526.8
Other Non Appropriated Funds	21,484.3	27,188.5	28,317.8
Total Funding	29,088.7	35,081.4	36,210.7
FTE Positions	166.8	181.5	194.6

◆ **Goal 1** To increase the cultural vitality of Arizona and the Southwest region.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Theater, Art Shows and various season performances	64	44	55	75	75
Music concerts and film series scheduled	109	74	65	161	161
Value of expenditures related to service and engagement activities (in thousands)	32,600	32,500	29,000	31,000	33,000

Explanation: ABOR Enterprise Metric

◆ **Goal 2** To enhance the quality of life in Arizona and the Southwest region.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of volunteer hours contributed by CSV volunteers	264,948	285,000	284,922	304,397	321,226
Number of partner agencies collaborating with CSV	299	300	289	307	321
Number of volunteers engaged in CSV programs	709	1,000	1,471	1,748	1,874
Number of individuals benefiting from CSV programs	41,291	43,000	40,237	44,427	47,489

Subprogram Summary

YUMA PUBLIC SERVICE

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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.

- ◆ **Goal 1** To increase the workforce development with local business and NAU-Yuma.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Arizona Town Hall Meetings held in Yuma	2	2	2	2	2
Number of Arizona Western College transfer students who attend NAU	188	179	203	197	191

Program Summary

ACADEMIC SUPPORT

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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 faculty learning opportunities and professional support for effective instructional design, technology enhanced learning, and pedagogy.

The Faculty Professional Development Program provides the resources and support that help faculty be successful, which ultimately promotes the learning and success of students. Faculty professional development learning experiences include one-on-one consultations, workshops, discussion groups, mentoring, and learning communities and communities of practice.

The e-Learning Center assists faculty in the effective use of technologies to enhance teaching and learning. The focus is good design and effective delivery of fully online courses. Small group training, one-on-one consultation, and asynchronous trainings are provided to help faculty learn to build appealing online courses, develop engaging online teaching methods, and to find or create appropriate media and course materials to encourage student engagement and success.

NAU is also participating in grant-funded efforts sponsored by the American Association of State Colleges and Universities to integrate and extend existing student success institutions throughout the nation. The Frontier Set is a select group of colleges and universities, state systems, and supporting organizations committed to significantly increasing student access and success and eliminating racial/ethnic and socioeconomic disparities in college attainment. The Frontier Set is made up of 29 colleges and universities and two state systems from across the nation that represent a broad cross-section of higher education. Frontier Set sites focus on institutional transformation, including the integration of three key solution areas:

1. Redesigned Planning, Advising and Student Services,
2. Digital Learning and Next Generation Digital Courseware, and
3. Developmental Education Reform and Supports for Learning,

while strengthening capacities that enable implementation and integration of the key solutions, including leadership, culture, strategic finance, IT infrastructure, institutional research and data, and policy.

This Program Contains the following Subprograms:

- ▶ Flagstaff and Statewide Academic Support
- ▶ Yuma Academic Support

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	383.7	423.6	6,823.6
Other Appropriated Funds	27,133.7	24,809.4	24,809.4
Other Non Appropriated Funds	-38.4	2,713.9	4,632.0
Total Funding	27,479.0	27,946.9	36,265.0
FTE Positions	360.8	425.0	482.2

Subprogram Summary

FLAGSTAFF AND STATEWIDE ACADEMIC SUPPORT

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
 Phone: (928) 523-1829
 A.R.S. § 15-1601

Mission:

To offer exemplary academic support services to the Flagstaff campus and statewide communities.

Description:

Northern Arizona University is committed to providing support for Flagstaff students and students throughout the state to ensure success.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.6	0.0	6,400.0
Other Appropriated Funds	27,133.7	24,809.4	24,809.4
Other Non Appropriated Funds	-38.4	2,713.9	4,632.0
Total Funding	27,095.9	27,523.3	35,841.4
FTE Positions	356.3	419.8	477.0

- ◆ **Goal 1** To provide a physical and online environment that supports student and faculty learning, teaching and research.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of users in the library	441,677	400,000	170,302	400,000	420,000
Number of electronic journal titles available	123,990	95,000	78,046	80,000	85,000
Number of items provided for NAU students, faculty and staff via Document Delivery Services	14,841	15,000	8,764	15,000	17,000
Electronic books supplied by Cline Library	245,056	265,000	287,482	305,000	325,000
Cline Library hours open per week	150	150	150	150	150
Number of virtual reference services interactions	1,856	2,200	2,966	2,400	2,600

Subprogram Summary

YUMA ACADEMIC SUPPORT

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
 Phone: (928) 523-1829
 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, Arizona) and Imperial Valley College (Imperial County, California) to provide students with innovative and well-defined pathways to complete four-year and graduate programs.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	383.1	423.6	423.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	383.1	423.6	423.6
FTE Positions	4.5	5.2	5.2

- ◆ **Goal 1** To improve statewide access to network services, general computing resources, and instructional technology for NAU YUMA faculty and students.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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.	88	88	36	88	88
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	0	20,000	260	260	260

Program Summary

STUDENT SERVICES

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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 divisions of Enrollment Management, Student Affairs, and Academic Affairs, which include the following programs and activities: Academic Success Centers, Career Development, Residence Life and Residential Colleges, Campus Health Services, Enrollment and Student Services, University Admissions, Scholarships and Financial Aid, and University Advising.

The following student service programs are aimed at improving student success: Academic Success Centers; First Generation Programs such as First Scholars; Leadership, Engagement, Activities and Peer (LEAP) mentoring; Office of Indigenous Student Success; Inclusion: Multicultural and LGBTQIA Student Services; Veteran and Military Services; Transfer and Online Connections; and Enrollment and Student Services among others.

This Program Contains the following Subprograms:

- ▶ Flagstaff and Statewide Student Services
- ▶ Yuma Student Services

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	19,526.1	6,372.7	6,372.7
Other Appropriated Funds	10,790.2	18,666.4	18,666.4
Other Non Appropriated Funds	92,435.6	96,030.1	106,438.8
Total Funding	122,751.9	121,069.2	131,477.9
FTE Positions	291.2	454.8	478.6

Subprogram Summary

FLAGSTAFF AND STATEWIDE STUDENT SERVICES

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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.

Enrollment Management (EM) attracts new students through the operations of University Admissions & Orientation, Admissions Processing, Student Financial Aid, Enrollment & Student Services, EM Communications, Analytics & Assessment, and Enrollment Services Business Analyst Team. For prospective students, University Admissions & Orientation hosts daily campus visits as well as represents NAU at hundreds of in-person and virtual high school events, college fairs, graduate fairs, and open houses throughout the year. UAO staff also conduct thousands of one-on-one appointments and host orientation sessions for new students. 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, Enrollment and Student Services staff located at statewide sites are uniquely positioned to serve 2NAU and other transfer students as they transition to the university and assist statewide campus students navigate through to graduation. Other EM units support student recruitment efforts through data analysis, processing, communication, and technical functional support.

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 provides programs and services that connect students early and often to career through one-on-one support, workshops and programming, and networking events. Students served include those on the main Flagstaff campus, as well as statewide sites and online learners. 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.

Undergraduate students at all campuses (Flagstaff, Statewide, and Online) are assigned a professional academic advisor. Academic advisors guide and support students as they progress through their academic careers by assisting with degree selection, course selection and sequencing, resource and tool referral, enrollment, policy interpretation, and overall coaching.

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 several topics. In addition, the ASC offers Peer Academic Coaching, test taking strategies and other academic resources for students.

The NASPA-Student Affairs Administrators in Higher Education organization, a leading organization in student affairs, awarded the Virtual Innovation Award: Excellence in Delivering Virtual Student Services to NAU in early 2021. The award recognizes institutions that deliver exemplary virtual support to students and, in particular, recognized the university's expansion of its existing virtual student services throughout the COVID pandemic to leverage all possible resources to a virtual format.

Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	19,304.5	6,126.0	6,126.0
Other Appropriated Funds	10,790.2	18,666.4	18,666.4
Other Non Appropriated Funds	92,435.6	96,030.1	106,438.8
Total Funding	122,530.3	120,822.5	131,231.2
FTE Positions	288.9	451.9	475.7

◆ **Goal 1** To assist Flagstaff students in cultural, physical, and social development/wellness by providing services, activities, and events.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Students use/participation: Counseling Services visits	8,375	10,469	8,131	11,515	12,000
Inclusion and Multicultural Services (IMS) and Office of Indigenous Student Success (OISS) participants	2,373	2,217	1,297	1,946	2,141
Total unique count of student participation in Student Affairs mentoring programs (including but not limited to SSS, ID Scholars, Peer Jacks, OISS Scholars)	41,077	42,720	28,890	31,779	34,957
Number of Student Life registered organizations	451	428	380	399	419
Percent of new first time, full time freshmen utilizing one of the Academic Success Centers (tutoring, SI, academic mentoring) one or more times	0	0	59	60	63
Total number of students utilizing Academic Success Centers (tutoring)	0	0	6,656	7,321	7,500

◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Students receiving financial aid by categories: Scholarships	14,461	14,895	15,466	16,045	16,045
Students receiving financial aid by categories: Waivers	583	519	731	750	750
Students receiving financial aid by categories: Grants	8,686	8,425	8,121	8,125	8,125
Students receiving financial aid by categories: Employment	4,045	3,887	2,809	3,589	3,589
Students receiving financial aid by categories: Loans	9,348	9,350	7,493	8,000	8,000

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Students receiving financial aid by categories: Scholarships	1,232	1,165	1,182	1,165	1,150
Students receiving financial aid by categories: Waivers	86	75	155	155	155
Students receiving financial aid by categories: Grants	2,660	2,410	2,613	2,400	2,400
Students receiving financial aid by categories: Employment	84	85	61	75	75
Students receiving financial aid by categories: Loans	2,706	2,500	2,368	2,400	2,400

Subprogram Summary

YUMA STUDENT SERVICES

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost

Phone: (928) 523-1829

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. NAU Yuma has five student clubs/organizations: Bien Hecho, Psychology Club, NAU Yuma Branch Science Club, Social Work Student Association and the Student Nurses' Association of NAU Yuma.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	221.6	246.7	246.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	221.6	246.7	246.7
FTE Positions	2.3	2.9	2.9

- ◆ **Goal 1** To support NAU-Yuma student learning by providing financial support services to qualified students.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Students receiving financial aid by categories: Scholarships	311	315	291	290	290
Students receiving financial aid by categories: Waivers	7	8	7	7	7
Students receiving financial aid by categories: Grants	352	303	327	300	300
Students receiving financial aid by categories: Employment	25	26	17	20	20
Students receiving financial aid by categories: Loans	185	165	127	125	125

Program Summary

INSTITUTIONAL SUPPORT

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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:

Institutional support includes administrative activities focusing on the management of and long-range planning for the university. These service-oriented functions administer programs to support all stakeholders to ensure the university meets its mission and vision.

This Program Contains the following Subprograms:

- ▶ Flagstaff and Statewide Institutional Support
- ▶ Yuma Institutional Support

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	14,451.3	8,160.2	8,160.2
Other Appropriated Funds	58,451.6	53,531.5	53,531.5
Other Non Appropriated Funds	44,872.2	28,418.7	35,699.1
Total Funding	117,775.1	90,110.4	97,390.8
FTE Positions	652.3	669.5	692.8

Subprogram Summary

FLAGSTAFF AND STATEWIDE INSTITUTIONAL SUPPORT

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	14,451.3	8,160.2	8,160.2
Other Appropriated Funds	58,451.6	53,531.5	53,531.5
Other Non Appropriated Funds	44,872.2	28,418.7	35,699.1
Total Funding	117,775.1	90,110.4	97,390.8
FTE Positions	652.3	669.5	692.8

◆ **Goal 1** To enhance the safety and the learning/working environment.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
NAU numbers of: Equity and Access formal and informal complaints, consultations and ADA issue contacts	2,164	2,200	2,389	2,300	2,300
People trained proactively by the Office of Equity and Access (and Disability Resources), on-line and in person	17,207	14,000	7,199	14,000	14,000
People served by the Office of Employee Assistance and Wellness	7,617	8,300	7,768	8,300	8,500
Programs offered by the Office of Employee Assistance and Wellness	325	535	431	535	550
Internal audits conducted	8	5	7	5	7
Percent of agency staff turnover	18	16	20	18	16

◆ **Goal 2** To improve the physical living, working, and learning environment.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
State appropriations for building renewal (in millions)	0	24.5	0	27	29.2
Operation and maintenance of plant expenditures (in millions)	24.3	24	22.7	23.6	24.6

Subprogram Summary

YUMA INSTITUTIONAL SUPPORT

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
 Phone: (928) 523-1829
 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 augmented 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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Calculated building renewal need	0	266,500	0	298,800	337,500

Program Summary

AUXILARY PROGRAM

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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 include 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. A variety of university functions are reflected in this area, including student housing, residence life, campus dining, and intercollegiate athletics.

NAU, a member of the Big Sky Conference and Western Athletic Conference 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 3.46 among its approximately 344 student-athletes during the 2020-2021 academic year. In addition, 214 student athletes earned Big Sky/WAC All-Academic honors achieving a minimum of 3.20 cumulative grade point average or higher. Every single athletic team in the department had a team GPA of 3.00 or better for the 2020-21 academic year.

This Program Contains the following Subprograms:

- ▶ Flagstaff and Statewide Auxiliary Program
- ▶ Yuma Auxiliary Program

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	76,744.0	97,362.8	102,210.2
Total Funding	76,744.0	97,362.8	102,210.2
FTE Positions	344.4	409.2	429.7

Subprogram Summary

FLAGSTAFF AND STATEWIDE AUXILIARY PROGRAM

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
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 include various units that are essentially self-supporting units. Among the larger activities, these include Campus Recreation, Campus Health Services, Campus Dining, University Housing, and Intercollegiate Athletics.

Campus Recreation continues to provide a comprehensive recreational experience for students and the campus community by partnering with academic departments to add new programs, enhance existing programs and increase opportunities for student participation.

Campus Health Services supports student health using an integrated model that includes Behavioral Health, Counseling, Health Promotion and Medical services. These three units collaborate to provide a comprehensive approach to care from prevention to treatment, for both medical and mental health needs.

Campus Dining continues to offer a total of 28 restaurants throughout campus, including two all-you-care-to-eat establishments, two mobile locations, and fine dining. Campus Dining has also added mobile online ordering with expedited pick-up for student convenience and robotic delivery services throughout campus. In addition, the NAU Bookstore continues to lower the cost of course materials through partnerships with open education resource providers and negotiations with publishers to convert materials to electronic formats whenever possible.

Housing and Residence Life manages a variety of on-campus options for freshmen and upper-division students, including ten traditional residence halls, three suite-style halls, eight apartment communities, and the Honors College managed by NAU in partnership with American Campus Communities (ACC). Three partnered-housing properties through ACC offer students additional convenient on-campus housing options.

For students living in the residence halls, all freshman residents live in a Residential College aligned with their academic college. 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. The Honors College Living and Learning Facility opened Fall 2018, housing 634 Honors students along with all college faculty, advisors, and other administrative staff offices and classrooms.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	76,744.0	97,362.8	102,210.2
Total Funding	76,744.0	97,362.8	102,210.2
FTE Positions	344.4	409.2	429.7

◆ **Goal 1** To provide an excellent residential living experience for students choosing to live on the Flagstaff Mountain Campus.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of new, first time, full-time students living in residence halls	90	83	80	85	88
Total number of students who were housed on campus	10,450	8,600	9,192	9,700	9,900

- ◆ **Goal 2** To provide diverse and quality recreational programs, services and events to promote health and wellness for students and community.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total use/participation: Recreation Center visits	370,984	275,000	0	275,000	350,000
Total use/participation: Outdoor Recreation	13,048	5,000	0	5,000	10,000
Total use/participation: Aquatic Center	80,591	80,000	0	80,000	80,000
Explanation: Excludes Tennis Center as that data are not tracked by Campus Recreation					
Students use/participation: Intramural participants	14,214	9,000	0	9,000	15,000
Students use/participation: Campus Health Services/Medical Services visits	34,334	36,050	44,086	40,392	42,337
Total use/participation: Fitness & Wellness	22,154	26,000	0	26,000	30,000
Student use/participation: Sport Clubs	24,510	15,000	0	15,000	30,000
Student use/participation in Campus Health Services/Health Promotion - In Person	10,977	5,000	2,057	3,000	3,300
Student use/participation in Campus Health Services/Health Promotion - Online	17,735	15,000	9,382	10,000	11,000

Subprogram Summary

YUMA AUXILIARY PROGRAM

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost

Phone: (928) 523-1829

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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 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

Dr. K. Laurie Dickson, Sr. Associate to the President & Sr. Vice Provost
Phone: (928) 523-1829
A.R.S. § 15-1601

Mission:

Description:

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	4,692.9	4,750.6	4,750.6
Total Funding	4,692.9	4,750.6	4,750.6
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 continuously improve how we educate and innovate so we can lead the way in developing disruptive problem-solvers capable of tackling our greatest challenges.

Description:

The University of Arizona, a land-grant university with two independently accredited medical schools, is one of the nation's top public universities, according to U.S. News & World Report. Established in 1885, the university is widely recognized as a student-centric university and has been designated as a Hispanic Serving Institution by the U.S. Department of Education. The university ranked in the top 20 in 2018 in research expenditures among all public universities, according to the National Science Foundation, and is a leading Research 1 institution with \$687 million in annual research expenditures. The university advances the frontiers of interdisciplinary scholarship and entrepreneurial partnerships as a member of the Association of American Universities, the 65 leading public and private research universities in the U.S. It benefits the state with an estimated economic impact of \$4.1 billion annually.

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ INSTRUCTION	406,139.5	351,409.7	353,415.5
➤ ORGANIZED RESEARCH	263,357.2	314,978.9	325,226.2
➤ PUBLIC SERVICE	35,915.5	49,068.0	49,712.9
➤ ACADEMIC SUPPORT	137,550.1	148,715.4	153,804.9
➤ STUDENT SERVICES	166,171.7	228,409.7	188,470.1
➤ INSTITUTIONAL SUPPORT	634,000.7	657,945.3	622,787.3
➤ AUXILIARY PROGRAM	175,300.2	276,758.2	274,028.3
➤ COLLEGE OF AGRICULTURE AND LIFE SCIENCES	128,459.5	133,733.7	135,367.5
➤ UNIVERSITY OF ARIZONA SOUTH	16,558.0	14,033.6	14,339.2
➤ CAPITAL INFRASTRUCTURE	10,242.8	11,087.9	11,087.9
Agency Total:	1,973,695.2	2,186,140.4	2,128,239.8

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	209,737.3	250,739.1	260,139.1
Other Appropriated Funds	368,297.4	304,589.0	304,589.0
Other Non Appropriated Funds	1,395,660.5	1,630,812.3	1,563,511.7
Total Funding	1,973,695.2	2,186,140.4	2,128,239.8

FTE Positions

12,610.4 12,736.0 12,832.7

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. Diversify 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.

Program Summary

INSTRUCTION

Ravneet Chadha, Associate Vice President and Chief Data Officer
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	134,228.6	157,224.2	157,024.2
Other Appropriated Funds	111,416.8	83,891.7	83,891.7
Other Non Appropriated Funds	160,494.1	110,293.8	112,499.6
Total Funding	406,139.5	351,409.7	353,415.5
FTE Positions	3,750.9	3,632.7	3,666.5

◆ **Goal 1** To promote retention and graduation for undergraduate and graduate students.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Graduating seniors who rate their overall experience as good or excellent (percent)	91	90	92	91	92
Full-time undergraduate students enrolled per semester in three or more primary courses with ranked faculty (percentage)			NA	NA	NA
Total number of degrees granted	9,424	9,518	9,057	9,329	9,609
Bachelors degrees granted	7,292	7,365	6,764	6,967	7,176
Masters degrees granted	1,327	1,340	1,294	1,333	1,373
First Professional degrees granted	357	361	320	330	340
Explanation: This measure reflects the ABOR Enterprise Metrics Non-PhD Other Doctoral Degrees					
Doctorate degrees granted	448	453	486	496	506
Explanation: This measure reflects the ABOR Enterprise Metrics PhD Doctoral degrees.					
Average number of years taken to graduate for students who began as freshmen	0	4	3.8	3.8	3.9
Agency staff turnover (percent)	0	11.2	11.1	11.2	11.0
Gifts, grants, and contracts (millions)	342,411	345,835	378,574	388,038	397,739
First-Time, Full-Time Retention	83.2	84.7	85.5	87.0	88.6
Percent of full-time first-year students graduating in six years.	64.7	65.7	64.9	65.9	66.9

Explanation:

graduating in six years

Program Summary

ORGANIZED RESEARCH

Ravneet Chadha, Associate Vice President and Chief Data Officer
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	17,280.0	22,080.0
Other Appropriated Funds	30,683.6	25,340.0	25,340.0
Other Non Appropriated Funds	232,673.6	272,358.9	277,806.2
Total Funding	263,357.2	314,978.9	325,226.2
FTE Positions	2,133.8	2,307.6	2,344.4

- ◆ **Goal 1** To increase funding for contracts, grants, and sponsored awards.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
National Science Foundation Research ranking (publics)	20	21	19	20	20
Total Research & Development Expenditures in thousands	0	0	417,611	428,051	440,893

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
New Companies Started	0	0	17	18	19

- ◆ **Goal 3** To increase productivity, efficiency, and effectiveness.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Gifts, grants, contracts (Awards) (thousands)	0	0	378,574	388,038	397,739
Grants and contracts (sponsored expenditures) (thousands)	0	0	162,724	166,792	170,962

Program Summary

PUBLIC SERVICE

Ravneet Chadha, Associate Vice President and Chief Data Officer
 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 throughout 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	940.8	2,069.3	2,069.3
Other Appropriated Funds	2,438.2	14,755.6	14,755.6
Other Non Appropriated Funds	32,536.5	32,243.1	32,888.0
Total Funding	35,915.5	49,068.0	49,712.9
FTE Positions	263.4	394.1	394.4

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of undergraduate international students (Main Campus)	2,203	1,763	1,658	1,742	1,829
Number of graduate international students (Main Campus)	1,542	1,388	1,342	1,409	1,479

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of people served by Cooperative Extension.	0	0	571929	595000	620000
Number of volunteer hours generated in Agriculture.	0	0	152301	159000	165000

Program Summary

ACADEMIC SUPPORT

Ravneet Chadha, Associate Vice President and Chief Data Officer
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	3,600.0
Other Appropriated Funds	68,721.6	74,246.0	74,246.0
Other Non Appropriated Funds	68,828.5	74,469.4	75,958.9
Total Funding	137,550.1	148,715.4	153,804.9
FTE Positions	951.9	966.6	1,011.6

- ◆ **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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Academic programs reviewed for quality and effectiveness	0	0	17	20	20

- ◆ **Goal 2** To support alternative delivery modes of education for Arizona.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Online Undergraduate Degrees Awarded	0	0	536	563	591
Number of Online Graduate Degrees Awarded	0	0	877	890	903
Number of Online Graduate Certificates Awarded	0	0	121	127	133

Program Summary

STUDENT SERVICES

Ravneet Chadha, Associate Vice President and Chief Data Officer
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	4,744.5	2,729.4	2,729.4
Other Appropriated Funds	4,686.3	29,657.9	29,657.9
Other Non Appropriated Funds	156,740.9	196,022.4	156,082.8
Total Funding	166,171.7	228,409.7	188,470.1
FTE Positions	886.4	1,082.2	1,082.5

◆ **Goal 1** To attract the best and brightest students in Arizona and from around the world.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Quality of freshman class based on: High school grade point average	3.51	3.50	3.55	3.60	3.60
Quality of freshman class based on: SAT scores	1,262	1,260	1256	1260	1275
Average ACT Score	26	26	26	26	27
First-Year students ranked in top 10% of HS (percent)	19.2	22.0	22.3	24.0	25.0
Total number of National Merit Scholars	66	70	66	50	60

◆ **Goal 2** To build a diverse and high-potential student body and first year cohort.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Undergraduate enrollment - Hispanic or Latinx (percent)	26.3	27.6	28.0	29.4	31.0
Yield Rate (percent)	22.4	24	20.1	21.1	22.2
Pell-eligible undergraduate students (percent)	33.1	34.0	31.5	33.1	34.8

Program Summary

INSTITUTIONAL SUPPORT

Ravneet Chadha, Associate Vice President and Chief Data Officer
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	14,251.5	14,248.9	15,448.9
Other Appropriated Funds	136,240.5	64,508.5	64,508.5
Other Non Appropriated Funds	483,508.7	579,187.9	542,829.9
Total Funding	634,000.7	657,945.3	622,787.3
FTE Positions	1,415.3	1,251.4	1,231.1

◆ **Goal 1** To attract and engage a diverse and high quality workforce.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Minority employees in administrative, faculty, professional and classified positions (percent)	0	0	28.4	29.8	31.3

Program Summary

AUXILIARY PROGRAM

Ravneet Chadha, Associate Vice President and Chief Data Officer
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	175,300.2	276,758.2	274,028.3
Total Funding	175,300.2	276,758.2	274,028.3
FTE Positions	1,326.1	1,223.8	1,224.3

- ◆ **Goal 1** To provide affordable housing and a residential living experience conducive to academic success and social well-being.

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Percent of new freshmen living in residence halls.	0	0	44	45	45
◆ Goal 2 To serve students with learning disabilities.					
Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Number of students served by the Strategic Alternative Learning Techniques (SALT) Center.	0	0	634	650	666

Program Summary

COLLEGE OF AGRICULTURE AND LIFE SCIENCES

Ravneet Chadha, Associate Vice President and Chief Data Officer
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	42,585.3	43,355.6	43,355.6
Other Appropriated Funds	12,526.2	8,675.4	8,675.4
Other Non Appropriated Funds	73,348.0	81,702.7	83,336.5
Total Funding	128,459.5	133,733.7	135,367.5
FTE Positions	1,756.9	1,741.5	1,741.7

Program Summary

UNIVERSITY OF ARIZONA SOUTH

Ravneet Chadha, Associate Vice President and Chief Data Officer
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,743.8	2,743.8	2,743.8
Other Appropriated Funds	1,584.2	3,513.9	3,513.9
Other Non Appropriated Funds	12,230.0	7,775.9	8,081.5
Total Funding	16,558.0	14,033.6	14,339.2
FTE Positions	125.7	136.1	136.2

Program Summary

CAPITAL INFRASTRUCTURE

Ravneet Chadha, Associate Vice President and Chief Data Officer
Phone: (520) 621-3030
A.R.S. § 15-1601

Mission:

Description:

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	10,242.8	11,087.9	11,087.9
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	10,242.8	11,087.9	11,087.9
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ INSTRUCTION	122,040.9	143,169.3	145,172.1
➤ ORGANIZED RESEARCH	193,898.5	212,982.4	217,176.5
➤ PUBLIC SERVICE	32,447.1	33,909.0	34,537.7
➤ ACADEMIC SUPPORT	119,270.5	137,548.5	139,822.8
➤ STUDENT SERVICES	3,312.5	11,476.0	11,498.1
➤ INSTITUTIONAL SUPPORT	33,128.2	23,236.4	23,660.9
➤ AUXILIARY PROGRAM	1,463.5	982.8	1,002.4
➤ COLLEGE OF MEDICINE, PHOENIX CAMPUS	122,605.4	133,127.5	135,075.3
Agency Total:	628,166.6	696,431.9	707,945.8
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	76,897.7	76,897.7	76,897.7
Other Appropriated Funds	36,773.7	56,363.3	56,363.3
Other Non Appropriated Funds	514,495.2	563,170.9	574,684.8
Total Funding	628,166.6	696,431.9	707,945.8
FTE Positions	4,351.7	4,347.0	4,379.5

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. Diversify 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.

Program Summary

INSTRUCTION

Ravneet Chadha, Associate Vice President and Chief Data Officer
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	35,131.6	34,593.9	34,593.9
Other Appropriated Funds	2,263.4	8,444.3	8,444.3
Other Non Appropriated Funds	84,645.9	100,131.1	102,133.9
Total Funding	122,040.9	143,169.3	145,172.1
FTE Positions	1,060.2	1,053.1	1,060.0

◆ **Goal 1** To increase productivity, efficiency, and effectiveness.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Degrees Granted BA/BS and MA/MS	830	851	1,124	1,152	1,181
Number of degrees granted-PhD	33	35	41	42	44
First Professional degrees granted (Non-PhD Other Doctoral degrees)	0	0	404	414	425

Program Summary

ORGANIZED RESEARCH

Ravneet Chadha, Associate Vice President and Chief Data Officer
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	388.7	438.2	438.2
Other Appropriated Funds	4,102.1	2,846.4	2,846.4
Other Non Appropriated Funds	189,407.7	209,697.8	213,891.9
Total Funding	193,898.5	212,982.4	217,176.5
FTE Positions	1,082.7	1,074.6	1,076.8

- ◆ **Goal 1** To establish a stable funding base to support research, education, and service activities

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Total Research & Development Expenditures (thousands)	282,412	289,472	281,053	288,079	296,722
Grants and contracts (sponsored expenditures) (thousands)	0	0	247,824	254,020	260,370
Gifts, grants, contracts (Awards) (thousands)	0	0	338,770	347,239	355,920

Program Summary

PUBLIC SERVICE

Ravneet Chadha, Associate Vice President and Chief Data Officer
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	1,534.2	2,022.4	2,022.4
Other Appropriated Funds	499.5	446.1	446.1
Other Non Appropriated Funds	30,413.4	31,440.5	32,069.2
Total Funding	32,447.1	33,909.0	34,537.7
FTE Positions	170.3	170.3	170.4

- ◆ **Goal 1** To provide quality, accessible poison and medication-related emergency treatment assistance 24 hours a day.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Poison Control call volume per year (in thousands)	23	21	22	23	22
Accredited by the American Association for Poison Control Center Certification as a Regional Poison Control Center.	Yes	Yes	Yes	Yes	Yes

- ◆ **Goal 2** To provide specialty patient care in rural communities and secure State institutions.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number served through Telemedicine (clinical consultations)	25,000	25,000	25,000	25,000	25,000

Program Summary

ACADEMIC SUPPORT

Ravneet Chadha, Associate Vice President and Chief Data Officer
 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	8,587.0	8,587.0	8,587.0
Other Appropriated Funds	18,080.7	27,747.6	27,747.6
Other Non Appropriated Funds	92,602.8	101,213.9	103,488.2
Total Funding	119,270.5	137,548.5	139,822.8
FTE Positions	1,079.5	1,117.9	1,130.9

◆ **Goal 1** To offer education programs that meet standards of excellence

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of students passing Step I of the US Medical Licensing Exam	96	96	98	97	98
Percent of Students passing Step II of the US Medical Licensing Exam	95	98	99	98	98

◆ **Goal 2** To support alternative delivery modes of education for Arizona.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Online Graduate Certificates Awarded	0	0	21	26	30
Number of Online Graduate Degrees Awarded	0	0	289	303	318

Program Summary

STUDENT SERVICES

Ravneet Chadha, Associate Vice President and Chief Data Officer

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	8,000.0	8,000.0
Other Appropriated Funds	2,695.3	2,375.7	2,375.7
Other Non Appropriated Funds	617.2	1,100.3	1,122.4
Total Funding	3,312.5	11,476.0	11,498.1
FTE Positions	26.2	27.2	27.2

◆ Goal 1 To enroll diverse students using the diverse in its broadest meaning.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
% Undergraduate Minority Students	51	53	43.1	45.3	47.6
% Graduate & First Professional Minority Students	46	50	31.2	32.8	34.4

Program Summary

INSTITUTIONAL SUPPORT

Ravneet Chadha, Associate Vice President and Chief Data Officer
 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	5,059.2	2,018.7	2,018.7
Other Non Appropriated Funds	28,069.0	21,217.7	21,642.2
Total Funding	33,128.2	23,236.4	23,660.9
FTE Positions	138.9	115.0	117.0

- ◆ **Goal 1** To enhance community support for the work of the University in the larger community.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Endowment Assets (in thousands)	254,011	269,480	254,011	269,480	282,954
Annual Giving (in thousands)	49,919	52,958	49,919	52,958	55,606

- ◆ **Goal 2** To attract and engage a diverse and high quality workforce

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Minority employees in administrative, faculty, professional and classified positions (percent)	32	35	29.9	30.6	31.4

Program Summary

AUXILIARY PROGRAM

Ravneet Chadha, Associate Vice President and Chief Data Officer
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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	1,463.5	982.8	1,002.4
Total Funding	1,463.5	982.8	1,002.4
FTE Positions	6.4	6.4	6.4

- ◆ **Goal 1** To promote health, wellness and safety by providing quality medical care to rural Arizona.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number served through Telemedicine (clinical & educational consultations)	70,000	80,000	70,000	72,000	75,000

Program Summary

COLLEGE OF MEDICINE, PHOENIX CAMPUS

Ravneet Chadha, Associate Vice President and Chief Data Officer
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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	31,256.2	23,256.2	23,256.2
Other Appropriated Funds	4,073.5	12,484.5	12,484.5
Other Non Appropriated Funds	87,275.7	97,386.8	99,334.6
Total Funding	122,605.4	133,127.5	135,075.3
FTE Positions	787.5	782.5	790.8

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 Veterans, Service Members and their families.

Description:

The Arizona Department of Veterans' Services (ADVS) assists Veterans, Service Members and their dependents with obtaining Federal and State earned benefits. Veteran Benefit Counselors assist Veterans with a variety of VA disability claims, appeals and referrals. The Department operates State Homes for Veterans (ASVH) and Veterans' Memorial Cemeteries (AVMC) throughout Arizona. The homes are self-funded, skilled-nursing facilities that provide short and long term care services to Veterans, their spouses and Gold Star Family Members. The Department manages the State Approving Agency (SAA) that approves schools to offer curriculum to Veterans under the GI Bill. The Department also administers the Military Family Relief Fund (MFRF), the Veterans' Donation Fund (VDF), coordinates statewide services to eliminate homelessness among Veterans, decrease Veteran suicides and increase employment opportunities for Arizona Veterans.

Agency Summary: (\$ Thousands)

Program	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ ADMINISTRATION	4,449.1	4,409.4	4,409.4
➤ VETERANS' SERVICES	3,171.0	6,545.9	6,801.1
➤ STATE VETERANS' HOMES	49,817.2	71,354.8	77,760.4
➤ STATE VETERANS' CEMETERIES	1,690.7	1,426.6	1,478.7
Agency Total:	59,128.0	83,736.7	90,449.6
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	6,009.1	8,625.5	8,932.8
Other Appropriated Funds	35,994.7	50,519.0	59,578.6
Other Non Appropriated Funds	17,124.3	24,592.2	21,938.2
Total Funding	59,128.0	83,736.7	90,449.6
FTE Positions	766.8	778.8	778.8

Department of Veterans' Services

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Wanda A. Wright
Scott Kurish
07/15/2021

Vision:

Arizona Veterans, Service Members and their families will have no barriers to benefits and services they have earned

Mission:

To be the catalyst in response to the evolving needs of Arizona Veterans, Service Members and their families

Agency Description:

The Arizona Department of Veterans' Services (ADVS) assists Veterans, Service Members and their dependents with obtaining Federal and State earned benefits. Veteran Benefit Counselors assist Veterans with a variety of VA disability claims, appeals and referrals. The Department operates State Homes for Veterans (ASVH) and Veterans' Memorial Cemeteries (AVMC) throughout Arizona. The homes are self-funded, skilled-nursing facilities that provide short and long term care services to Veterans, their spouses and Gold Star Family Members. The Department manages the State Approving Agency (SAA) that approves schools to offer curriculum to Veterans under the GI Bill. The Department also administers the Military Family Relief Fund (MFRF), the Veterans' Donation Fund (VDF), coordinates statewide services to eliminate homelessness among Veterans, decrease Veteran suicides and increase employment opportunities for Arizona Veterans.

Executive Summary:

In FY21, ADVS refused to allow the COVID-19 Pandemic to handicap our Herculean efforts to serve our Veterans. Adapting to the crisis by deploying a virtual strategy, we raised our direct services by over 90% over FY20. Arizona Veterans, through our efforts, will receive over \$710 million in VA entitlements, 9% more than last FY. Construction continued at both new ASVHs and is scheduled for completion in CY21. ASVH-T remained a 5 star facility. Both ASVH-P and ASVH-T were again recognized by US News and World Report with their highest rating for long term care facilities. Both homes met the rigid and evolving CMS Pandemic Standards without any serious issues and kept our residents and staff safe, while battling PPE, vaccine and other critical shortages. In-home visits and new admissions have been successfully initiated in Q3. Our Be Connected program continues to thrive and earn national recognition. We significantly added to our partner base and broadened our reach in rural Arizona. Our IT Risk Score continues to lead the State and our ability to provide good stewardship of our finances has strengthened, with cost saving and budget plans prepared by our Assistant Deputy Directors (ADDs). In FY21 ADVS achieved its highest AMS Assessment scores, allowing our teams to solve problems to remove barriers to better customer service. ADVS implemented a robust customer feedback system to track our service. Our Customer compliments out paced our Customer complaints by over 4 to 1. We are Serving more Veterans Better. FY22 will result in ADVS becoming a Long Term Care coordinated System operating 4 quality homes. We will expand our reach in the community by developing new partners and enhancing our relationship with current ones, especially in Tribal Communities. We will increase our efforts to reduce Veteran Homelessness by naming a State Homeless Coordinator and continue to improve all of our services through relationships and technology.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes
1	Significantly reduce the Veteran suicide rate in Arizona	2018	ADVS added 90 new partners through the Be Connected Roadshow. We expanded our reach offering services in rural areas. ADVS remains a national model through their efforts participating in the Governor's Challenge to reduce Veteran suicide. Be Connected calls increased by 9%.
2	Operate our long term care facilities that all carry 5-Star ratings	2018	ASVH-T has carried the 5-Star rating for four years while ASVH-P has risen to 4 Stars in Quality Measures. Both homes also achieved the US News and World Report's highest rating for the second straight year. Construction for ASVH-F and ASVH-Y are on schedule and will open in FY22 using the Standardized Work deployed by ASVH-P and ASVH-T. ADVS has partnered with ADOH to provide safe conditions for residents and staff at our homes
3	Support ADVS expansion through effective leadership, guidance, administrative and infrastructure services	2019	In FY21, ADVS continued to hone our AMS Skills. We scored 4.4 on our latest assessment making us one of the state agency leaders. We strengthened our 1:1 process by measuring our Gemba walks for that process. We tracked and completed more CI projects than any prior year. IT keeps our risk score among the best in the State while creating innovations that have led to our teleworking success. Our HR team is successfully recruiting and hiring quality candidates for our current growth and our Purchasing team has accomplished miracles getting us the PPE and other supplies and contracts to help us thrive during the Pandemic. All this was tied together by the dynamic leadership team that keeps us one step ahead at all times by anticipating and solving problems.
4	To be Arizona's proven top choice for Veterans' services	2017	Arizona Veterans currently receive over \$59 million per month in VA monetary benefits, an increase of 9% over the last year. ADVS funded 189 Veteran Tool Kits helping Veterans find jobs. ADVS increased direct services to Veterans to over 38,000 per month. ADVS granted over \$311K in MFRF money to aid Veterans in need. We increased our contacts with first time participants to 5866. ADVS has developed partnerships with ADES and ADOA to help Veterans find and maintain valuable employment.

Department of Veterans' Services

Fiscal Year 2022 Strategic Plan 2-pager
Strategy # FY22 Annual Objectives

Current Annual Focus
Annual Initiatives

		Objective Metrics	
#1	Increase engagements with high risk segments of the Veteran population	<ul style="list-style-type: none"> % of need with assigned resource # of high risk Veterans reached (BT) # Veterans requesting mental health referrals # of VBC referrals to Be Connected 	<ul style="list-style-type: none"> Increase engagements with specialty partners and providers Deploy a plan to identify high risk Veterans Conduct Public Service campaigns Convert Transportation survey data to an Action Plan Identify a method to understand the characteristics of our served population Plan and hold Pop-up outreach events
#2a	Increase combined rating to an average of 5-Stars.	<ul style="list-style-type: none"> Monthly quality of care score Monthly census # of nursing hours per resident # of RN hours per resident # of Medicare/Medicare Advantage Residents 	<ul style="list-style-type: none"> Continue to increase advanced training opportunities for clinical staff Hone a business plan that promotes efficiencies to better serve our residents and staff to include Medicare/ Medicare Advantage Rehab services plan Maintain US News and World Report rankings for nursing homes Achieve 90% census at all homes Develop a Customer Service Survey
#2b	Ready ASVH-Flagstaff and ASVH-Yuma for opening.	<ul style="list-style-type: none"> % of home opening milestones met (BT) 	<ul style="list-style-type: none"> Complete 17 tiered A-3's for establishment of ASVHs
#3	<p>Staffing to desired levels.</p> <p>Effective use of our budget as our Agency expands.</p>	<ul style="list-style-type: none"> Funded vacancy rate % of expenditures to budget % of ASVH-Y positions filled % of ASVH-F positions filled % ADOA Security Control Adoption # of Standard Work Documents updated or created 	<ul style="list-style-type: none"> Continue training each Assistant Deputy Director to manage their own budget Leverage the best practices learned from the COVID-19 crisis Develop a long term ADVS Facilities Maintenance plan and Budget Maximize adoption of ADOA Security Control Policies
#4	<p>Eliminate barriers to quality service.</p> <p>Reach more veterans</p>	<ul style="list-style-type: none"> Federal dollars leveraged Dollars in donations % of agency complaints resolved in established time frame # of direct services provided # of First Time customer contacts # of New Rural community partner contacts # of community and Tribal engagement points 	<ul style="list-style-type: none"> Continue to redesign the MFRF process for efficiencies Continue headstone alignment projects in all three State Veterans' Memorial Cemeteries Develop and deploy a strategy to leverage the different types of Veteran community partners Modernize and maximize our technology Implement Website Modernization Plan Finalize the plan to increase community engagement points Deploy plan to increase first time customers

5 Year Plan

Issue 1 Significantly reduce the Veteran suicide rate in Arizona

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 three 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, FY21 and in FY22; this appropriation allows 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.

ADVS added 90 new partners through the Be Connected Roadshow. We expanded our reach offering services in rural areas. ADVS remains a national model through their efforts participating in the Governor's Challenge to reduce Veteran suicide. Be Connected calls increased by 9%.

ADVS will increase engagements with specialty partners and providers; deploy a plan to identify high risk Veterans; conduct Public Service campaigns; convert Transportation survey data to an Action Plan; identify a method to understand the characteristics of our served population and plan and hold Pop-up outreach events.

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 is building 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 the end of 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 would 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. Additionally, Arizona allocated in FY22 another \$25 million for the construction and establishment of another skilled nursing Veteran home in the north-western region of the State. This funding will pay for the 35% required as matching funds by the U.S. Department of Veteran Affairs.

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 four years and is in route to maintaining it for a fifth year. The Phoenix facility, which was rated as a 2-Star facility, has recently seen its rating raised to a 3-Star facility, an incredible achievement in less than three years. ADVS is implementing various strategies to be able to maintain Tucson's rating as a 5-Star, increase Phoenix from 3-Star to 5-Star and operate the new facilities in Flagstaff and Yuma as 5-Star facilities from their opening and certification forward.

Solutions:

Arizona State Veteran Home (ASVH) - Tucson has carried the 5-Star rating for four years while ASVH-Phoenix has risen to 4 Stars in Quality Measures. Both homes also achieved the US News and World Report's highest rating for the second straight year. Construction for ASVH-F and ASVH-Y are on schedule and will open in FY22 using the Standardized Work deployed by ASVH-P and ASVH-T. ADVS has partnered with ADOH to provide safe conditions for residents and staff at our homes.

ADVS will continue to increase advanced training opportunities for clinical staff; hone a business plan that promotes efficiencies to better serve our residents and staff to include Medicare/ Medicare Advantage Rehab services plan; maintain US News and World Report rankings for nursing homes; achieve 90% census at all homes and develop a Customer Service Survey

Issue 3 Support ADVS expansion through effective leadership, guidance, administrative and infrastructure service.

Description The Arizona Department of Veterans' Services (ADVS) received additional General Fund monies in FY20, FY21 and in FY22 for its suicide prevention program (\$1.2 million) and for a new trauma treatment services training program (\$450,000); additionally, ADVS continued construction of two new 80-bed skilled nursing facilities in Flagstaff and Yuma. ADVS also received additional funding in FY22 to increase services at all four State Homes for Veterans and fund 12 additional Veteran Benefits Counselor positions. Additionally, ADVS received a \$25 million appropriation for the construction and establishment of a new State Veteran Home in the North-Western region of the State; this funding is intended as the State's 35% match required by the U.S. Department of Veteran Affairs. These new programs and new facilities require additional resources and result in additional transactions in every area of Administration and operation.

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 has contracted a non-profit organization to provide direct services to the veteran population. The trauma treatment services training program operates as a grants program making the entire appropriation (\$450,000) available to uniquely qualified service providers; ADVS absorbs 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 760.3 FTEs. 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. Historically, ADVS serves approximately 293 residents (175 residents in Phoenix and 118 residents in Tucson) or 91 occupancy, but ADVS is working to increase its occupancy rate to at least 93% (469 out of 480 beds), which means a 60% 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.

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 budgets; 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 for the administration of available resources.

In FY21, ADVS continued to hone our AMS Skills. We scored 4.4 on our latest assessment making us one of the state agency leaders. We strengthened our 1:1 process by measuring our Gemba walks for that process. We tracked and completed more CI projects than any prior year. IT keeps our risk score among the best in the State while creating innovations that have led to our teleworking success. Our HR team is successfully recruiting and hiring quality candidates for our current growth and our Purchasing team has accomplished miracles getting us the PPE and other supplies and contracts to help us thrive during the Pandemic. All this was tied together by the dynamic leadership team that keeps us one step ahead at all times by anticipating and solving problems.

ADVS will continue training each Assistant Deputy Director to manage their own budget; leverage the best practices learned from the COVID-19 crisis; develop a long term ADVS Facilities Maintenance plan and Budget and maximize adoption of ADOA Security Control Policies.

Issue 4 To be 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 \$55 million each month or over \$660 million each year.

Solutions:

ADVS will actively pursue resources to increase the number of residents served at all four of its nursing home facilities; two currently operational (Phoenix and Tucson) and two currently under construction (Flagstaff and Yuma). ADVS invested and will continue to invest on better technology solutions to enhance the customer's experience while receiving services from ADVS remotely and for those who receive services at the State Homes for Veterans. Veterans Benefit Counselors (VBCs) are able to see clients virtually (through video conferencing solutions) throughout the State; this allows them to reduce the time clients have to wait for them because a VBC in one area can see a client from the opposite side of the State, eliminating the need to travel for the client and the VBC. These enhanced services allow VBCs to increase the number of appointments which benefit more clients. Other technology enhancements being deployed will eliminate duplication of efforts, ensure all forms are completed correctly and eventually allow many clients to schedule their own appointments. Expedited access to information from clients ensures that VBCs have more time to see more clients and to provide more effective communication with each client seen.

Additionally, ADVS redesigned its Military Family Relief Fund processes to expedite applicants' emergency payments, ADVS will amend the Road Map to Veteran employment, ADVS developed and deployed an improved complaint process and initiate headstone alignment projects in all three State Veterans' cemeteries.

Arizona Veterans currently receive over \$59 million per month in VA monetary benefits, an increase of 9% over the last year. ADVS funded 189 Veteran Tool Kits helping Veterans find jobs. ADVS increased direct services to Veterans to over 38,000 per month. ADVS granted over \$311K in MFRF money to aid Veterans in need. We increased our contacts with first time participants to 5866. ADVS has developed partnerships with ADES and ADOA to help Veterans find and maintain valuable employment.

ADVS will continue to redesign the MFRF process for efficiencies; continue headstone alignment projects in all three State Veterans' Memorial Cemeteries; develop and deploy a strategy to leverage the different types of Veteran community partners. Modernize and maximize our technology; implement Website Modernization Plan; finalize the plan to increase community engagement points and deploy plan to increase first time customers.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	772.3	772.3	772.3
General Fund	8,932.8	8,932.8	8,932.8
Other Appropriated Funds	63,197.6	63,197.6	63,197.6
Non-Appropriated Funds	495.0	495.0	495.0
Federal Funds	1,000.0	1,000.0	1,000.0

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 our customers and partners

Description:

The Administration Division provides supportive services to Veteran Benefits Counselors, Arizona State Veterans' Homes, Arizona Veterans' Memorial Cemeteries and all other services provided by the Arizona Department of Veterans' Services (ADVS). The Division is the backbone that ensures the rest of ADVS has the resources needed to assist veterans and their families. The units that make up the Administration Division include: Facilities Project Management, Financial Services, Human Resources, Information Technology, Loss Prevention, Procurement, and Administrative Support. These units provide training, guidance and assistance to other areas to ensure compliance with best practices and to gain an understanding of their operational needs to proactively address them while complying with all requirements.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,401.3	2,364.0	2,364.0
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	2,047.8	2,045.4	2,045.4
Total Funding	4,449.1	4,409.4	4,409.4
FTE Positions	46.8	46.8	46.8

- ◆ **Goal 1** To support ADVS expansion through effective leadership, guidance, administrative and infrastructure services

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Funded vacancy rate	22.7	20	24.2	15	12
Explanation: Number of positions vacant divided by the number of funded positions					
VBC turnover rate	10	15	4	5	5
Explanation: Calculation of positions vacated in comparsion to positions filled for year					
Percentage of ASVH-Flagstaff positions filled	0	0	5.9	80	95
Explanation: Number of positions filled at the Arizona State Veteran Home (ASVH) - Flagstaff divided by the total number of funded positions at ASVH-Flagstaff					
Percentage of ASVH-Yuma positions filled	0	0	5.9	90	95
Explanation: Number of positions filled at the Arizona State Veteran Home (ASVH) - Yuma divided by the total number of funded positions at ASVH-Yuma					
Percentage of expenditures to budget	0	0	89.9	95	99
Explanation: Actual dollars spent divided by appropriation.					
Percentage of ADOA Security Control Adoption	0	0	80	90	100
Explanation: Number of Arizona Department of Administration (ADOA) Security Control policies adopted by the Department divided by the number of ADOA Security Control policies.					
Number of standard work documents updated or created	0	0	250	300	350
Explanation: Hand count of the number of standard work documents updated or created and published by the Department.					

Program Summary

VETERANS' SERVICES

Gerardo Ochoa, Assistant Deputy Director
Phone: (602) 234-8432
A.R.S. §§ 41-603 et. seq.

Mission:

To provide the best advocacy and services in Arizona for Servicemembers, Veterans and their families in obtaining federal and state benefits for Veterans

Description:

The Arizona Department of Veterans' Services (ADVS) Veterans Services Division (VSD) advocates for and assists Servicemembers, Veterans and their family members with obtaining federal and state benefits they are entitled to. The Division consists of Regional Managers (RM) and Veterans Benefits Counselors (VBC) who assist customers with advocacy, claim preparation and submission, appeals and referrals; three Veterans' Memorial Cemeteries throughout Arizona; State Approving Agency (SAA) that qualifies schools to offer curriculum to Veterans under the GI Bill; and Quality Review Team (QRT) and Training and Information Manager who provide claim oversight, appeal hearing representation and training to Regional Managers, VBCs, Cemetery staff and other agency staff.

Funding:

	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	2,612.5	5,319.9	5,575.1
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	558.5	1,226.0	1,226.0
Total Funding	3,171.0	6,545.9	6,801.1
FTE Positions	57.0	69.0	69.0

- ◆ **Goal 1** To be Arizona's proven top choice for Veterans' services.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Federal VA Compensation & Pension Benefits Paid Monthly in Millions of Dollars to Veterans & Families Utilizing ADVS	57.6	58	58.6	60	62.5

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.

Dollars received in donations 0 0 4,055.4 4,206.0 4,350.0

Explanation: Hand count of dollars received in donations by the Department

Percentage of agency complaints resolved within the established timeframe

Explanation: Number of agency complaints resolved within three business days divided by the total number of complaints received

◆ **Goal 2** To reach more Veterans

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of Veterans and Families Provided Direct Service from ADVS	20,471	17,500	369,714	435,000	500,000
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).					
Number of first-time customer contacts	0	0	N/A	4,200	4,500
Explanation: The number of Veterans who are being contacted by ADVS for the first time					
Number of agency complaints	0		103	144	100
Explanation: The number of complaints/concerns issued to our agency by our customers. Sum of complaints listed on Divisional scorecards.					
Number of new rural community partner contacts	0	0	N/A	12	18
Explanation: The number of new Veteran Service Partners located in rural areas that have itinerate sites					
Number of community and Tribal engagement points	0	0	N/A	30	36
Explanation: The number of community and tribal contacts made to help Veterans.					

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 December 2021.

Funding:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	35,994.7	50,519.0	59,578.6
Other Non Appropriated Funds	13,822.5	20,835.8	18,181.8
Total Funding	49,817.2	71,354.8	77,760.4
FTE Positions	644.0	644.0	644.0

◆ **Goal 1** To Increase Combined Rating of all State Veteran Homes to an Average of 5 Stars

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
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Percent Combined Occupancy Rate at State Veteran Homes 63 95 66.9 75 90

Explanation: Combined average monthly census (occupancy) expressed as a percentage for each home; Phoenix 200 beds, Tucson 120 beds, Flagstaff 80 beds & Yuma 80 beds.

Monthly census (occupancy) 0 0 214 360 432

Explanation: The total number of Veterans we care for in our nursing homes. Total number of beds occupied at the Tucson facility (120 beds available) plus Phoenix (200 beds), plus Flagstaff (80 beds) & Yuma (80 beds).

Number of Medicare / Medicare Advantage Residents 0 0 N/A 5 10

Explanation: Number of residents charging Department services to Medicare or Medicare Advantage

Monthly quality of care score 0 0 1,310 1,470 1,470

Explanation: Total points received from Monthly CMS Quality Care reporting

Number of nursing hours per resident day 0 0 4.84 4.24 4.24

Explanation: Average number of daily hours of care the ADVS nursing staff and registry staff provides to each resident.

Number of Registered Nurse (RN) hours per resident day 0 0 0.83 0.6 0.6

Explanation: The ratio of Registered Nursing hours expended per resident in house averaged between our two homes.

◆ **Goal 2** To Ready ASVH - Flagstaff and ASVH - Yuma for opening

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of home opening milestones met	0	100	76.6	100	100

Explanation: Number of combined (ASVH-Flagstaff and ASVH- Yuma) of opening milestones divide to the total number of milestones

Program Summary

STATE VETERANS' CEMETERIES

R. Scott Fincher, Assistant 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	995.3	941.6	993.7
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	695.4	485.0	485.0
Total Funding	1,690.7	1,426.6	1,478.7
FTE Positions	19.0	19.0	19.0

◆ **Goal 1** To Achieve "Best in Class" Rating in Dignified Burials

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of headstones installed and properly aligned	0	0	581	936	936

Explanation: Total number of headstones and markers aligned to ensure all are aligned annually

Program Summary

PUBLIC AND INTERGOVERNMENTAL AFFAIRS

Nicole Baker, Assistant Deputy Director
Phone: (480) 369-9255
A.R.S. § 41-601.D

Mission:

To increase awareness, understanding and support of the Department and its initiatives.

Description:

The Division plays a key role in enhancing the Department's reputation through interactions and outreach with the media, stakeholders, Federal, state and local government entities, community partners, veterans service organizations and Arizona's Veterans, service members and their families. The PIA Division also manages the Arizona Military Family Relief Funds (MFRF), Arizona Veteran Supportive Campuses (AVSC), Minority/Women Veteran Programs, Veteran Toolkit, Honorary Diploma Program, Trauma Treatment Services, community-based grants, Arizona Action Plan to End Homelessness Among Veterans, Arizona Roadmap to Veteran Employment, Tuition Waiver and other special initiatives designed to serve Arizona's military and Veteran community.

◆ Goal 1 To significantly reduce the Veteran suicide rate in Arizona

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Track average time from voicemail to call back	0	48	24	22	20

Explanation: Total number of hours taken to respond from the time a voice mail was left divided by the total number of calls

Percentage of calls returned within established time frame	0	0	100	100	100
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Explanation: Number of calls returned in timeframe divided by total amount of calls

Percent of need with assigned resource	0	0	N/A	80	90
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Explanation: The percentage of Be Connected caller needs that are assigned a resource that can fill that need

Number of high-risk Veterans reached	0	0	N/A	12,000	12,000
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Explanation: The number of Veterans who are at high risk of death by suicide reached by our staff and partners

Number of Veterans requesting mental health referrals	0	0	N/A	120	120
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Explanation: Number of Veterans who call our staff or partners that request referral to a mental health group

Percentage of VBC referrals to Be Connected	0	0	N/A	80	90
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Explanation: The number of times that a Veteran Benefits Counselor refers a customer to Be Connected to receive services divided by the total number of Veterans engaged per month.

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	0.0	0.0	0.0
Other Appropriated Funds	525.8	601.8	714.6
Other Non Appropriated Funds	0.0	0.0	0.0
Total Funding	525.8	601.8	714.6
FTE Positions	5.0	6.0	7.0

5 Year Plan

Issue 1 To continue to streamline internal processes and offer customers more online options, the agency needs to invest in and launch an e-licensing system.

Description The agency continually strives to increase efficiency, cost-effectiveness, and customer satisfaction. By providing an online solution for license applications, renewals, license verifications and other needs, all these objectives 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.

Moving to an affordable e-licensing system that allows configuration by Board staff with no coding, will immediately move the agency away from a heavy paper-based system. Managing, storing, retaining paper records is an outdated method of doing business.

Solutions:

Research on e-licensing systems began in FY16. 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. In FY20-21, options were further narrowed. Ideally, funding is granted for an FY23 launch in order to use the new system in Fall/Winter 2022's license renewal period.

Besides offering a streamlined online application process, 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. The system should offer API capability to easily receive and share information, such as national test scores from the national exam providers.

Issue 2 The Board does not have the staffing to complete enough "random" premises inspections so that premises statewide are inspected a minimum of every 5 years.

Description By law, new applicants for premises licenses must be inspected to determine if the facilities/practices comply with standards stated in statute and administrative rules. The agency has always been able to ensure that these inspections took place in the timeframe required. As well, while not required, the agency conducts "random" inspections, as resources allow, to visit premises that were previously licensed. The public expects facilities to meet the minimum statutory and administrative rule standards. To fulfill its mission, the agency needs the additional resources to ensure that premises and animal crematories are operating safely and appropriately, by inspecting on a more regular basis.

The agency employs one staff member who is responsible for premises and animal crematory inspections and all administrative tasks related to premises/animal crematory licensing and license renewals. With only one inspector, the agency was already stretched to complete as many "random" inspections as would be desirable to ensure that premises maintain the standards that they had previously shown to meet. The number of premises now is significantly higher than 2 decades ago when the position of inspector was created. Now, with the backlog of inspections created by COVID, more staffing is needed.

On-site inspections were stopped in April 2020 due to COVID-19 and the related safety of Board staff and staff of premises to be inspected. Until April 2021, the Board worked with premises to conduct "self inspections" which were submitted to Board staff for review and noted corrections needed. The inspector is now circling back to these premises to conduct in-person inspections. However, new license applications will continue to be submitted and those must take priority over "random" inspections, creating a backlog of "random" inspections.

Unlike human physician offices, veterinary facilities conduct surgeries, dispense medications, conduct many types of diagnostics, and administer and dispense controlled substances. Checking on premises more than the required one time prior to licensure on a more regular basis is a critically needed improvement.

Solutions:

During FY21, the agency researched the need and process for adding another inspector position, which the Board has approved for FY23 if funding is granted.

The new inspector's focus would be on "random" inspections based on date of last inspection, results of a previous inspection, or a complaint. It is projected that this inspector in Year 1 could possibly "catch up" "random" inspections through those last visited in 2016, getting the agency close to its goal of inspections at least every 5 years if the number of licensees and new applications remains stable.

Another benefit of adding an inspector is to provide back-up should the other inspector become unavailable. We learned through the months of covid-restrictions how important it is to have contingency plans.

Because the inspectors are working outside of the office on most business days, it will not be necessary for the agency to add space or furniture for the new employee. It is expected that the inspectors will share cubicle space.

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 began in FY21. 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. Because this system may enhance or conflict with any future E-licensing systems, this project needs to follow the launch of an E-licensing system.

Issue 4 Few resources exist for licensees to seek support and treatment when challenged 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. 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

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	7.0	7.0	7.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	714,600.0	714,600.0	720,000.0
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 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Premises licensed	165	170	201	180	180
Veterinary applications processed	303	325	260	275	275
Veterinary technicians certified	130	130	101	110	120
Administration as a % of total cost	8.7	8	8	8	8
Total number of premise renewals	0	910	895	0	900
Total number of veterinarians licensed annually, including renewals	2,885	2,800	2971	3070	2900
Total number of veterinary renewals in biennial renewal process. Reinstatements included.	8	2,700	2970	10	2970
Total number of technician renewals in biennial process. Reinstatements included.	10	1,175	1248	5	1195
Total certified technicians	1,263	1,200	1248	1,275	1245

◆ **Goal 2** To rapidly investigate complaints and provide enforcement to protect the public from incompetent service and unprofessional and unethical conduct.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of complaints docketed	125	125	159	140	140
Number of complaints resolved	94	95	139	110	110
Disciplinary actions	21	15	17	15	15
Average number of calendar days from receipt of complaint to resolution	194	180	194	202	190
Number of annual investigations conducted	94	95	85	85	85
Number of investigations resulting in enforcement action	23	15	20	15	15

◆ **Goal 3** To ensure that licenses are granted to competent professionals with high standards of professional and ethical conduct.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percent of disciplinary actions to number of licensed veterinarians	1	1	1	1	1
Total licenses, permits, and certificates issued (excluding renewals)	615	600	569	570	570
Percent of customers responding excellent or good on customer satisfaction survey	100	98	100	96	96

◆ **Goal 4** To ensure that the rules developed to license pet crematory facilities are met when licensing and thereafter.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of licenses issued for pet crematory facilities	1	1	3	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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
➤ AGENCY SUPPORT	6,410.5	7,810.8	8,361.8
➤ WATER RESOURCES AND STATEWIDE PLANNING	194,681.9	66,254.5	32,817.1
➤ DAM SAFETY AND FLOOD WARNING	1,164.1	1,841.9	1,783.5
Agency Total:	202,256.4	75,907.2	42,962.4
Funding:	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	174,467.8	18,424.4	20,353.3
Other Appropriated Funds	2,093.6	2,506.6	1,612.5
Other Non Appropriated Funds	25,695.0	54,976.2	20,996.6
Total Funding	202,256.4	75,907.2	42,962.4
FTE Positions	176.0	176.0	183.0

Arizona Department of Water Resources (ADWR)

Fiscal Year 2022 Strategic Plan 2-pager

Agency Director:
Strategic Planner:
Last modified:

Thomas Buschatzke
Scott Selin
July 15, 2021

ADWR's Vision: Reliable Water Supplies to meet the Needs of Current and Future Arizonans

Mission: To safeguard the health, safety and economic welfare of the public by protecting, conserving and enhancing Arizona's water supplies 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 implementing the Arizona Reconsultation Process and by executing the DCP implementation plan.

Support General Streams Adjudication by completing multiple major technical reports.

Protect the Life and Property of Arizonans by helping dam owners address their safety deficiencies, auditing local floodplain management plans and responding to requests for flood assistance.

Improve the Accessibility and Accuracy of Arizona's Water Data by advancing a data quality initiative and by publishing new dashboards online.

Advance Water Planning Priorities by completing and publishing drafts of 5th Management Plans in the Active Management Areas (AMAs).

Recruit, Retain, and Develop Highly Skilled Personnel by implementing post-COVID telework, reducing reliance on employee-owned equipment and reclassifying Hydrogeologist and Water Resources positions.

Support Ongoing Drought Mitigation Measures by collaborating with the Drought Mitigation Board to establish policy detailing ADWR's responsibility in supporting the newly formed committee.

Summary of Multi-Year Strategic Priorities

#	Five Year Strategy	Start Year	Progress / Successes (FY 2021)
1	Protect the Colorado River System	2017	Launched the Arizona Reconsultation Committee with CAWCD. Held Steering Committee and Modeling and Analysis Workgroup meetings. Engaged in Basin States meetings. Distributed \$8.2M from DCP Funds and awarded \$2.0M in DCP groundwater conservation grants. Confirmed well construction meets State standards for all new/modified wells under DCP.
2	Support General Streams Adjudication	2017	Completed 94% of court assignments before deadline. Completed Phase II of Adjudications Investigation System web tools.
3	Protect the Life and Property of Arizonans	2017	Completed planned milestones (5 of 9) to address safety deficiencies for a high-priority dam. Audited flood plain management programs for NFIP Communities.
4	Improve the Accessibility and Accuracy of Arizona's Water Data	2018	Automated loading of drought data into the data warehouse. Began agency-wide data quality program. Expanded interactive data dashboards and websites in multiple programs. Created queries to help ADHS contact well owners.
5	Advance Water Planning Priorities	2019	Completed remaining 4 th Management Plans (MP), completed the development phase for 5 th MPs. Maintained Licensing Timeframes for Notice of Intent to Drill wells applications, which have increased 38% since 2015. Reinstated Instream Flow Program.
6	Recruit, Retain, and Develop Highly Skilled Personnel	2018	Revamped ADWR Telework policy. Purchased equipment to reduce reliance on personally owned computers for telework. Drafted a proposal to update Hydrogeologist job class series. Successfully transitioned ADWR's Engineers into ADOT's Engineering series.
7	Support ongoing Drought Mitigation Measures	2021	Drought Mitigation Board was created during the 2021 Legislative Session.

Arizona Department of Water Resources

Fiscal Year 2022 Strategic Plan 2-pager

Current Annual Focus

#	FY22 Annual Objectives	Objective Metrics	FY 2022 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	<ol style="list-style-type: none"> 1) Implement the Arizona Reconsultation Committee process 2) Execute Arizona DCP implementation plan (shortage mitigation)
2	Meet all court-imposed deadlines for General Streams Adjudication proceedings	% of assignments from the Adjudications Court completed by the deadline	<ol style="list-style-type: none"> 1) Complete Lower Little Colorado River Hydrographic Survey Report and two reports on Verde River de minimus usage 2) Collaborate with Courts to create an allocation plan for new Adjudications and obtain Joint Legislative Budget Committee approval
3	Assist owners in decreasing safety deficiencies at unsafe high-hazard dams	# of milestones for addressing safety deficiencies completed	<ol style="list-style-type: none"> 1) Complete 2 of 4 remaining milestones for addressing safety deficiencies for Jacques Dam & Black Canyon Dam
3	Mitigate flood risk by auditing floodplain management (FPM) programs	-# of National Flood Insurance Program (NFIP) Communities Audited -Response time to requests for flood assistance	<ol style="list-style-type: none"> 1) Complete audits of FPM Programs for 15 NFIP Communities 2) Respond to requests for flood assistance by communities subject to post-fire flooding within 2 business days
3	Complete study of Agua Fria River	# of milestones completed for hydrologic study of Agua Fria River	<ol style="list-style-type: none"> 1) Develop milestones for completion of study 2) Develop a scope of work and award a contract to a qualifying vendor
4	Increase public ability to query and retrieve quality data	Level of Maturity as rated by a comprehensive model for data management practices	<ol style="list-style-type: none"> 1) Complete Phase 1 and begin Phase 2 of initiative to improve data quality 2) Stand up data dashboards on ADWR website for all 3 water use sectors (Agricultural, Municipal, Industrial) within the AMAs
5	Facilitate the presentation of recommendations to GWAICC	% of Committees that bring issues to the Council for potential action	<ol style="list-style-type: none"> 1) Pursuant to direction from the Governor's Office, bring recommended actions to the Council to supplement committee recommendations
5	Develop, draft and adopt 5 th Management Plans (MPs) for the 5 AMAs	% of 5th MP Initial Drafts Published	<ol style="list-style-type: none"> 1) Complete & publish initial drafts of 5th MPs for all 5 AMAs 2) Solicit feedback on draft regulatory language from stakeholders
6	Bring salary levels for targeted positions closer to market	% turnover % of job offers accepted	<ol style="list-style-type: none"> 1) Obtain permission to use revised classification structure for Hydrogeologist Positions and Water Resource Specialist positions 2) Develop and execute plan for \$2.8M in targeted salary adjustments
6	Formalize retention of institutional knowledge	% of ADWR with written succession plan	<ol style="list-style-type: none"> 1) Develop succession plans in each section within ADWR
6	Support ongoing telework	% of in-office hours worked	<ol style="list-style-type: none"> 1) Implement post-COVID telework protocol 2) Reduce reliance on employee's personally owned equipment
7	Establish administrative and technical support for Drought Mitigation Board (DMB)	# of Drought Mitigation Board Meetings Supported	<ol style="list-style-type: none"> 1) Collaborate with the DMB to create policy detailing the administrative and technical support that ADWR will provide.

5 Year Plan

Issue 1 Protect the CO River System

Description ADWR seeks to protect the Colorado River System and reduce the percentage probability of arriving at a critically low Lake Mead elevation.

Solutions:

To reduce the risk of Lake Mead falling to critical levels, ADWR will continue implementing the DCP by 1) implementing the Arizona Reconsultation Committee process, and 2) executing the Arizona DCP implementation plan.

For more information, see ADWR's Strategic Plan that is posted online.

Issue 2 Support General Streams Adjudication

Description ADWR provides technical and administrative support for the general streams adjudication. The agency's goal is to complete 100% of court assignments by deadline.

Solutions:

ADWR seeks to support the General Streams Adjudication proceedings by 1) completing the Lower Little Colorado River Hydrographic Survey Report as well as two reports on Verde River de minimus usage and 2) collaborating with the Courts to create an allocation plan for new Adjudication monies.

For more information, see ADWR's Strategic Plan that is posted online.

Issue 3 Protect Life and Property of Arizonans

Description ADWR seeks to protect life and property through implementation of a process to assist dam owners in decreasing safety deficiencies at high-hazard dams, conducting audits of National Flood Insurance Program (NFIP) communities, responding to requests to post-fire flood assistance, and by completing a hydrologic study of the Agua Fria river.

Solutions:

ADWR has created a process to address safety deficiencies at a high hazard dam. The agency intends to complete 2 of the remaining 4 milestones in FY 2022 to address safety deficiencies at a high priority dam identified in an analysis completed during FY 2020. Additionally, ADWR will complete audits of 15 NFIP communities, respond to requests for flood assistance within 2 business days, and develop a scope of work for the hydrologic study of the Agua Fria River and award a contract to a qualifying vendor.

For more information, see ADWR's Strategic Plan that is posted online.

Issue 4 Improve the Accessibility and Accuracy of Arizona's Water Data

Description ADWR seeks to increase public ability to query and retrieve quality data.

Solutions:

During FY 2021, ADWR will complete Phase 1 of an agency-wide initiative to improve data quality and initiate Phase 2. Additionally ADWR will set up data dashboards on the ADWR website for all 3 water use sectors within the Active Management Areas.

For more information, see ADWR's Strategic Plan that is posted online.

Issue 5 Advance Water Planning Priorities

Description ADWR seeks to advance its water planning priorities by facilitating the presentation of recommendations to the Governor's Water Augmentation, Innovation, and Conservation Council (GWAICC), developing/drafting/adopting 5th Management plans for the 5 Active Management Areas.

Solutions:

ADWR will, pursuant to Governor's Office direction, bring recommended actions to the GWAICC to supplement committee recommendations.

In FY 2022, ADWR will complete and publish initial drafts of 5th Management Plans for all 5 Active Management Areas and will solicit feedback on draft regulatory language from stakeholders.

For additional information, see ADWR's Strategic Plan posted online.

Issue 6 Recruit, Retain, and Develop Highly Skilled Personnel

Description ADWR has determined that in order to better recruit, retain, and develop the skilled personnel and institutional knowledge necessary to fulfill ADWR's mission, ADWR needs to promote creation of written succession plans. Additionally, ADWR seeks to support ongoing telework over the next year. Additionally, ADWR needs to continue to address salary levels for targeted positions within the Department.

Solutions:

During FY 2022, ADWR will develop written succession plans within each section of ADWR.

ADWR will implement post-COVID telework protocol and will reduce reliance on personal equipment owned by employees.

ADWR will finalize permission to use revised classification structure for Hydrogeologist positions and Water Resources Specialist positions. ADWR will also develop and execute a plan for \$2.8 million in targeted salary adjustments.

For additional information, see ADWR's Strategic Plan posted online.

Issue 7 Establish administrative and technical support for the Drought Mitigation Board

Description ADWR will provide support to the newly formed Drought Mitigation Board.

Solutions:

ADWR will collaborate with the Drought Mitigation Board, once instituted, to create a policy detailing the administrative and technical support that ADWR will provide.

Resource Assumptions

	FY2024 Estimate	FY2025 Estimate	FY2026 Estimate
Full-Time Equivalent Positions	194.0	194.0	194.0
General Fund	23,334.4	20,334.4	20,334.4
Other Appropriated Funds	1,362.5	1,362.5	1,362.5
Non-Appropriated Funds	20,567.1	20,567.1	20,567.1
Federal Funds	379.5	379.5	379.5

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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	5,089.9	6,515.4	8,035.5
Other Appropriated Funds	1,217.8	1,294.4	325.3
Other Non Appropriated Funds	102.8	1.0	1.0
Total Funding	6,410.5	7,810.8	8,361.8
FTE Positions	47.0	47.0	50.0

- ◆ **Goal 1** To recruit, retain, and develop highly skilled staff

◆ **Goal 2** To increase public ability to query and retrieve quality data

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Level of maturity as rated by a comprehensive model for data management practices.	0	0	2.45	2.6	0

◆ **Goal 3** To evaluate agency performance

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of transactions completed online	0	25	26	25	25
Number of accurate media hits about Arizona water sustainability per month	0	30	50	35	35
Number of ADWR newsletter subscribers	0	11,331	11,384	12,944	0
Arizona Management System Deployment Percentage	0	0	85	100	0
Arizona Management System implementation score	0	0	3.17	3.5	0

Program Summary

WATER RESOURCES AND STATEWIDE PLANNING

Clint Chandler, Deputy 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	168,888.1	11,344.2	11,661.4
Other Appropriated Funds	875.8	1,212.2	1,287.2
Other Non Appropriated Funds	24,918.0	53,698.1	19,868.5
Total Funding	194,681.9	66,254.5	32,817.1
FTE Positions	118.0	118.0	121.0

◆ Goal 1 To reduce the lead time for processing applications

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Average lead time (in days) for an application for Notice of Intent to Drill a Well	0	6	6	6	0

◆ Goal 2 To track the volume of water deliveries stored by the Water Banking Authority for future use

Performance Measures	<u>FY 2020 Actual</u>	<u>FY 2021 Estimate</u>	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
Cumulative volume (in acre feet) of water deliveries stored for future use by the Arizona Water Banking Authority	0		0	0	0

Explanation: 2021 target will not be available until December.

Subprogram Summary

GROUNDWATER MANAGEMENT

Clint Chandler, Deputy 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	161,038.2	2,414.1	2,414.1
Other Appropriated Funds	662.7	889.7	889.7
Other Non Appropriated Funds	1,940.7	1,950.3	1,950.3
Total Funding	163,641.6	5,254.1	5,254.1
FTE Positions	27.0	27.0	27.0

◆ **Goal 1** To advance water planning priorities

◆ **Goal 2** To track agency performance

Subprogram Summary

SURFACE WATER ADMINISTRATION AND ADJUDICATION

Clint Chandler, Deputy 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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	2,985.3	3,343.6	3,343.6
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	13.1	13.0	13.0
Total Funding	2,998.4	3,356.6	3,356.6
FTE Positions	34.0	34.0	34.0

◆ **Goal 1** To support the General Streams Adjudication

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Percentage of assignments from the Adjudications Court completed prior to deadline	0	0	97	100	0

Subprogram Summary

COLORADO RIVER MANAGEMENT

Clint Chandler, Deputy 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 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
General Fund	479.8	636.5	636.5
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	14,876.5	33,460.3	12,050.3
Total Funding	15,356.2	34,096.8	12,686.8

FTE Positions

5.0 5.0 5.0

◆ **Goal 1** To advocate for policies that lead to conservation of water

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Lake Mead Level in feet	0	0	1,069	1,075	0
Percent probability of a shortage declaration caused by Lake Mead falling below 1,025 feet	0	0	11	10	0

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	3,418.1	3,756.1	4,073.3
Other Appropriated Funds	213.1	322.5	322.5
Other Non Appropriated Funds	7,928.7	18,121.5	5,701.9
Total Funding	11,559.9	22,200.1	10,097.7
FTE Positions	43.0	43.0	46.0

◆ **Goal 1** To help GWAIC committees bring issues to the full Council for potential actions

◆ **Goal 2** To provide support to the Drought Mitigation Board

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:	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	966.7	1,193.9	1,193.9
Other Appropriated Funds	0.0	0.0	75.0
Other Non Appropriated Funds	159.0	153.0	153.0
Total Funding	1,125.7	1,346.9	1,421.9
FTE Positions	9.0	9.0	9.0

◆ **Goal 1** To advance water planning priorities

◆ **Goal 2** To evaluate agency performance

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:

	<u>FY 2021 Actual</u>	<u>FY 2022 Estimate</u>	<u>FY 2023 Estimate</u>
General Fund	489.8	564.8	656.4
Other Appropriated Funds	0.0	0.0	0.0
Other Non Appropriated Funds	674.3	1,277.1	1,127.1
Total Funding	1,164.1	1,841.9	1,783.5
FTE Positions	11.0	11.0	12.0

◆ **Goal 1** To protect the life and property of Arizonans

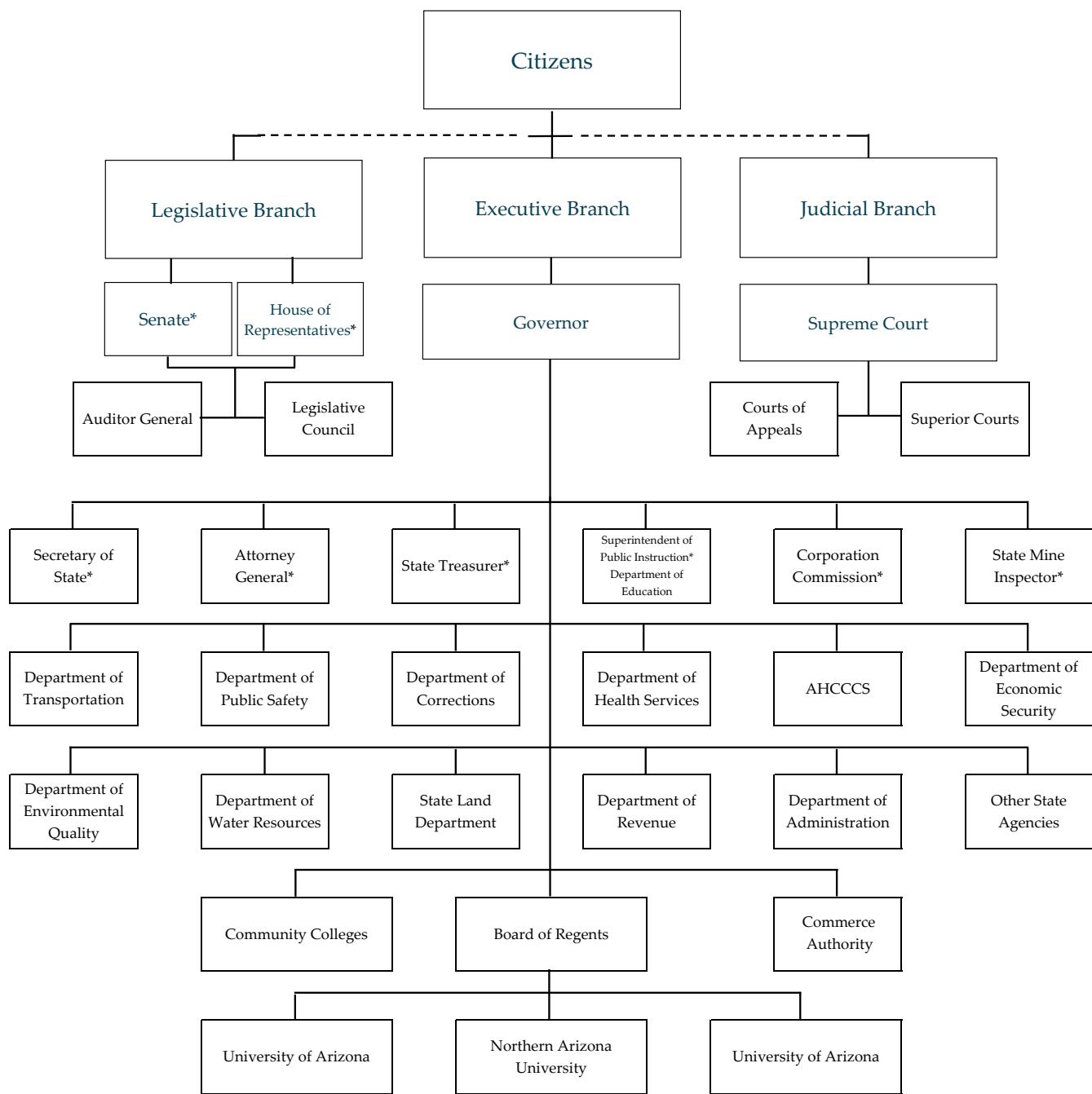
Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of high-hazard dams inspected	0	0	108	108	0

Explanation: The Department's goal is to inspect 100% of its high-hazard dams every fiscal year.

◆ **Goal 2** To evaluate agency performance

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2021 Actual	FY 2022 Estimate	FY 2023 Estimate
Number of communities assisted with floodplain management programs	0	28	30	28	0

State Government Organization Chart



* Elected Officials

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	APP Aquifer Protection Permit	CHILDS Children's Information Library and Data Source
AAC Arizona Administrative Code	APS Adult Protective Services	CIS Client Information System
ABOR Arizona Board of Regents	ARF Automation Revolving Fund	CJEF Criminal Justice Enhancement Fund
ACC Arizona Corporation Commission	ARRT American Registry of Radiological Technologists	CLIA Clinical Lab Inspections Act
ACDHH Arizona Commission for the Deaf and Hard of Hearing	ASDB Arizona School for the Deaf and the Blind	CMDP Comprehensive Medical and Dental Plan
ACJC Arizona Criminal Justice Commission	ASET Arizona Strategic Enterprise Technology	CMR Classification Maintenance Review
ACJIS Arizona Criminal Justice Information System	ASH Arizona State Hospital	CMS Centers for Medicare and Medicaid Services
ACW Arizona Center for Women	ASMI Arizona State Mine Inspector	COP Certificate of Participation
ADA Americans with Disabilities Act	ASPC Arizona State Prison Complex	COSF Capital Outlay Stabilization Fund
ADE Arizona Department of Education	ASPT Arizona State Parks and Trails	CPS Child Protective Services
ADJC Arizona Department of Juvenile Corrections	ASRS Arizona State Retirement System	CRIPA Civil Rights of Institutionalized Persons Act
ADM Average Daily Membership	ASU Arizona State University	CRS Children's Rehabilitative Services
ADMIN Administration	ATA Automobile Theft Authority	CSB Central Services Bureau
ADOT Arizona Department of Transportation	ATDA Arizona Technology Development Authority	CSMS Combined Support Maintenance Shop
ADP Average Daily Population	AVSC Arizona Veterans' Service Commission	CSO Correctional Service Officer
AERB Agriculture Employment Relations Board	AZAFIS Arizona Automated Fingerprint Identification System	CTED Career & Technical Education District
AFDC Aid for Families with Dependent Children	AZEIP Arizona Early Intervention Program	CTS Captioned Telephone Service
AFIS Arizona Financial Information System	AZGS Arizona Geological Survey	CWA Clean Water Act
AG Attorney General	AZPOST Arizona Peace Officer Standards and Training	CWRF Clean Water Revolving Fund
AGFD Arizona Game and Fish Department		
AHCCCS Arizona Health Care Cost Containment System	BIFO Border Infrastructure Finance Office	DAAS Division of Aging and Adult Services
AHS Arizona Historical Society		DBME Division of Benefits and Medical Eligibility
AIDA Arizona International Development Authority	CAE Commission on the Arizona Environment	DCS Department of Child Safety
AIMS Adult Inmate Management System	CAP Central Arizona Project	DCSS Division of Child Support Services
ALTCS Arizona Long-Term Care System	CAP Child Abuse Prevention	DCYF Division of Children, Youth and Families
AMA Active Management Area	CBHS Children's Behavioral Health Services	DD Dually Diagnosed or Developmentally Disabled
ANSAC Arizona Navigable Streams Commission	CCDF Child Care Development Fund	DDD Division of Developmental Disabilities
AOC Administrative Office of the Courts	CEDC Commerce and Economic Development Commission	DDSA Disability Determination Services Administration
AOOE All Other-Operating Expenditures	CERF Collection Enforcement Revolving Fund	DEA Drug Enforcement Account
APF Automation Projects Fund	CHC Community Health Center	DEMA Department of Emergency and Military Affairs

DEQ Department of Environmental Quality	GAAP Generally Accepted Accounting Principles	JOBS Job Opportunity and Basic Skills
DERS Division of Employment and Rehabilitative Services	GADA Greater Arizona Development Authority	JTED Joint Technical Education District
DES Department of Economic Security	GAO General Accounting Office	LAN Local Area Network
DFI Department of Financial Institutions	GDP Gross Domestic Product	LES Licensing and Enforcement Section
DHS Department of Health Services	GIITEM Gang and Immigration Intelligence Team Enforcement Mission	LGIP Local Government Investment Pool
DJC Department of Juvenile Corrections	GITA Government Information Technology Agency	LTC Long Term Care
DOA Department of Administration		
DOC Arizona Department of Corrections	H.B. House Bill	MAG Maricopa Association of Governments
DOI Department of Insurance	HAP Hazardous Air Pollutant	MAO Medical Assistance Only
DOR Department of Revenue	HCBS Home and Community Based Services	MARS Management and Reporting System
DPS Department of Public Safety	HI Hearing Impaired	MD Multiply Disabled
DRE Department of Real Estate	HMO Health Maintenance Organization	MDSSI Multiply Disabled Severely Sensory Impaired
DSH Disproportionate Share Hospital	HRMS Human Resource Management System	MEDICS Medical Eligibility Determinations and Information Control System
DUI Driving Under the Influence	HUD Housing and Urban Development	MIPS Million Instructions per Second
DWR Department of Water Resources	HURF Highway User Revenue Fund	MIS Management Information System
		MNMI Medically Needy Medically Indigent
EAC Eligible Assistance Children	ICA Industrial Commission of Arizona	MVD Motor Vehicle Division
EDP Electronic Data Processing	ICAC Internet Crimes Against Children	NADB North American Development Bank
EEO Equal Employment Opportunity	IGA Intergovernmental Agreement	NAFTA North American Free Trade Agreement
ELAS Education Learning and Accountability System	IHS Indian Health Service	NAIC National Association of Insurance Commissioners
ELIC Eligible Low-Income Children	IM 240 Inspection and Maintenance 240 Second Emission Test	NAU Northern Arizona University
EMS Emergency Medical Services	IOCC Inter-State Oil Compact Commission	NLCIFT National Law Center for Inter-American Free Trade
EMSCOM Emergency Medical Services Communications	IP-CTS Internet Protocol-Captioned Telephone Service	NRCD Natural Resource Conservation District
EMSOF Emergency Medical Services Operating Fund	IRM Information Resource Management	
EPA Environmental Protection Agency	IRMG Information Resource Management Group	
EPSDT Early Periodic Screening, Diagnostic, and Testing	ISA Intergovernmental Service Agreement	OAH Office of Administrative Hearings
ERE Employee-Related Expenditures	ISD Information Services Division	OGCC Oil and Gas Conservation Commission
	ISP Institutional Support Payments	OPM Office of Pest Management
FES Federal Emergency Services	IT Information Technology	OSHA Occupational Safety and Health Administration
FFP Federal Financial Participation	ITAC Information Technology Authorization Committee	OSPB Office of Strategic Planning and Budgeting
FHAMIS Family Health Administration Management Information System	IV&V Independent Verification and Validation	
FICA Federal Insurance Contribution Act		
FMAP Federal Matching Assistance Percentage	JCCR Joint Committee on Capital Review	PAS Prior Authorization Screening
FMCS Financial Management Control System	JCEF Judicial Collection Enhancement Fund	PASARR Pre-admission Screening and Annual Resident Review
FPL Federal Poverty Level	JLBC Joint Legislative Budget Committee	PDSD Phoenix Day School for the Deaf
FTE Full-Time Equivalent		

PERIS Public Employee Retirement Information System	SBOE State Board of Equalization	TLMF Trust Land Management Fund
PIJ Project Investment Justification	SCHIP State Children's Health Insurance Program	TPO Telecommunications Policy Office
POV Privately Owned Vehicle	SDWA Safe Drinking Water Act	UA University of Arizona
PRWORA Personal Responsibility and Work Opportunity Reconciliation Act of 1986	SDWRF Safe Drinking Water Revolving Fund	UAHSC University of Arizona Health Sciences Center
PS Personal Services	SES State Emergency Services	USAS Uniform State-wide Accounting System
PSPRS Public Safety Personnel Retirement System	SLI Special Line Item	USGS United States Geological Survey
QMB Qualified Medicare Beneficiary	SLIAG State Legalization Impact Assistance Grant	UST Underground Storage Tank
QTR Qualified Tax Rate	SMI Serious Mental Illness or Seriously Mentally Ill	VA Veterans Affairs
RARF Regional Area Road Fund	SNAP Supplemental Nutrition Assistance Program	VEI Vehicle Emission Inspections
RCF Registrar of Contractors Fund	SOBRA Sixth Omnibus Budget Reconciliation Act	VI Visually Impaired
REDI Rural Economic Development Initiative	SPAR Strategic Program Authorization Review	VOCA Victims of Crime Act
REM Retain, Eliminate or Modify	SPO State Purchasing Office	VR Vocational Rehabilitation
RIF Reduction-in-Force	SPRF State Parks Revenue Fund	VRIRF Victims' Rights Implementation Revolving fund
RMIS Risk Management Information System	SPU Special Population Unit	WAN Wide Area Network
RMRF Risk Management Revolving Fund	SR&E Securities Regulation and Enforcement	WATS Wide Area Telephone System
ROC Registrar of Contractors	SSI Supplemental Security Income	WFRJT Work Force Recruitment and Job Training
RTC Residential Treatment Center or Return to Custody	SSIG State Student Incentive Grant	WICHE Western Inter-State Commission on Higher Education
RUCO Residential Utility Consumer Office	SSRE State Share of Retained Earnings	WIFA Water Infrastructure Finance Authority
S.B. Senate Bill	SWCAP State-wide Cost Allocation Plan	WIPP Work Incentive Pay Plan
SAMHC Southern Arizona Mental Health Center	T&R Title and Registration	WPF Water Protection Fund
SAVE Systematic Alien Verification for Entitlements	TANF Temporary Assistance for Needy Families	WQAB Water Quality Appeals Board
SBAC Small Business Assistance Center	TB Tuberculosis	WQARF Water Quality Assurance Revolving Fund
SBCS State Board for Charter Schools	TCC Transitional Child Care	
SBE State Board of Education	TDD Telecommunication Devices for the Deaf	
SBIR Small Business Innovative Research	TIFS Tourism Investment Fund Sharing	

Resources

Governor's Office of Strategic Planning and Budgeting

[Website](#)

[Executive Budgets for FY 2022 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](#)

[Governor's Fundamentals Map](#)

[Openbooks, a searchable database of the State Accounting System](#)

[Arizona Labor Market Statistics](#)

[Arizona Population Statistics](#)

[FY 2022 Appropriations Report](#)