



Arizona Medical Board

1740 W. Adams, Phoenix, AZ 85007 • website: www.azmd.gov
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Governor

Douglas A. Ducey

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Patricia E. McSorley

August 30, 2019

The Honorable Douglas A. Ducey
Governor
State of Arizona
1700 West Washington Avenue, 9th Floor
Phoenix, Arizona 85007

Dear Governor Ducey:

This letter accompanies the Agency's Fiscal Year 2020 – Fiscal Year 2021 BUDDIES submittal for the Revenue Schedules, Sources and Uses Statement, Administrative Costs, Agency Summary, Program Summary, Program Budget Unit Summary, and Operating Schedules.

In FY 19, the State of Arizona continued to see an increase in the number of new physicians licensed in Arizona with the granting of 1940 new licenses, a 14% increase from FY18; bringing the total number of licensed physicians to 25,014. Using the LEAN principles, the Agency continues to reduce the number of days to issue a license, and saw a 14% decrease in the average number of day to issue a license from 98 days in FY18 to 86 days in FY19. The Agency stands ready to implement HB 2569 which will provide an additional pathway for the licensure of physicians in Arizona by allowing licensure through the universal recognition of another state's license.

The Agency is actively engaged in the continuous improvement and modernization of its database, the backbone of its business operations, and remains focused on implementing security measures to protect its data. Together with our partners at Arizona Strategic Enterprise Technology, (ASET), the Agency is in the process of moving its operations to a cloud-based system that will allow for more efficiencies and cost savings. To assist us in this in the first step of the project, FY 20 saw the appropriation of \$300,000 deposited into the Automation Project Fund to move a segment of the Agency's files to the cloud.

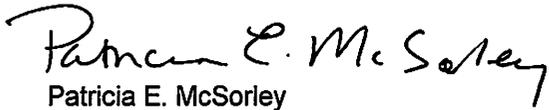
For modern day business practices to be incorporated into government operations, it is imperative that the Agency employ the modern technological mechanisms that its consumers expect when conducting business. For FY 21, the Agency has requested a special appropriation from its funds of \$2.125 million dollars to modernize and move its database to the Salesforce platform. This significant budget request is an investment in the future, and will allow the Agency to leverage the enterprise buying power of the State, while permitting the Agency the ability to avail itself to technological advances that are continually introduced and integrated into business organizations.

In addition, a second request to increase the Agency's appropriation by \$150,000.00 in FY 21 is being made to ensure the Agency has adequate funding available to afford increased costs associated with Salesforce user licenses, and to fund the need to simultaneously run the current database and Salesforce until such time as the Agency completes a full transition to the Salesforce platform.

Governor Ducey
Page 2

With your approval and support, the Agency will continue our pursuit to fulfill our mission to protect the public, while continually seeking opportunities to improve processes, offer superior customer service and ensure due process by compliance with all relevant statutes and rules.

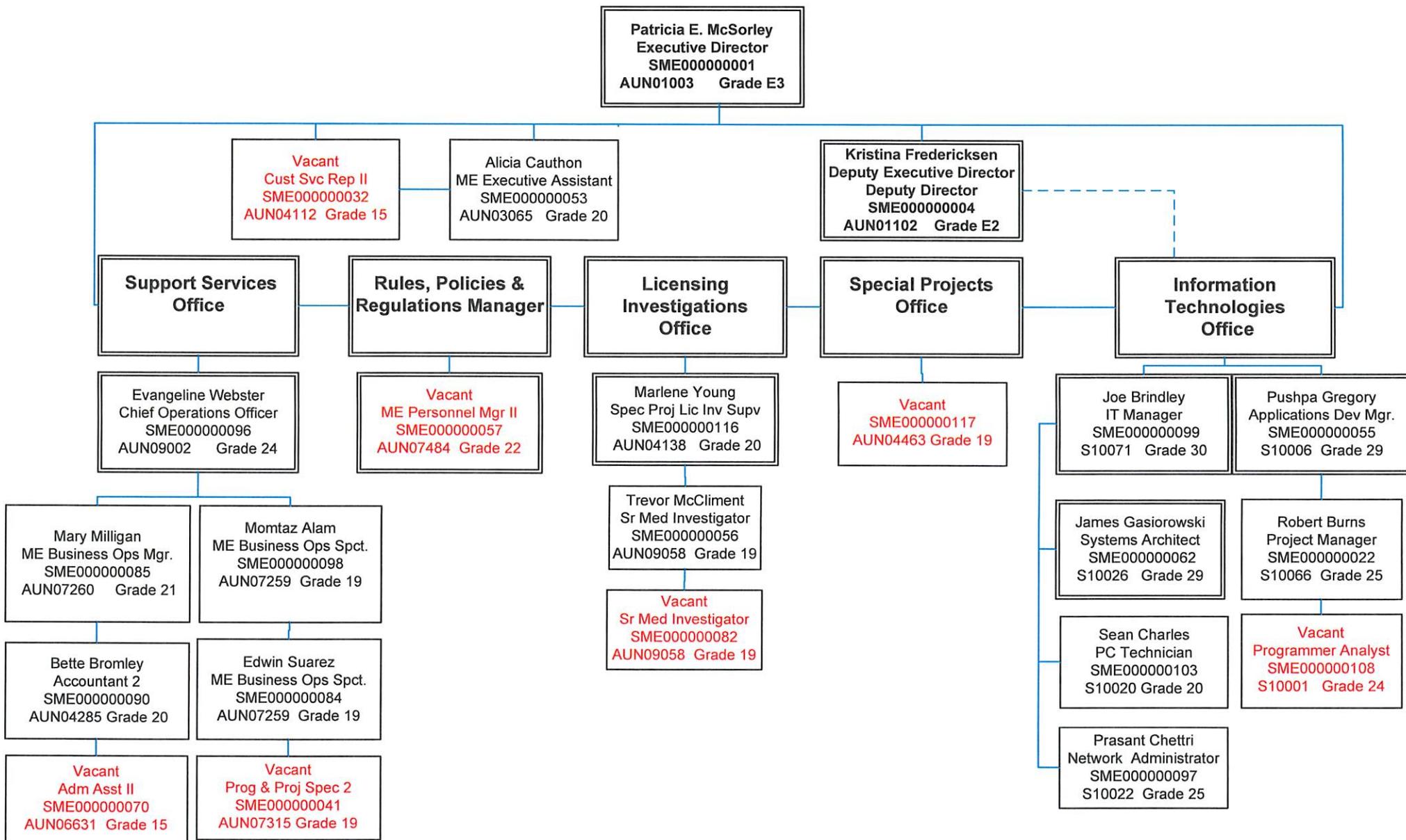
Respectfully submitted,

A handwritten signature in black ink that reads "Patricia E. McSorley". The signature is written in a cursive style with a large initial "P" and a long, sweeping underline.

Patricia E. McSorley
Executive Director

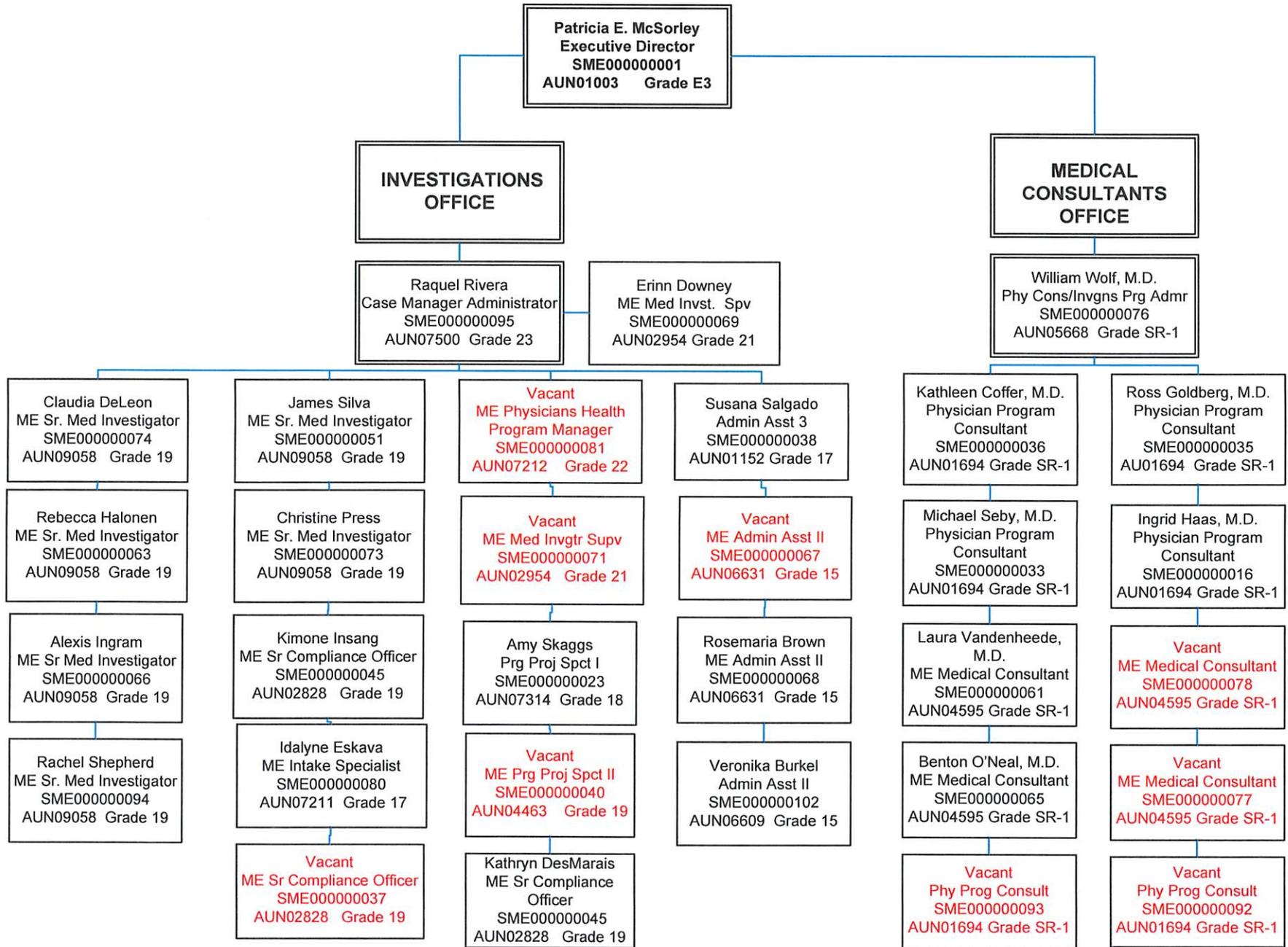
Arizona Medical Board and Arizona Regulatory Board of Physician Assistants

August 1, 2019



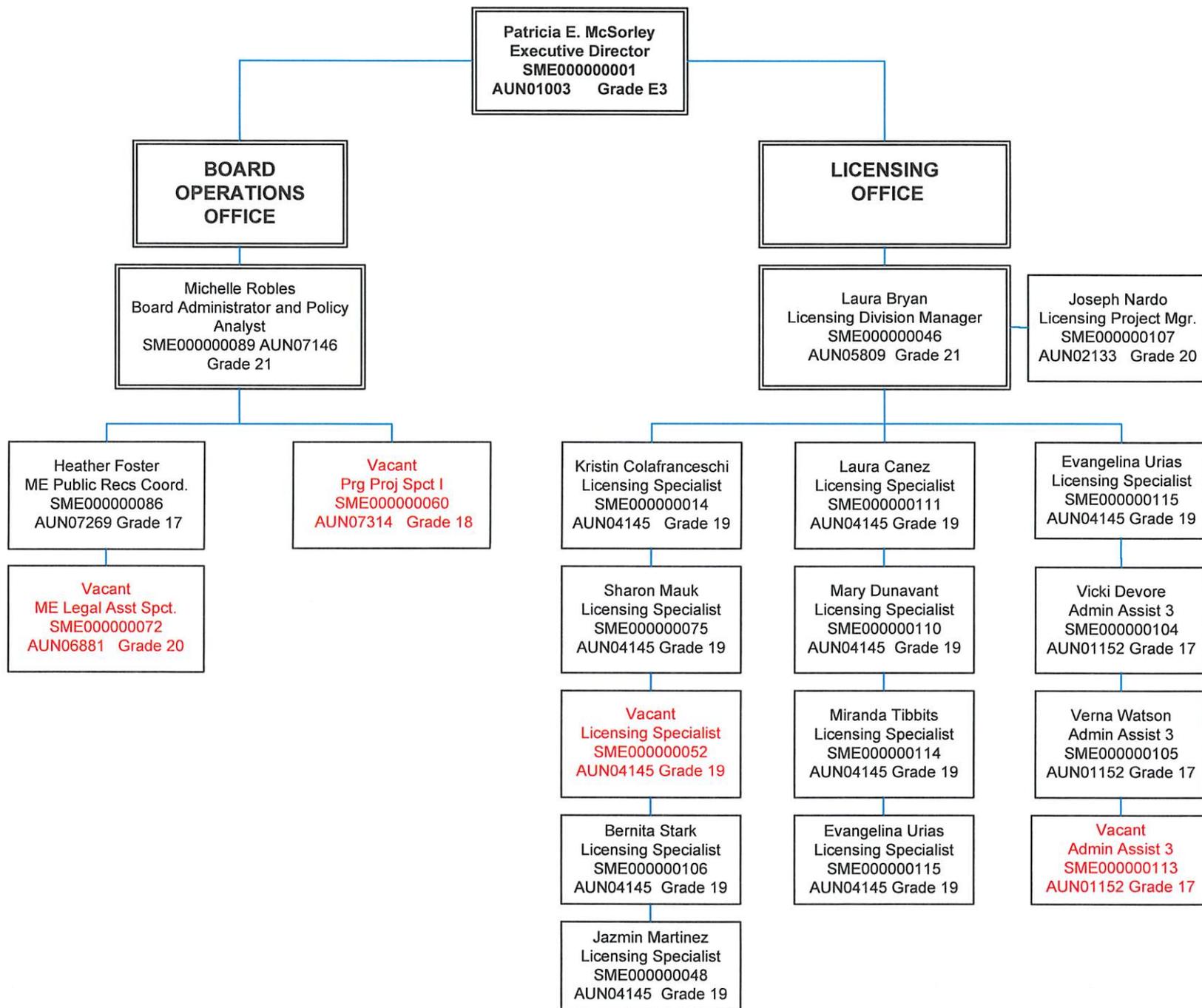
Arizona Medical Board and Arizona Regulatory Board of Physician Assistants

August 1, 2019



Arizona Medical Board and Arizona Regulatory Board of Physician Assistants

August 1, 2019





State of Arizona Budget Request

State Agency

Arizona Medical Board

A.R.S. Citation: 32-1401

Appropriated Funds

	FY 2020 Approp	FY 2021 Fund. Issue	FY 2021 Total Budget
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Total Amount Requested:	7,036.9	2,275.0	9,311.9
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Medical Examiners Board Fund	7,036.9	2,275.0	9,311.9
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Governor DUCEY:

This and the accompanying budget schedules, statements and explanatory information constitute the operating budget request for this agency for Fiscal Year 2021.

To the best of my knowledge all statements and explanations contained in the estimates submitted are true and correct.

Agency Head: Patricia McSorley

Title: Executive Director

Non-Appropriated Funds

	FY 2020 Expd. Plan	FY 2021 Fund. Issue	FY 2021 Total Budget
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Total Amount Planned:	0.0	0.0	0.0
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Medical Examiners Board Fund	0.0	0.0	0.0
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 Patricia E McSorley 8/28/2019
 (signature)

Phone: (480) 551-2714

Prepared By: Evangeline A Webster

Email Address: ewebster@azmd.gov

Date Prepared: Thursday, August 30, 2018

Total:	7,036.9	2,275.0	9,311.9
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Revenue Schedule

Agency: Arizona Medical Board

Fund: AA1000 General Fund

AFIS Code	Category of Receipt and Description	FY 2019	FY 2020	FY 2021
4339	OTHER FEES AND CHARGES FOR SERVICES	5.8	5.4	5.7
4372	PUBLICATIONS AND REPRODUCTIONS	1.8	1.1	1.1
4415	OCCUPATIONAL AND PROFESSIONAL LICENSES	686.8	701.7	718.4
4419	OTHER LICENSES	19.6	19.8	20.1
4449	OTHER FEES	110.1	117.3	123.8
4519	OTHER FINES OR FORFEITURES OR PENALTIES	11.9	11.2	11.3
4645	CREDIT CARD DISCOUNT FEES PAID	(16.2)	(16.8)	(17.3)
4823	CURRENT YEAR REIMBURSEMENTS -REFUNDS	0.1	0.0	0.0
Fund Total:		819.9	839.7	863.1

Revenue Schedule

Agency: Arizona Medical Board

Fund: ME2038 Medical Examiners Board Fund

AFIS Code	Category of Receipt and Description	FY 2019	FY 2020	FY 2021
4339	OTHER FEES AND CHARGES FOR SERVICES	52.1	48.1	50.8
4372	PUBLICATIONS AND REPRODUCTIONS	15.8	9.6	9.6
4415	OCCUPATIONAL AND PROFESSIONAL LICENSES	6,166.2	6,315.2	6,465.2
4419	OTHER LICENSES	175.7	178.3	181.2
4449	OTHER FEES	987.7	1,056.0	1,113.8
4519	OTHER FINES OR FORFEITURES OR PENALTIES	106.7	100.8	101.7
4645	CREDIT CARD DISCOUNT FEES PAID	(145.5)	(151.3)	(155.6)
Fund Total:		7,358.7	7,556.7	7,766.7

Arizona Medical Board
FY 2018 - FY 2019 Actual Revenue
FY 2020 - 2022 Projection

	<u>2018</u> <u>Actual</u>		<u>2019</u> <u>Actual</u>		<u>2020</u> <u>Projection</u>		<u>2021</u> <u>Projection</u>		<u>2022</u> <u>Projection</u>	
<u>Occupational & Professional Licenses</u> <u>(4415)</u>	Count	Amount	Count	Amount	Count	Amount	Count	Amount	Count	Amount
¹ Initial MD License Fee	1,583	\$ 509,625	1,704	\$ 543,333	1,608	\$ 586,200	1,632	\$ 631,000	1,648	\$ 679,200
Initial PA License	376	110,399	381	110,013	361	104,100	373	107,600	371	107,200
^{1a} MD State of Primary Licensure (SPL)			182	46,750	200	55,000	200	55,000	200	55,000
² MD Renewals	11,114	5,531,800	11,321	5,669,623	11,086	5,765,900	11,174	5,873,300	11,193	5,982,700
MD Renewal Reactivation	3	1,500	5	2,500	3	1,500	4	1,800	-	-
PA Renewals	1,383	510,970	1,429	528,360	1,363	504,200	1,392	514,900	1,394	515,900
TOT REV	\$ 6,664,294		\$ 6,900,580		\$ 7,016,900		\$ 7,183,600		\$ 7,340,000	
STATE	\$ 666,429		\$ 686,796		\$ 701,700		\$ 718,400		\$ 734,000	
AMB	\$ 5,997,864		\$ 6,213,784		\$ 6,315,200		\$ 6,465,200		\$ 6,606,000	
 <u>Other Licenses (4419)</u>										
Post Graduate Registration	1,647	\$ 82,300	1,687	\$ 84,150	1,728	\$ 86,400	1,770	\$ 88,500	1,813	90,600
Locum Tenens	1	350	-	-	0	-	0	-	0	-
Annual Teaching	1	250	5	1,250	2	600	3	700	3	800
Teaching Permit Education	2	200	10	1,000	4	400	5	500	7	700
Initial Dispensing	132	26,400	121	24,200	122	24,400	125	25,000	123	24,500
Dispensing Renewal	584	87,600	562	84,150	571	85,700	572	85,900	568	85,300
MD Duplicate license fee	7	350	16	750	12	600	12	600	13	700
PA Duplicate license fee	4	100	1	25	2	-	2	100	2	-
TOT REV	\$ 197,550		\$ 195,525		\$ 198,100		\$ 201,300		\$ 202,600	
STATE	\$ 19,755		\$ 19,563		\$ 19,800		\$ 20,100		\$ 20,300	
AMB	\$ 177,795		\$ 175,963		\$ 178,300		\$ 181,200		\$ 182,300	

Arizona Medical Board
FY 2018 - FY 2019 Actual Revenue
FY 2020 - 2022 Projection

	<u>2018</u> <u>Actual</u>		<u>2019</u> <u>Actual</u>		<u>2020</u> <u>Projection</u>		<u>2021</u> <u>Projection</u>		<u>2022</u> <u>Projection</u>	
Other Fees - Estimate 4449										
³ MD Application Fee	2,017	\$ 988,500	2,131	\$ 1,053,750	2,251	\$ 1,125,700	2,379	\$ 1,189,300	2,513	\$ 1,256,600
MD Renewal Activation Fee	-	-	-	-	-	-	-	-	-	-
³ PA License Application Fee	371	46,250	376	46,875	381	47,600	386	48,300	391	48,900
TOT REV	\$ 1,034,750		\$ 1,100,625		\$ 1,173,300		\$ 1,237,600		\$ 1,305,500	
STATE	\$ 103,475		\$ 931,275	\$ 110,063	\$ 117,300		\$ 123,800		\$ 130,600	
AMB			\$ 990,563		\$ 1,056,000		\$ 1,113,800		\$ 1,174,900	

Total 4400	TOT REV	\$ 7,896,594	TOT REV	\$ 8,196,730	TOT REV	\$ 8,388,300	TOT REV	\$ 8,622,500	TOT REV	\$ 8,848,100
	STATE	\$ 789,659	STATE	\$ 816,421	STATE	\$ 838,800	STATE	\$ 862,300	STATE	\$ 884,900
	AMB	\$ 7,106,934	AMB	\$ 7,380,309	AMB	\$ 7,549,500	AMB	\$ 7,760,200	AMB	\$ 7,963,200

**Other Fines Forfeitures
& Penalties (4519)**

MD Late Renewal Fee	309	\$ 108,150	307	\$ 107,100	305	\$ 106,800	303	\$ 106,100	301	\$ 105,400
PA Late Renewal Fee	34	3,400	121	12,100	52	5,200	69	6,900	81	8,100
MD Processing of Deficiency License Renewal	-	-	-	-	-	-	-	-	-	-
Misc Revenue	4	10,500	-	-	-	-	-	-	-	-
TOT REV	\$ 122,050		\$ 119,200		\$ 112,000		\$ 113,000		\$ 113,500	
STATE	\$ 21,655		\$ 11,920		\$ 11,200		\$ 11,300		\$ 11,400	
AMB	\$ 100,395		\$ 107,280		\$ 100,800		\$ 101,700		\$ 102,100	

Finger Printing Fee (4339)

Finger Printing Fee	1,972	57,160	1,995	58,178	1,911	53,500	2,020	56,500	2,020	56,600
TOT REV	\$ 57,160		\$ 58,178		\$ 53,500		\$ 56,500		\$ 56,600	
STATE	\$ 5,716		\$ 5,818		\$ 5,400		\$ 5,700		\$ 5,700	
AMB	\$ 51,444		\$ 52,360		\$ 48,100		\$ 50,800		\$ 50,900	

Publications & Reproductions (4372)

Copies	101	\$ 26	78	\$ 20	60	\$ 20	47	\$ 20	36	\$ 20
Disks	8	11,100	106	10,600	7	700	6	600	6	600
Directories-Hard Copy	-	-	-	-	-	-	-	-	-	-
MD Directories-CD	111	240	4	120	110	3,300	109	3,300	108	3,300
PA Directories-CD	-	-	-	-	-	-	-	-	-	-
³ Verifications	672	6,690	680	6,800	673	6,700	675	6,800	676	6,800
TOT REV	\$ 18,056		\$ 17,540		\$ 10,700		\$ 10,700		\$ 10,700	
STATE	\$ 1,806		\$ 1,754		\$ 1,100		\$ 1,100		\$ 1,100	
AMB	\$ 16,250		\$ 15,786		\$ 9,600		\$ 9,600		\$ 9,600	

ARIZONA MEDICAL BOARD
FY 2019 - ACTUALS
REVENUE BY TYPE TO PROJECT
FY 2020 - FY 2022
FOR SUBMITTAL TO OSPB FY 2019

	2011	2012	2013	2014	2015	2016	2017	2018	2019	Count FY 2020 FY 2019 Vs. FY 2018	Count FY 2021 FY 2019 Vs. FY 2018	Count FY 2022 FY 2019 Vs. FY 2018	Count FY 2020 Using 3 Yr Avr.	Count FY 2021 Using 3 Yr Avr.	Count FY 2022 Using 3 Yr Avr.
	Actual Counts														
Occupational & Professional Licenses (4415)															
¹ Initial MD License Fee	1,419	1,612	1,221	1,154	1,140	1,633	1,538	1,583	1,704	1,834	1,974	2,125	1,608	1,632	1,648
Initial PA License	194	278	276	281	342	315	325	376	381	386	391	396	361	373	371
^{1a} MD State of Primary Licensure (SPL)									182	200	200	200	200	200	200
² MD Renewals	10,080	10,366	10,392	10,263	10,275	10,588	10,822	11,114	11,321	11,532	11,747	11,965	11,086	11,174	11,193
MD Renewal Reactivation	1	2	-	-	-	-	1	3	5	8	1	1	3	4	0
PA Renewals	1,941	2,052	2,129	2,247	2,382	1,392	1,276	1,383	1,429	1,477	1,526	1,576	1,363	1,392	1,394
Total Occupational & Professional Licenses (4415)	13,635	14,310	14,018	13,945	14,139	13,928	13,962	14,459	15,022	15,437	15,839	16,265	14,620	14,773	14,807
Other Licenses (4419)															
Post Graduate Registration	1,384	1,416	1,467	1,489	1,549	1,587	1,625	1,647	1,687	1,728	1,770	1,813	1,653	1,662	1,667
Locum Tenens	76	35	28	36	9	2	-	1	-	-	-	-	0	0	0
Annual Teaching	2	6	14	10	8	4	1	1	5	25	125	625	2	3	3
Teaching Permit Education	3	3	3	2	1	2	1	2	10	50	250	1,250	4	5	7
Initial Dispensing	139	194	153	147	222	143	113	132	121	111	102	93	122	125	123
Dispensing Renewal	427	468	477	488	482	593	567	584	562	541	520	501	571	572	568
MD Duplicate license fee	59	37	21	19	54	19	13	7	16	37	84	191	12	12	13
PA Duplicate license fee	34	34	2	0	1	0	0	4	1	0	0	0	2	2	2
Total Other Licenses (4419)	2,124	2,193	2,165	2,191	2,326	2,350	2,320	2,378	2,402	2,491	2,851	4,473	2,367	2,382	2,384
Other Fees - Estimate 4449															
³ MD Application Fee	1,558	1,458	1,551	1,534	1,452	1,685	1,584	2,017	2,131	2,251	2,379	2,513	1,911	2,020	2,020
MD Renewal Activation Fee	3	2	0	0	1	0	0	0	0	0	0	0	-	-	-
³ PA License Application Fee	228	274	288	318	385	403	378	371	376	381	386	391	375	374	375
Total Other Fees - 4449	1,789	1,734	1,839	1,852	1,838	2,088	1,962	2,388	2,507	2,633	2,765	2,905	2,286	2,394	2,395
Other Fines Forfeitures & Penalties (4519)															
MD Late Renewal Fee	371	234	195	238	255	317	285	309	307	305	303	301	300	305	304
PA Late Renewal Fee	98	59	59	83	105	66	1	34	121	50	50	50	52	69	81
MD Processing of Deficiency License Renewal	9	15	12	22	0	0	0	0	0	5	10	15	-	-	-
Misc Revenue	0	3	1	2	1	2	2	4	0	-	-	-	2	2	1

**ARIZONA MEDICAL BOARD
FY 2019 - ACTUALS
REVENUE BY TYPE TO PROJECT
FY 2020 - FY 2022
FOR SUBMITTAL TO OSPB FY 2019**

	2011	2012	2013	2014	2015	2016	2017	2018	2019	Count	Count	Count	Count	Count	Count
	Actual	FY 2020	FY 2021	FY 2022	FY 2020	FY 2021	FY 2022								
	Counts	Vs.	Vs.	Vs.	Using 3 Yr	Using 3 Yr	Using 3 Yr								
										FY 2018	FY 2018	FY 2018	Avr.	Avr.	Avr.
Total Other Fines Forfeitures & Penalties (4519)	478	311	267	345	361	385	288	347	428	360	363	366	354	376	386
Other Fees and Charges for Services (4339)															
Finger Printing Fee					979	1,770	1,582	1,972	1,972	2,251	2,379	2,513	1,911	2,020	2,020
Total Other Fees and Charges for Services (4339)					979	1,770	1,582	1,972	1,972	2,251	2,379	2,513	1,911	2,020	2,020
Publications & Reproductions (4372)															
Copies	5,313	6,985	1,857	3,808	3,921	2,716	910	101	78	60	47	36	363	181	207
Disks	111	106	123	104	36	13	9	8	4	110	110	110	7	6	6
Directories-Hard Copy	0	0		2	0	0	0	0	0	-	-	-	-	-	-
MD Directories-CD	36	41	24	16	100	115	113	111	106	10	10	10	110	109	108
PA Directories-CD	1	0	0	0	0	0	0	0	0	-	-	-	-	-	-
Verifications	3,299	3,745	1,687	641	544	680	668	672	680	688	696	705	673	675	676
Total Publications & Reproductions (4372)	8,760	10,877	3,691	4,571	4,601	3,524	1,700	892	868	868	863	861	1,153	971	997
Processing Fees (4600)															
Address Change (Failure to Report)	126	37	2	0	0	4	0	0	0	-	-	-	-	-	-
Other Miscellaneous Revenue	1	2	1	1	1	1	0	0	0	-	-	-	-	-	-
Credit Card Transaction Fees	23	24	24	24	24	24	24	28	36	46	60	77	29	31	32
Total Processing Fees (4600)	150	63	27	25	25	29	24	28	36	46	60	77	29	31	32

Prior Year Reversions (4800)
Total Revenue

- ¹ MD applying through the Compact only pay the \$500 MD Application Fee. No Initial MD Prorated fee is applied.
- ^{1a} Compact Licensure for MD Licensee applying for Licensure in another State through the Compact (State of Primary Licensure - SPL)
- ² Any MD who was licensed through the Compact must also renew through the Compact. This delays payment and recording of the renewal, since all MD's renewing through the Compact delays receipt of payment from the IMLCC.
- ³ New Legislation went into effect July 1, 2017 for MD temporary licenses and a Compact Licensure through the IMLCC. Additionally, there was legislation to waive application fees to those physicians who qualify at 200% of the poverty level. This waiver applies to any type of license application whereby it is the first license in the State of Arizona.

All estimates based on a 3-year average, except those highlighted as shown below:
FY 2019 vs. FY 2018

ARIZONA MEDICAL BOARD
FY 2019 - ACTUALS
REVENUE BY TYPE TO PROJECT
FY 2020 - FY 2022
FOR SUBMITTAL TO OSPB FY 2019

	<u>Count</u> <u>FY 2020</u> <u>Using 5 Yr</u> <u>Avr.</u>	<u>Count</u> <u>FY 2021</u> <u>Using 5 Yr</u> <u>Avr.</u>	<u>Count</u> <u>FY 2022</u> <u>Using 5 Yr</u> <u>Avr.</u>	<u>Count</u> <u>FY 2020</u> <u>Using 8 Yr</u> <u>Avr.</u>	<u>Count</u> <u>FY 2021</u> <u>Using 8 Yr</u> <u>Avr.</u>	<u>Count</u> <u>FY 2022</u> <u>Using 8 Yr</u> <u>Avr.</u>	FY 2020 Using FY 2019 vs FY 2018	FY 2019 Actual Revenue	FY 2020 Projected	FY 2021 Projected	FY 2022 Projected
Occupational & Professional Licenses (4415)											
¹ Initial MD License Fee	1,520	1,596	1,588	1,448	1,428	1,453	7.6%	\$ 543,333	\$ 586,200	\$ 631,000	\$ 679,200
Initial PA License	348	349	356	322	327	334	1.3%	110,013	104,100	107,600	107,200
^{1a} MD State of Primary Licensure (SPL)	200	200	200	200	200	200	0.0%	46,750	55,000	55,000	55,000
² MD Renewals	10,824	10,934	11,003	10,643	10,677	10,713	1.9%	5,669,623	5,765,900	5,873,300	5,982,700
MD Renewal Reactivation	1	1	1	2	2	2	66.7%	2,500	1,500	1,800	-
PA Renewals	1,572	1,410	1,414	1,786	1,753	1,706	3.3%	528,360	504,200	514,900	515,900
Total Occupational & Professional Licenses (4415)	14,465	14,490	14,562	14,401	14,387	14,408		\$ 6,900,580	\$ 7,016,900	\$ 7,183,600	\$ 7,340,000
Other Licenses (4419)											
Post Graduate Registration	1,619	1,633	1,642	1,558	1,576	1,590	2.4%	\$ 84,150	\$ 86,400	\$ 88,500	\$ 90,600
Locum Tenens	2	1	1	14	11	9	0.0%	-	-	-	-
Annual Teaching	4	3	3	6	6	5	400.0%	1,250	600	700	800
Teaching Permit Education	3	4	4	3	3	3	400.0%	1,000	400	500	700
Initial Dispensing	146	131	129	153	148	147	-8.3%	24,200	24,400	25,000	24,500
Dispensing Renewal	558	573	569	528	535	542	-3.8%	84,150	85,700	85,900	85,300
MD Duplicate license fee	22	15	15	23	22	22	128.6%	750	600	600	700
PA Duplicate license fee	1	1	1	5	2	2	-75.0%	25	-	100	-
Total Other Licenses (4419)	2,355	2,361	2,363	2,291	2,303	2,320		\$ 195,525	\$ 198,100	\$ 201,300	\$ 202,600
Other Fees - Estimate 4449											
³ MD Application Fee	1,774	1,838	1,869	1,677	1,704	1,723	5.7%	\$ 1,044,000	\$ 1,125,700	\$ 1,189,300	\$ 1,256,600
MD Renewal Activation Fee	0	0	0	0	0	0	0.0%	-	-	-	-
³ PA License Application Fee	383	382	378	349	359	367	1.3%	46,875	47,600	48,300	48,900
Total Other Fees - 4449	2,157	2,220	2,247	2,026	2,063	2,090		\$ 1,100,625	\$ 1,173,300	\$ 1,237,600	\$ 1,305,500
Other Fines Forfeitures & Penalties (4519)											
MD Late Renewal Fee	295	303	300	268	272	281	-0.6%	\$ 107,100	\$ 106,800	\$ 106,100	\$ 105,400
PA Late Renewal Fee	65	57	56	66	67	68	255.9%	12,100	5,200	6,900	8,100
MD Processing of Deficiency License Renewal	-	-	-	6	5	4	0.0%	-	-	-	-
Misc Revenue	2	2	2	2	2	2	0.0%	-	-	-	-

**ARIZONA MEDICAL BOARD
 FY 2019 - ACTUALS
 REVENUE BY TYPE TO PROJECT
 FY 2020 - FY 2022
 FOR SUBMITTAL TO OSPB FY 2019**

	Count			Count			FY 2020 Using FY 2019 vs FY 2018	FY 2019 Actual Revenue	FY 2020 Projected	FY 2021 Projected	FY 2022 Projected
	FY 2020	FY 2021	FY 2022	FY 2020	FY 2021	FY 2022					
	Using 5 Yr	Using 5 Yr	Using 5 Yr	Using 8 Yr	Using 8 Yr	Using 8 Yr					
	Avr.	Avr.	Avr.	Avr.	Avr.	Avr.					
Total Other Fines Forfeitures & Penalties (4519)	362	362	357	342	345	355		\$ 119,200	\$ 112,000	\$ 113,000	\$ 113,500
Other Fees and Charges for Services (4339)											
Finger Printing Fee	1,774	1,838	1,869	1,677	1,704	1,723	0.0%	\$ 58,178	\$ 53,500	\$ 56,500	\$ 56,600
Total Other Fees and Charges for Services (4339)	1,774	1,838	1,869	1,677	1,704	1,723		\$ 58,178	\$ 53,500	\$ 56,500	\$ 56,600
Publications & Reproductions (4372)											
Copies	1,545	1,070	741	2,547	1,992	2,009	-22.8%	\$ 20	\$ 20	\$ 20	\$ 20
Disks	14	10	9	50	43	33	-50.0%	10,600	700	600	600
Directories-Hard Copy	-	-	-	0	0	0	0.0%	-	-	-	-
MD Directories-CD	109	111	110	78	83	90	-4.5%	120	3,300	3,300	3,300
PA Directories-CD	-	-	-	-	-	-	0.0%	-	-	-	-
Verifications	649	670	668	1,165	842	736	1.2%	6,800	6,700	6,800	6,800
Total Publications & Reproductions (4372)	2,317	1,860	1,527	3,841	2,961	2,870		\$ 17,540	\$ 10,700	\$ 10,700	\$ 10,700
Processing Fees (4600)											
Address Change (Failure to Report)	1	1	0	5	1	1	0.0%		\$ -	\$ -	\$ -
Other Miscellaneous Revenue	0	0	0	1	1	1	0.0%		-	-	-
Credit Card Transaction Fees	27	28	29	26	26	27	28.6%	(161,715)	(168,100)	(172,900)	(177,300)
Total Processing Fees (4600)	28	29	29	32	28	28		(161,715)	(168,100)	(172,900)	(177,300)
Prior Year Reversions (4800)								110			
Total Revenue								\$ 8,230,043	\$ 8,396,400	\$ 8,629,800	\$ 8,851,600
							% Increase/(Decrease)		2.0%	2.8%	2.6%

Sources and Uses of Funds

Agency: Arizona Medical Board

Fund: ME2038 Medical Examiners Board Fund

Cash Flow Summary	Actual FY 2019	Estimate FY 2020	Estimate FY 2021
Balance Forward from Prior Year	6,853.6	14,891.5	15,111.3
Balance Forward from Prior Year	7,799.0	0.0	0.0
Revenue (From Revenue Schedule)	7,358.7	7,556.7	7,766.7
Total Available	22,011.3	22,448.2	22,878.0
Total Appropriated Disbursements	7,119.8	7,336.9	9,311.9
Total Non-Appropriated Disbursements	0.0	0.0	0.0
Balance Forward to Next Year	14,891.5	15,111.3	13,566.1

Appropriated Expenditure	Actual FY 2019	Estimate FY 2020	Estimate FY 2021
Expenditure Categories			
Personal Services	3,146.6	3,457.6	3,457.6
Employee Related Expenses	1,103.0	1,344.1	1,344.1
Prof. And Outside Services	885.1	973.6	973.6
Travel - In State	14.5	22.5	22.5
Travel - Out of State	16.1	29.0	29.0
Food	0.0	1.0	1.0
Aid to Organizations and Individuals	0.0	0.0	0.0
Other Operating Expenses	973.1	912.8	3,187.8
Equipment	175.5	276.3	276.3
Capital Outlay	0.0	0.0	0.0
Debt Service	0.0	0.0	0.0
Cost Allocation	0.0	0.0	0.0
Transfers	12.0	20.0	20.0
Expenditure Categories Total:	6,325.9	7,036.9	9,311.9
Non-Lapsing Authority from Prior Years	661.3	0.0	0.0
Administrative Adjustments	132.6	0.0	0.0
Capital Projects (Land, Buildings,Improvements)	0.0	0.0	0.0
Appropriated 27th Pay Roll	0.0	0.0	0.0
Legislative Fund Transfers	0.0	0.0	0.0
IT Project Transfers	0.0	300.0	0.0
Appropriated Expenditure Total:	7,119.8	7,336.9	9,311.9
Appropriated FTE:	61.5	61.5	61.5

Fund Description

OSP: Funds are used to license, regulate, and conduct examinations of medical doctors and physician's assistants. Revenues are provided by the monies collected by the Board from the examination and licensing of physicians and physician assistants.

Funding Issues List

Agency: Arizona Medical Board

FY 2021

Priority	Funding Issue Title	Total FTE	Total Amount	General Fund	Other Apropr. Funds	Non-App Funds
1	IT Platform Migration and Modernization	0.0	2,125.0	0.0	2,125.0	0.0
2	Procurement of Salesforce Licenses	0.0	150.0	0.0	150.0	0.0
Total:		0.0	2,275.0	0.0	2,275.0	0.0
Decision Package Total:		0.0	2,275.0	0.0	2,275.0	0.0

Funding Issue Detail

Agency: Arizona Medical Board

Issue: 1 IT Platform Migration and Modernization

Program: Licensing, Regulation, & Rehabilitation
Fund: ME2038-A Medical Examiners Board Fund (Appropriated)

Calculated ERE: \$0.00
Uniform Allowance: \$0.00

Expenditure Categories	FY 2021
FTE	0.0
Personal Services	0.0
Employee Related Expenses	0.0
Subtotal Personal Services and ERE:	0.0
Professional & Outside Services	0.0
Travel In-State	0.0
Travel Out-of-State	0.0
Food	0.0
Aid to Organizations & Individuals	0.0
Other Operating Expenditures	2,125.0
Equipment	0.0
Capital Outlay	0.0
Debt Services	0.0
Cost Allocation	0.0
Transfers	0.0
Program / Fund Total:	2,125.0

Issue: 2 Procurement of Salesforce Licenses

Program: Licensing, Regulation, & Rehabilitation
Fund: ME2038-A Medical Examiners Board Fund (Appropriated)

Calculated ERE: \$0.00
Uniform Allowance: \$0.00

Expenditure Categories	FY 2021
FTE	0.0
Personal Services	0.0
Employee Related Expenses	0.0
Subtotal Personal Services and ERE:	0.0
Professional & Outside Services	0.0
Travel In-State	0.0
Travel Out-of-State	0.0
Food	0.0
Aid to Organizations & Individuals	0.0
Other Operating Expenditures	150.0
Equipment	0.0
Capital Outlay	0.0
Debt Services	0.0
Cost Allocation	0.0
Transfers	0.0
Program / Fund Total:	150.0

Arizona Medical Board
FY 2021 Budget Justification

PROGRAM/SUBPROGRAM: Arizona Medical Board

ISSUE TITLE: Decision Package 1 – IT Platform Migration and Modernization

DESCRIPTION OF PROBLEM OR ISSUE:

The Arizona Medical Board (“Agency”) IT platform requires modernization pursuant to the direction of the Executive Branch and the recommendation for modernization made by the independent reviewer, CGI, in July 2018. For well over a decade, the Agency utilized an on-premises hardware system to support its GL Solutions database. Pursuant to the Governor’s Cloud First Initiative and state policy, the Agency is currently migrating to a cloud based GL Solutions product.

For FY21 the Agency has been requested by the Executive Branch to move from GL Solutions to the Salesforce platform. This move is designed to allow platform modernization conforming to state requirements and will allow the Agency to advance its processes and functions in tandem with developing technology. Salesforce has been identified by the State as having the capability to tap into new technologies with potential cost sharing as the State is able to leverage its enterprise abilities.

The Agency primarily (i) regulates licensees, (ii) receives, investigates, and adjudicates complaints, (iii) provides an internal Agency working platform, (iv) provides a public facing searchable website and (v) provides responses to requests from the public, including, but not limited to, Freedom of Information Act Requests (FOIA). Its customers are a blend of sophisticated technology users while also supporting a minority of technologically challenged or limited interface users. The technology is expected to function and be available 24/7/365. With the proposed modernization, the goal is to migrate to an electronic format through handheld devices. This “government on demand” approach is the Executive’s goal for all agencies to pursue through its investment in flexible and responsive modern technology.

Note that Salesforce indicated that a “Chat Bot” is available that provides a computer based automated messaging system that is able to handle many of the frequently asked questions received through telecommunication in the form of telephone calls, text and emails. Additionally, the Agency seeks a more robust and accessible electronic document management system and application that allows more efficient archiving and compliance with records retention policies.

The above are a few of the technologies the Agency will be able to offer if an investment in technology is approved for funding.

PROPOSED SOLUTION TO THE PROBLEM OR ISSUE:

The Agency does not currently have the capability to apply and fully access modern technology to assist it in its daily functions related to licensing and regulation for the purpose of public safety.

The solution recommended by the Executive Branch is to migrate to the cloud and utilize the beneficial enterprise platform offerings of Salesforce. In order to successfully modernize, the Agency needs to make an investment in the cloud based services and migrate to a Salesforce platform that supports the Agency's activities discussed above.

ALTERNATIVES CONSIDERED AND REASONS FOR REJECTION:

In March, 2018, the Agency contracted with CGI to assess the then current state of its IT systems. CGI endorsed an interim move the GL Solutions Version 6 and ultimately recommended a move to a flexible platform such as Salesforce.

GL Solutions requires a high level of developer input which impedes the Agency's ability to quickly and efficiently make adjustments.

Salesforce represents its product is easily customizable. Salesforce also represents that its unique platform requires minimal coding to create/support the Agency's various primary functions such as:

- (i) application and processing of licenses
- (ii) regulation of licensees
- (iii) receiving, investigating, and adjudicating complaints and the process,
- (iv) providing an internal Agency working platform; and
- (v) supporting a public-facing informational and searchable website

The CGI assessment analysts strongly indicated that the GL Solutions platform does not support on-going flexibility nor cost sharing and is more difficult to integrate with newer technology as it becomes available.

IMPACT OF NOT FUNDING:

Not funding a modernization of the Agency's IT system will force the Agency to remain with the GL Solutions product and limit the Agency's ability to keep up with developing technology.

AGENCY MISSION OR GOALS:

The mission of the Agency is to protect public safety through the judicious licensing, regulation, and education of physicians and physician assistants.

Goal 1: Improve platform configuration and efficiency of applications, licensing, investigating of complaints, regulatory, and information dissemination processes through the use of modern technology.

Goal 2: Position the Agency so it is able to employ effective and efficient technologies akin to those used by business and expected by the Agency's constituents when applying for licensure, complaint process and in all communications/interactions with the Arizona Medical Board.

APPROPRIATION REQUESTED:

The proposed appropriation request is \$2,125,000 and contemplates a one-time appropriation, earmarked specifically for the modernization project and transition to a Salesforce platform. The one-time appropriation request covers the development stage of the project and requires the procurement of a business analyst and a data integrator. These are two of three essential parts of the project. The business analyst is responsible for initiating the project by gathering the business requirements, documenting Agency workflows and assisting in streamlining business processes. The information gathered by the business analyst will be handed off to a data integrator. The data integrator is responsible for identifying and properly integrating the appropriate Salesforce applications that suit the needs of the Agency onto the Salesforce platform.

In anticipation of the need to submit a detailed Appropriation Request, the Agency held face to face meetings with our ADOA Engagement Manager and several vendors to discuss the needs of the Agency and critical concerns. Chief among these concerns to be addressed and that the Agency seeks to include in future Scope of Work documents (SOWs) are:

A commitment from business analyst contractor to ensure the Agency has professional support throughout the life of the project, including maintaining a physical presence post User Acceptance Training (UAT);

A commitment from integration contractor to ensure the Agency has professional support throughout the life of the project, including maintaining a physical presence post UAT;

A critical data migration plan from the analyst (which will be instituted by the integrator) with input from integrator if possible, and delineates the high priority and critical need for 1) a robust security profile; 2) executable plan for data loss recovery (inclusive of dollar amount and timeline); 3) complete data storage profile (on-site and off-site); 4) data retention plan (in cooperation with the Department of Library and Archives Rules); and 5) recommendation for a document management system that is capable of storage beyond what is available through Salesforce.

The Agency reviewed the Project Investment Justification for the AZ Department of Financial Institutions (DFI) for their recently completed transition to the Salesforce platform. DFI presented a PIJ for \$1.8M. DFI's experience and materials was chosen for review due to its slightly smaller size, and as the only example to date to review and its licensure base as the Agency.

The DFI request titled, "Digital Transformation – e-License BD18001" included estimated costs from the vendors which included \$500,000 for a business analyst, \$1M for a data integrator, and \$300,000 funding for staff training. Staff training is critical so they can develop the skills and understanding necessary for the implementation and maintenance of the proposed new Salesforce database across the various AMB core competency areas:

- (i) application and processing of licenses
- (ii) regulation of licensees
- (iii) receiving, investigating, and adjudicating complaints and the process,
- (iv) providing an internal Agency working platform; and
- (v) supporting a public-facing informational and searchable website

The DFI estimates referenced were index adjusted to reflect anticipated increases for costs in FY2021 and to allow for any unforeseen expenses.

Please see the attached memorandum, Overview of Budget Request for 2021, consisting of the estimates received directly from qualified vendors and the DFI documents which support the request for an appropriation of \$2.125M for development to modernize the Agency's IT System.



Arizona Medical Board

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MEMORANDUM

Date: August 16, 2019
From: Patricia McSorley, Executive Director
RE: Overview of Budget Request for FY 2021

By September 1, 2019, the Agency is required to submit a budget request for additional appropriation for Fiscal Year (FY)2021, which commences July 1, 2020 if funding in excess of FY2020's appropriation is necessary. The Agency has been considering a complete modernization of its IT platform since it engaged the services of CGI in March of 2018 to perform an assessment of the current state of the Agency's IT system.

CGI recommended that the Agency move to a cloud based Version 6 of GL Solutions, for the immediate future; but recommended the Agency consider a move to a more modern platform such as Salesforce. The CGI report estimated an Agency transition to Salesforce would cost between \$1.5M to \$ 2M. The CGI recommendation dovetailed nicely with the Executive's desire to have a universal platform for all Arizona governmental agencies to leverage the State's enterprise abilities. Salesforce is the desired platform and funding for a vendor other than Salesforce requires a strong justification to the AZ Office of Strategic Planning and Budgeting (OSPB) to support a different direction. (See Attachment A) (All Attachments have been bookmarked. Please access Attachments through the Bookmark Tab.)

Currently, the Agency is in the process of migrating to GL Solutions Version 6 which is a cloud based system that requires no additional appropriation to accomplish. However, the complete modernization of the IT infrastructure and a move to Salesforce is a big ticket item which requires additional funding for FY 2021. The Agency has been working with our Executive Branch partners at OSPB and the AZ Strategic Enterprise Technology (ASET) team to ascertain the appropriate level of funding necessary to modernize. Kristina Fredericksen and I have met with our partners, multiple vendors and Emily Rajakovich, Director of the Governor's Office for Boards and Commissions to discuss this project and to determine the appropriate level of funding needed. (See Attachment B)

The proposed appropriation request contemplates a one-time appropriation earmarked specifically for the modernization project and transition to Salesforce. The requested one-time appropriation will cover the development stage of the project which requires the procurement of a business analyst and a data integrator. These are the two essential parts of the project. The business analyst is responsible for initiating the project by gathering the business requirements, documenting Agency workflows and assisting in streamlining processes. The information gathered by the business analyst will be handed off to a data integrator. The data integrator serves as the project manager and is responsible for identifying and properly integrating the appropriate Salesforce applications onto the Salesforce platform. The Salesforce platform

consists of a number of licenses for applications that allow the Agency to function on a 21st Century level and to offer state-of-the-art services to its customers beyond what it is capable of offering today. The Salesforce licenses are an operational expense and the non-binding estimate received ranges from \$257,672.23 to \$362, 357.69. The higher cost contemplates a license plan including enhanced security features. (See Attachments C, D, E, F)

In an effort to satisfy the Agency's burden to justify the appropriation request and to move ahead with this modernization project; the Agency met with multiple vendors and received non-binding estimates for both the business analyst and the data integration/project management phases. Also, by means of comparison, the scope of work (SOW) for the AZ Department of Financial Institutions (DFI) was obtained. DFI recently completed a transition to Salesforce and is similar in size to the AMB and performs the equivalent tasks of licensing and regulation. (See Attachment G) The Salesforce estimates were done for the Agency with specific instructions not to include a product called "Basic Gov." Basic Gov is an "out-of-the-box" application compatible with Salesforce, which several licensing boards have implemented with minimal success. Basic Gov, while cheaper, does not offer many of the functions needed by the Agency particularly when it comes to document storage, production and retention.

Separate from this document the Agency has prepared two decision packages for submission to OSPB which provide the details and justification for the request of a one- time appropriation for \$2.125M dollars for the development phase of the modernization project, including a \$200,000 ask for training for Board IT Staff. Managers on the infrastructure and development side of our IT team are unfamiliar with Salesforce, and it is in the Agency's best interest to train and develop our existing personnel. If the \$2.125M is approved, the funds for development and education will be appropriated from the Agency's reserve fund and any unspent monies revert to the reserve fund.

A second decision package requests the addition of \$150,000 be permanently added to our budget appropriation going forward to fund the disparity in cost between GL Solutions which is currently \$230,000 annually, and the estimate for Salesforce of \$362,000 per annum.

If the \$1.125M appropriation is secured, the Agency anticipates that it will be placed in the Automation Projects Fund (APF) and the Agency will not be permitted to access or spend this appropriation without going through the statutorily mandated approval steps, which includes engaging in the PIJ process. This system of checks and balances allows the State to provide the best value for IT projects, and a mechanism for oversight.

Future State Options – Cost Comparison

Rough Order of Magnitude (ROM) Future State Costs			
Cost Verticals	One-Time Costs	Transition Costs	Ongoing Annual Costs
	IaaS setup costs, PaaS setup costs	Labor to build/deploy AMB from current to future state	Ongoing recurring IT costs to support the solution
CURRENT STATE: GLS v5 part hosted and part on-premise. All infrastructure on-premise.	None	None	\$1.35M
OPTION1: Migration to Hosted GLS v6 (hosted in Bend, OR) All other infrastructure remains unchanged.	None	\$400K-\$600K	\$1.34M
OPTION2: Migration to Hosted GLS v6 (hosted in Bend, OR). Remaining Infrastructure migrated to Azure Cloud Service	\$200K - \$300K	\$600K - \$800K	\$700K - \$1M
OPTION3: Implement Salesforce in place of GLS v6. Remaining Infrastructure migrated to Azure.	\$200K - \$300K	\$1.5M - \$2M	\$700K - \$1M



Patricia Mcsorley <patricia.mcsorley@azmd.gov>

Meetings - Salesforce Initiative

1 message

Kristina Fredericksen <kristina.fredericksen@azmd.gov>

Fri, May 17, 2019 at 10:59 AM

To: Patricia McSorley <Patricia.McSorley@azmd.gov>

January 31 - Engagement manager meeting to illicit ideas and strategy
February 20 - Engagement manager meeting to illicit ideas and strategy
March 14 - Pat meeting with Emily Rajakovich re: Salesforce
March 29 - Meeting with ASET to discuss PIJ requirements
April 1 - Meeting with Salesforce team to discuss broad paramaters of project
April 9 - MSS (Vendor) to discuss vision and parameters and get quote
April 11 - TEK Systems (Vendor) to discuss vision and parameters and get quote
April 17 - Select internal team members for digital transformation to Salesforce (This meeting included participants from OSPB, Engagement Management, SPO, DO and AMB
April 22- TEK Systems (Vendor) to answer Vendor questions
April 22 - Nerderly (Vendor) to discuss vision and parameters and get quote
April 25 - MST (Vendor) with Engagement Manager to discuss AMB's vision
April 30 - MK Partners (Salesforce Integrator) to discuss vision and parameters and get quote
May 6 - MSS - review their assessment, discuss options
May 6 - MST - review thier assessment, disuss options
May 7 - TEK Systems - review their "Blueprint" assessment
May 9 - MK Partners (Salesforce Integrator) to discuss assessment
May 9 & 10 - Arizona Digital Summit where we listened to presentations on the vision of Governor for the Cloud First Initiative and had extensive face to face interactions with the vendors who are working with the State's ASET helping move the initiative forward
May 10 - Kristina and Julie from Salesforce revisit AMB and DO specific needs for a rough licensing quote
May 14 - Pat and Kristina have final budgetary pricing discussion with Julie at Salesforce and were provided with a high and low estimate on the licensing prices for our future state needs.

--

Regards,
Kristina**Kristina Fredericksen, MPA**

Deputy Director

Arizona Medical Board

Arizona Regulatory Board of Physician Assistants

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MSS 

BUSINESS TRANSFORMATION

**AZ Medical Board – Modernization
Assessment proposal**

Agenda

- **CGI report findings – key gaps**
- **MSS Proposal**
- **MSS Approach**
- **Staffing Model & Project Financials**
- **Questions**

CGI Report – Key Findings

- ❖ Lack of clear definition of what “success looks like” 
 - ❑ Customers must have clear, measurable definitions what the final solution deliverables look like
 - ❑ CGI references multiple occasions on subjective terms such as “reduce” (p8-9) without measurable performance improvement indicators
 - ❑ Without clear performance goals, customers will “NOT” achieve best in class status
- ❖ Lack of clear strategy on de-commissioning legacy systems
 - ❑ Strategy is limited to focus on “excessive computing power with overall recommendation to eliminate unnecessary servers and migrate the remainder to cloud managed services” ”
 - ❑ No mention of other legacy systems
- ❖ No references or Architecture strategy on interfacing with 3rd party systems & Applications
- ❖ No references to document Management/Retention Capabilities – Absolutely critical component for a successful future state system

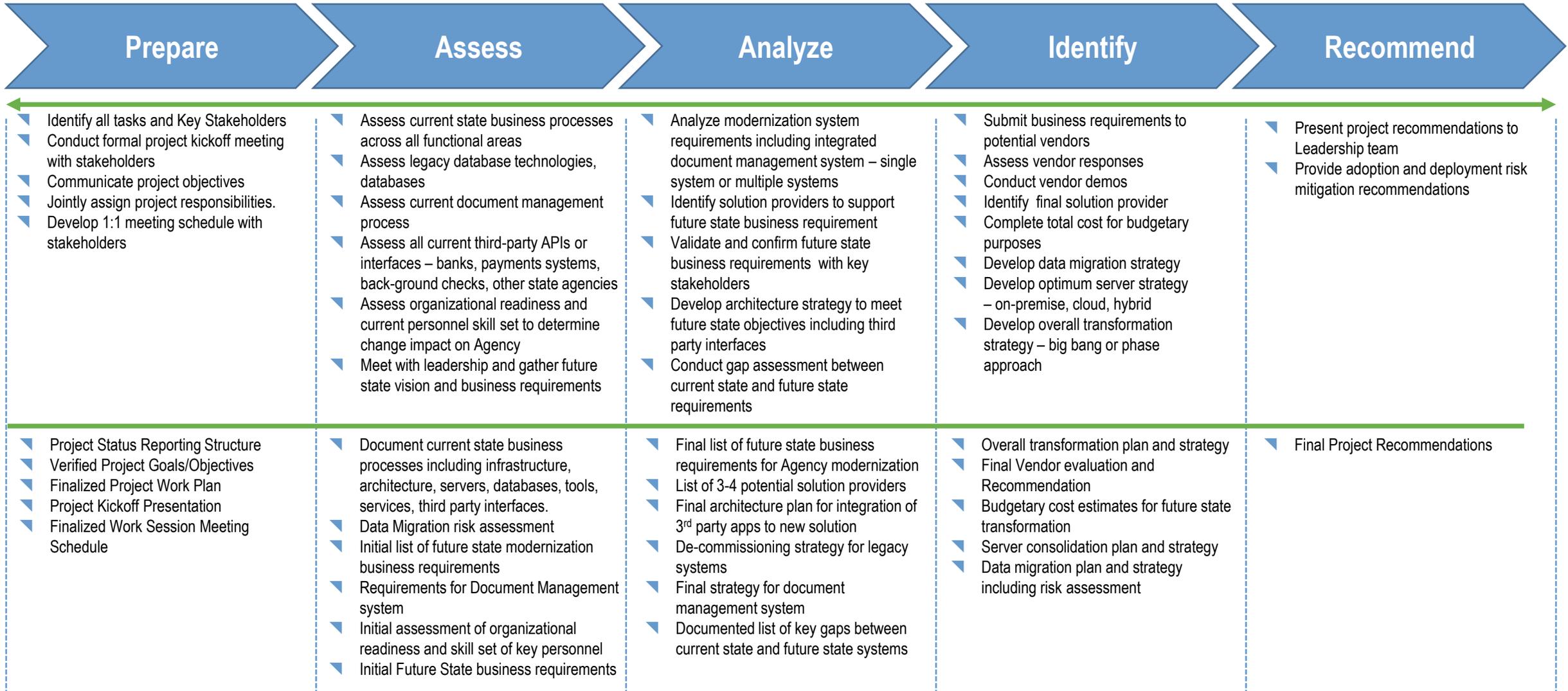
MSS proposal

Our understanding of AMB request for modernization

- ❖ Comprehensive assessment of current state and detailed vision of Future State solution
 - ❑ Leverage CGI report where possible
 - ❑ Future state must include Document Management capabilities
- ❖ Architecture & strategy for integrating future state solution with current 3rd party systems 
- ❖ Identify business requirements for future state solution 
- ❖ Identify list of potential solution providers with executive approval 
- ❖ Identify best in class solution and system integrator for modernizing AMB including cost estimate
- ❖ Strategy and Plan for implementing new system – big bang or phased approach?
- ❖ Strategy and execution plan for de-commissioning Legacy systems
- ❖ High level of Organizational Readiness to identify potential risks of implementing new system into AMB

Methodology: Key Activities and Deliverables

MSS has the tools and templates to complete the assessment within a 8 week timeline

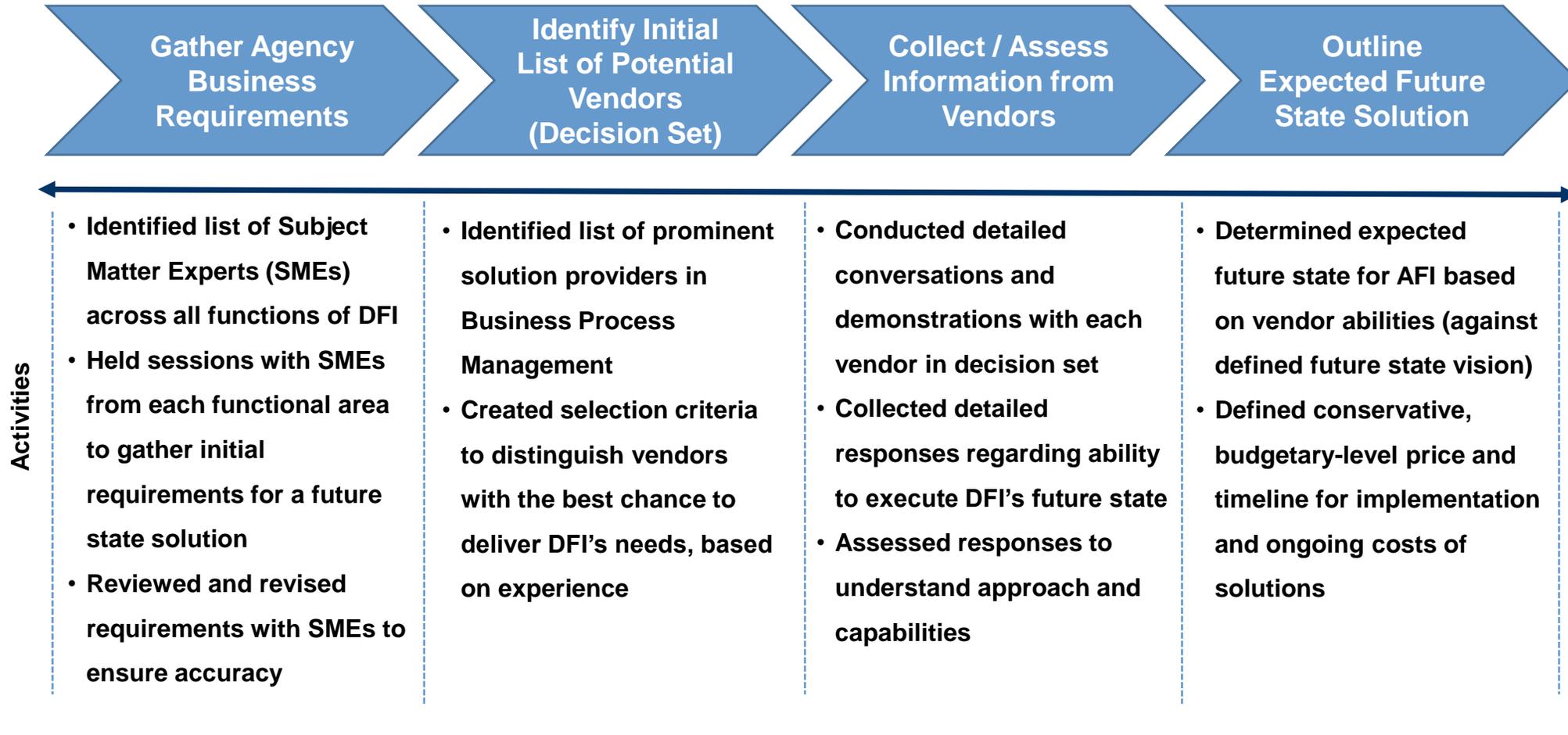


Our Approach – Vendor Identification/Analysis



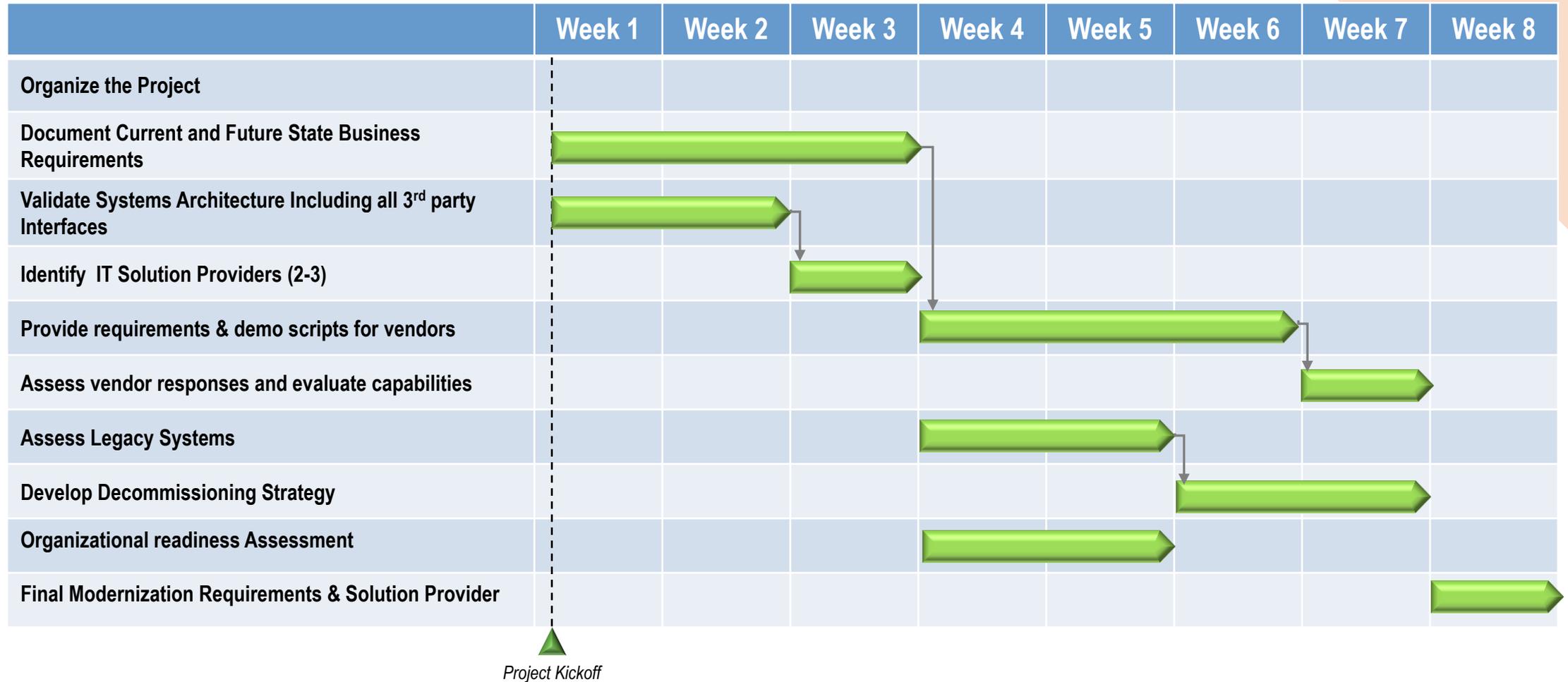
Sample

A structured Vendor Analysis is conducted to determine if the proposed future state vision could be supported.



Digital Transformation Assessment Timeline

The project will be broken into two phases to first create the Future State Design, and then leverage the design to select appropriate vendor(s) to deliver the desired Future State.



MSS Experience with AZ State Agencies

MSS has successfully managed multiple Digital Transformations covering diverse solutions & system integrators

AZ State Agency	Solution	Integrator	MSS Engagement Scope
<p>AZ State Land Dept. Modernizing agency from 100% paper based to cloud based paperless Operations 15 Months</p> 			<ul style="list-style-type: none"> <input type="checkbox"/> Phase 1 – Assess current state and recommend future state <input type="checkbox"/> Phase 2A – Assess and recommend modernization solution <input type="checkbox"/> Phase 2B – Identify & Select System and System Integrator <input type="checkbox"/> Phase 3 – Manage solution implementation <p>Advisory Services Provided by MSS:</p> <ul style="list-style-type: none"> ✓ Project Management and oversight including managing System Integrator activities ✓ Program Structure & Governance ✓ Solution Architecture and integration to 3rd party apps ✓ Solution identification & Vendor selection ✓ Gathering and documenting business requirements ✓ Organizational Change Management (OCM) focused on 100% user adoption ✓ Communications and Training plans ✓ Facilitating and managing UAT and writing test scripts ✓ De-commissioning strategy for legacy systems ✓ AWS Cloud migration support ✓ Data migration strategy and execution ✓ Document Policies & Procedures ✓ Successful Go-Live and post Go-Live Support ✓ Knowledge transfer for long-term sustainability
<p>AZ Lottery Project 1: Cloud based back-office system Project 2: Scratch Ticket Warehousing system 2017 to present</p> 	  	<ul style="list-style-type: none"> <input type="checkbox"/> Scientific Games Inc (SGI) <input type="checkbox"/> ThoughtSpan Technology <input type="checkbox"/> Pollard Banknote 	
<p>AZ Department of Financial Institutions eLicensing solution 15 Months</p> 			

MSS Proposal

MSS proposes a team of 5 subject matter experts (SMEs) to conduct a total of 812 hours of deep dive assessments and final recommendations over a 8 week period

Role	Hours
Project Manager – 1.0 FTE <ul style="list-style-type: none">Responsible for defining success factors and defining future state requirements.Perform gap analysis from current to future state objectives and overall transformation plan and strategy	320
Business Consultant – 1.0 FTE <ul style="list-style-type: none">Responsible for gathering & documenting current state & future state requirementsPerform vendor capability evaluations	320
IT Solution architect <ul style="list-style-type: none">Assess IT infrastructure and data migration strategy, identify interface issues and overall IT risks	80
Strategy and oversight <ul style="list-style-type: none">Develop corrective action plans, recommendations and path forward	32
Organizational Change Management Specialist <ul style="list-style-type: none">Assess Organizational readiness and system adoption risks	60
Total	812
Cost	\$154,060

References

- ❖ **Lisa Atkins – Commissioner ASLD o: 602.542.4621 • m: 602.819.5900**
- ❖ **Gregg Edgar – Executive Director AZ Lottery o: 480.921.4505 • m: 480.848.1153**
- ❖ **Biju Kamaleswaran – COO AZ Lottery o: 480.921.4402 • m: 602.510.0271**
- ❖ **Robert Charlton (retired)– Superintendent DFI m: (602) 549-4999**
- ❖ **Lola Duncan – Finance DFI o: 602.771.2781 • m: 602.690.0241**
- ❖ **Morgan Reed – AZ State CIO o: 602-542-0224**
- ❖ **Doug Lange – AZ State CSO ASET o: 602.542.5418 • m: 602.290.4569**



Questions?



Based on discussions with DFI Leadership team and our experience with other AZ State agencies, MSS has defined the following Future State Operating model for DFI

Key Attributes of DFI Future State

Must Have

- 1 100% Paperless Transactions – DFI goes paperless
- 2 Key transactions automated using workflow
- 3 Automated import from NMLS
- 4 Strategy and plan to de-commission Legacy Systems – BDIS, WAL, Paradox, BDIS-reports, Shadow systems
- 5 Ability to integrate with 3rd party systems – B of A CC payments, AZ state e-Payments, OnBase DM, AZ Web portal
- 6 Agency-wide solution – current solution does not include all agency departments
- 7 Streamlined DFI user experience – Significant impact on user adoption and deployment

Nice to have

- 8 Mobile capability (remote access and approvals, expandable capabilities, etc.)
- 9 Superior customer experience – access and visibility

Summary - Does the current solution, as scoped in the SOW, meet DFI current state and Future State needs?



Key Assumptions:

- *RIMS Phase II project goes live as defined in the current Statement of Work (SOW)*
- *100% of Future State requirements are met – ✓*
- *Less than 100% of Future State requirements including some requirements are partially met - ✗*



Key Attributes of DFI Future State	In-Scope Phase II	Comments / Clarifications
100% Paperless Transactions – DFI goes paperless	✗	Limited to partial scope defined in Phase II – not FI or Appraisals
Key transactions automated using workflow	✗	Workflows exist, but are not automated
Automated import from NMLS	✓	SOW requested approval prior to import of NMLS data. However, it is unknown if this functionality can be delivered.
Strategy and plan to de-commission Legacy Systems – BDIS, WAL, Paradox, BDIS-reports, Shadow systems	✗	Identified gap – complete agency implementation required to sunset BDIS
Ability to integrate with 3 rd party systems – B of A CC payments, AZ state e-Payments, OnBase DM, AZ Web portal	✗	Only interfaces with OnBase DM
Agency-wide solution	✗	Current scope is limited to Financial Enterprises only. Implementation should encompass entire agency to truly transform the organization
Streamlined DFI user experience	✗	DFI feedback: cumbersome, non-intuitive interface and process
Mobile capability (remote access and approvals, expandable capabilities, etc.)	✗	Even if future phase, would require significant customization for limited capabilities
Superior customer experience – access and visibility	✗	Customer notifications/visibility to status not included

Gathered Business Requirements



In order to develop an effective, detailed scope to implement the defined future state, we gathered 305 business requirements from AZ DFI Subject Matter Experts. These sessions included all functional areas of the agency and captured both current and future state requirements.



Future State Capability	Accounting	Actions & Orders	Examinations	Consumer Affairs	Solution Functionality	Licensing	Reporting	Total
100% Paperless Transactions	2	10	6	7	10	8	1	44
Key transactions automated using workflow	5	6	15	10	9	13	1	59
Automated import from NMLS	2	-	-	-	2	4	-	8
Strategy and plan to de-commission Legacy Systems	3	1	5	3	6	2	-	20
Ability to integrate with 3rd party systems	6	1	1	-	4	1	-	13
Agency-wide solution	7	1	7	3	8	9	8	43
Streamlined DFI user experience	6	11	22	10	10	16	21	96
Mobile capability	-	-	1	1	1	-	-	3
Superior customer experience	2	-	2	4	2	9	-	19
Total	33	30	59	38	52	62	31	305

Vendor Selection Criteria



Based on our requirements gathering and background knowledge of the agency, we developed a decision set of potential IT Solution providers to meet the current and future objectives of the agency.

Solution	Solution Description	State Agency Presence	Experience with NMLS Integration	Arizona Agency Experience	Product Support and Enhancements
Appian 	<ul style="list-style-type: none"> • Strong presence in Business Process Management • Custom toolset for flexible workflow development • Experience with Federal Agencies (vs. State) 				
GL Solutions 	<ul style="list-style-type: none"> • Government presence in licensing & investigations • Used by Wyoming DFI • Web-based, Commercial-off-the-Shelf solution 				
MicroPact (CAVU) 	<ul style="list-style-type: none"> • Leader in Government for Business Process Mgmt • Specialize in Regulatory Enforcement and Licensing • Used by nine other state DFIs 				
North Carolina DFI Solution 	<ul style="list-style-type: none"> • Solution developed for NC DFI • Used by multiple state DFIs • Must be maintained by AZ DFI 				
Pega Systems BPM 	<ul style="list-style-type: none"> • Highly ranked solution (Gartner's Magic Quadrant) • Digital platform for high-volume workflow automation • Limited Government financial experience 				
BasicGov eLicensing 	<ul style="list-style-type: none"> • Solution for licensing, complaints, and examinations • Being implemented for several other AZ agencies • Extensive experience in Public Sector implementations 				
ThoughtSpan 	<ul style="list-style-type: none"> • Implemented in AG's Office – Complaints Mgmt • Flexible tool with solutions in other state agencies similar to unique requirements of AZ DFI 				

Vendor Selection Criteria

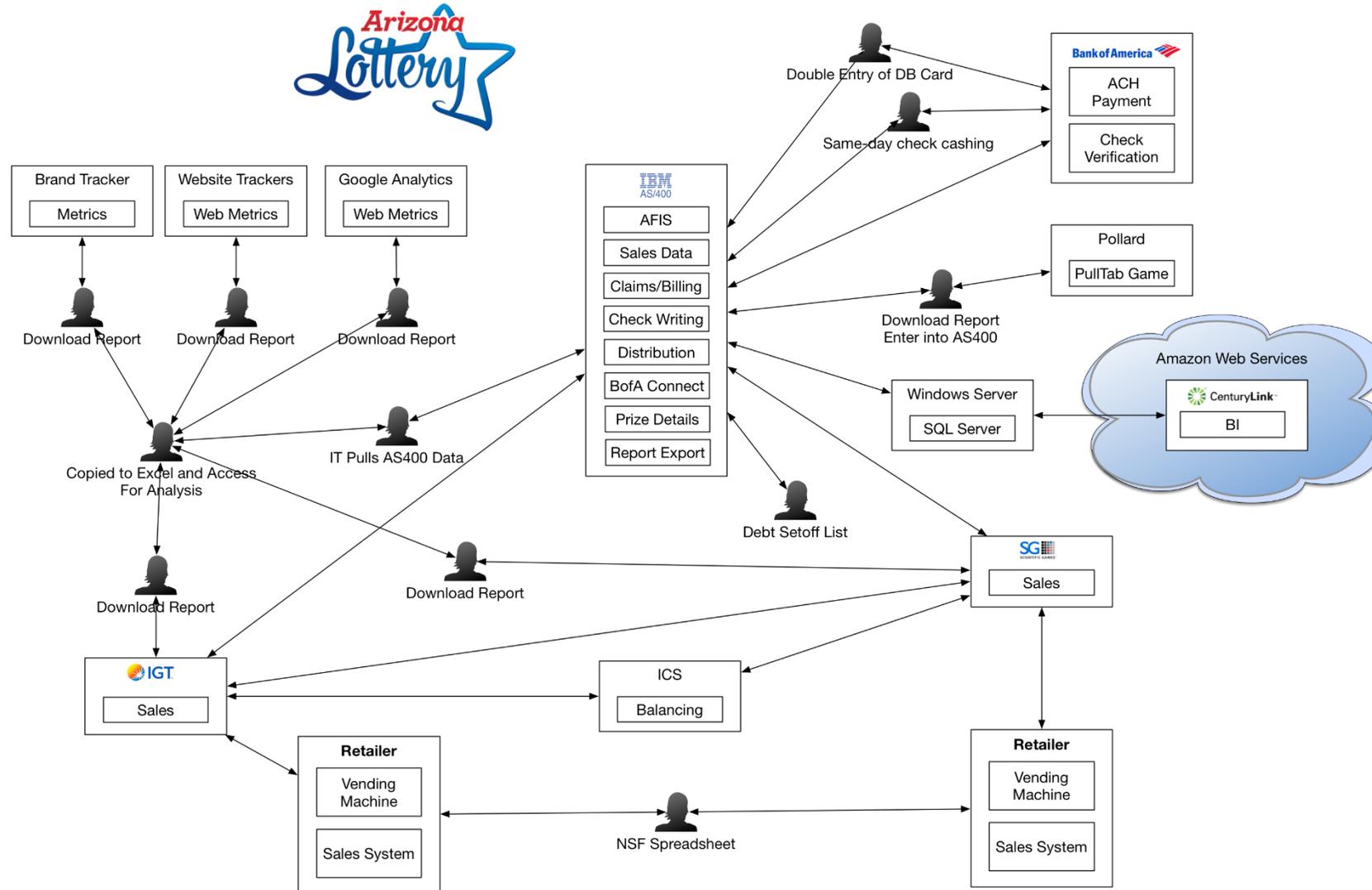


Based on our findings, we narrowed our decision set to the vendors that met most of our Vendor Selection Criteria – GL Solutions, MicroPact, Salesforce, and ThoughtSpan.

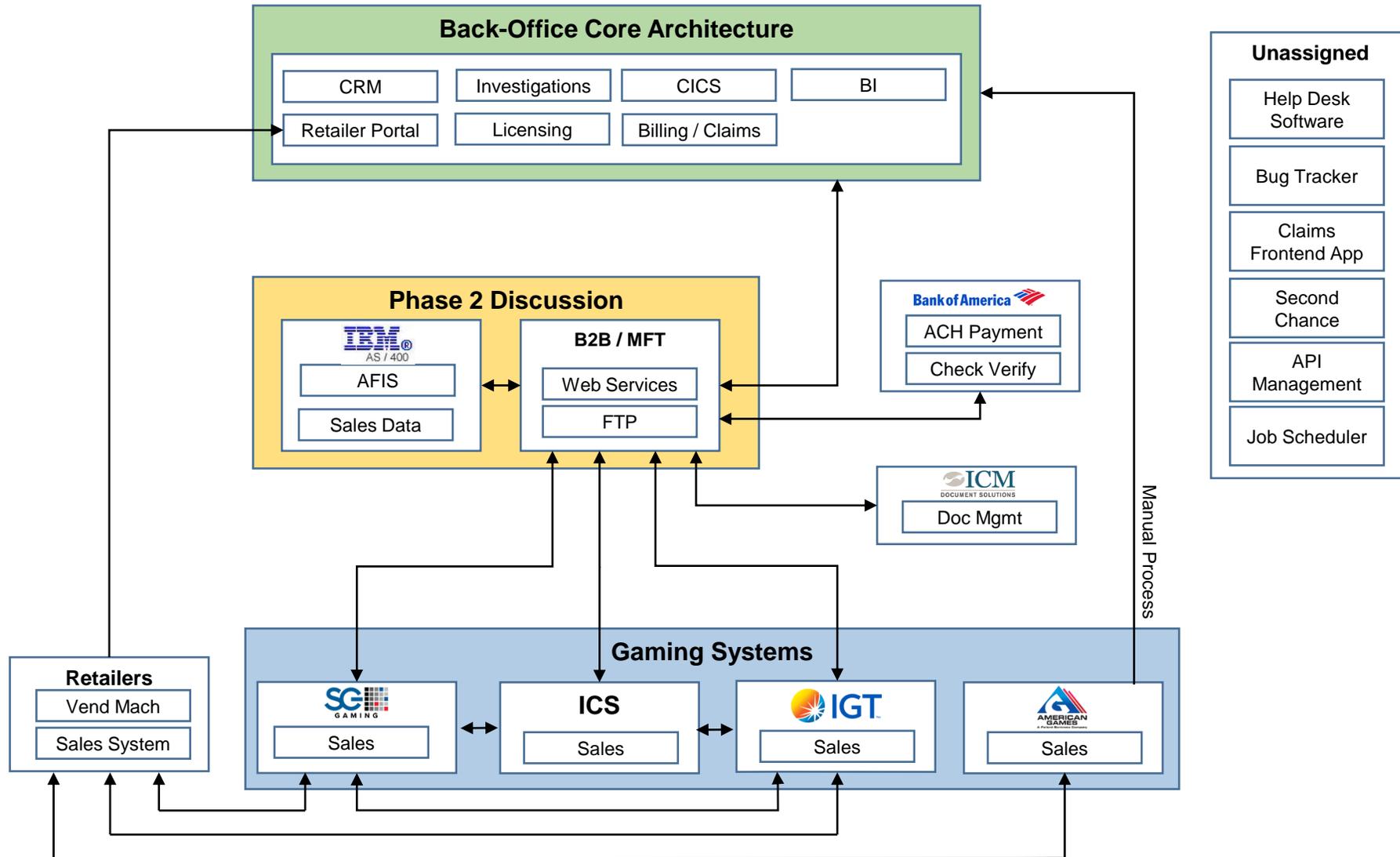


Solution	Solution Description	State Agency Presence	Experience with NMLS Integration	Arizona Agency Experience	Product Support and Enhancements
Appian	<ul style="list-style-type: none"> Strong presence in Business Process Management Custom toolset for flexible workflow development Experience with Federal Agencies (vs. State) 	X	X	X	✓
GL Solutions	<ul style="list-style-type: none"> Government presence in licensing & investigations Used by Wyoming DFI Web-based, Commercial-off-the-Shelf solution 	✓	X	✓	✓
MicroPact (CAVU)	<ul style="list-style-type: none"> Leader in Government for Business Process Mgmt Specialize in Regulatory Enforcement and Licensing Used by nine other state DFIs 	✓	✓	✓	✓
North Carolina DFI Solution	<ul style="list-style-type: none"> Solution developed for NC DFI Used by multiple state DFIs Must be maintained by AZ DFI 	✓	✓	X	X
Pega Systems BPM	<ul style="list-style-type: none"> Highly ranked solution (Gartner's Magic Quadrant) Digital platform for high-volume workflow automation Limited Government financial experience 	✓	X	X	✓
BasicGov eLicensing	<ul style="list-style-type: none"> Solution for licensing, complaints, and examinations Being implemented for several other AZ agencies Extensive experience in Public Sector implementations 	✓	✓	✓	✓
ThoughtSpan	<ul style="list-style-type: none"> Implemented in AG's Office – Complaints Mgmt Flexible tool with solutions in other state agencies similar to unique requirements of AZ DFI 	✓	✓	✓	✓

Landscape Today



Future State Integration and System Architecture





Kristina Fredericksen <kristina.fredericksen@azmd.gov>

Fwd: AMB Digital Transformation Project - MST (SF Integrator)

1 message

Kristina Fredericksen <kristina.fredericksen@azmd.gov>
To: Patricia McSorley <Patricia.McSorley@azmd.gov>

Thu, May 16, 2019 at 9:02 AM

----- Forwarded message -----

From: **Ryan Smith** <ryan@mstsolutions.com>
Date: Wed, May 8, 2019 at 10:30 PM
Subject: Re: AMB Digital Transformation Project - MST (SF Integrator)
To: damon.wellman@azdoa.gov <damon.wellman@azdoa.gov>, kristina.fredericksen@azmd.gov <kristina.fredericksen@azmd.gov>
Cc: Srikanth Balusani <srikanth@mstsolutions.com>

Hello Kristina & Damon,

Srikanth and I want to thank you again for your time and sharing the high level needs of Arizona Medical Board. In our discussion we saw many parallels to other work we've done at agencies and its really exciting to see another agency gearing up for a transformation.

The attached slide deck contains information about Salesforce, MST Solutions and tells the stories of two transformations we recently partnered with agencies to achieve. Based on the conversation Monday where we discussed your goals and potential scope for licensing, regulatory, general workflow etc. we estimate our costs for implementation, change management and governance to be in the rough order range of \$650k to \$850k.

Kristina, I would love to get you in touch with our valued customers at State Land as I think you would benefit from that. Damon, of course I will include you on the note as well!

Please let us know if you have any questions on the material or information.

P.S. Kristina sure hope your pup is doing okay. Best regards.

Ryan & Srikanth

Ryan Smith

DIRECTOR of ENGAGEMENT, PUBLIC SECTOR

O | 480.719.1579 x 250 M | 602.369.4598

From: damon.wellman@azdoa.gov

When: 2:30 PM - 3:30 PM May 6, 2019

Subject: Updated invitation: AMB Digital Transformation Project - MST (SF Integrator) @ Mon May 6, 2019 2:30pm - 3:30pm (MST) (ryan@mstsolutions.com)

Location: PHX-100N15-3-ASET-307 (16) [Projector, Speakerphone]

This event has been changed.

[more details »](#)

AMB Digital Transformation Project - MST (SF Integrator)

When **Changed:** Mon May 6, 2019 2:30pm – 3:30pm Mountain Standard Time - Phoenix

Where PHX-100N15-3-ASET-307 (16) [Projector, Speakerphone] ([map](#))

Calendar ryan@mstsolutions.com

- Who
- damon.wellman@azdoa.gov - organizer
 - kristina.fredericksen@azmd.gov
 - ryan@mstsolutions.com
 - patricia.mcsorley@azmd.gov
 - justin.bohall@azdo.gov

Introductions

Overview of Arizona Medical Board

Current State / Challenges / Goals

Overview of MST

Capabilities

Prior success stories

Q & A Throughout

Going (ryan@mstsolutions.com)? **Yes - Maybe - No** [more options »](#)

Invitation from [Google Calendar](#)

You are receiving this courtesy email at the account ryan@mstsolutions.com because you are an attendee of this event.

To stop receiving future updates for this event, decline this event. Alternatively you can sign up for a Google account at <https://www.google.com/calendar/> and control your notification settings for your entire calendar.

Forwarding this invitation could allow any recipient to send a response to the organizer and be added to the guest list, or invite others regardless of their own invitation status, or to modify your RSVP. [Learn More](#).

--
Regards,
Kristina



Kristina Fredericksen, MPA

Deputy Director

Arizona Medical Board

Arizona Regulatory Board of Physician Assistants

A 1740 W. Adams, Suite 4000, Phoenix, AZ 85007

P 480-551-2763 **M** 480-487-3816

E Kristina.Fredericksen@azmd.gov **W** <http://azmd.gov/>

 **MST Overview for AMB.pdf**
12437K



State of Arizona Success Stories

Prepared for: Arizona
Medical Board

2195 W. Chandler Blvd. Ste. 100
Chandler, Arizona 85224



State of Arizona Success Stories

Prepared for:
Arizona Medical Board

2195 W. Chandler Blvd. Ste. 100
Chandler, Arizona 85224

Agenda

- ▶ What is Salesforce?
- ▶ Who is MST Solutions?
- ▶ AMB Business Overview
 - ▶ High-level overview
 - ▶ Licensing
 - ▶ Permits
 - ▶ Inspections
 - ▶ Investigations

Government in the cloud with Salesforce + MST Solutions

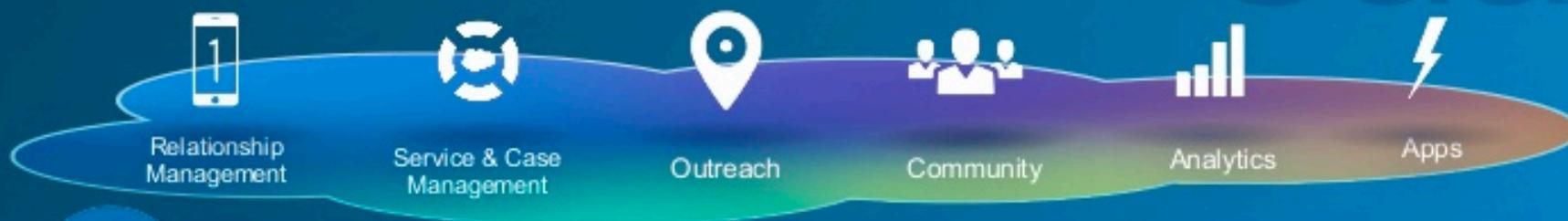
Salesforce Government Cloud



Eliminating up to 80% of your IT Lifecycle Cost
Allowing I.T. to Focus on Innovation

The salesforce Government Success Platform

SaaS



salesforce | platform

Government Success Platform Services


Shared
Cloud Database


Shared
Workflow


Shared
Reporting


Shared
Collaboration


Shared
APIs


Shared Identity

Trusted
Security

Always on
Availability

Performance at
Scale

Application
Innovation

Multitenant
Infrastructure

Use Social Studio
connect to citizens
in real-time



Employee
experience and
productivity



Reporting &
Analytics



Task management
to drive accuracy
and efficiency



Intuitive Case
Management with
workflow rules and
prioritization



Employee
experience and
productivity



Partner and Customer
Communities for self-service and
portals



salesforce

End-to-End
Platform
Capabilities

Empower employees and
citizens through a
Knowledge Base. Get the
right answers at the right
time



Get the job done on
the go with a mobile-
friendly experience
that supports any
form factor



Omni-channel to
personalize
engagement with
customers



Task management
and work
distribution



Workflows
and
Automation



360 degree view of the
citizen



About MST Solutions



Industry Expertise

Public Sector

Higher Education

Healthcare

Non-Profit

Manufacturing

Financial Services

Clients

Focus in State and
Local Agencies

- Founded** | 2012, now Arizona's largest Salesforce partner
- Business** | Customer experience through CRM, Business operations transformation
- Worldwide Network** | Headquartered in Chandler, Arizona with overseas divisions in India
- Team** | 94 staff members in Chandler, 190 staff members in India



silver partner

126

Implementations

200%

YOY FTE Growth

12

Completed with Survey

*last 18 months

9.7

Customer Satisfaction Rating



FORCE.COM DEVELOPER

47



SALESFORCE PLATFORM APP BUILDER

105



SALESFORCE PLATFORM DEVELOPER I

47



SALESFORCE ADMINISTRATOR

50



SALESFORCE ADVANCED ADMINISTRATOR

6



FORCE.COM ADVANCED DEVELOPER

2



SALESFORCE SERVICE CLOUD CONSULTANT

8



SALESFORCE SALES CLOUD CONSULTANT

11



PARDOT CONSULTANT

4

Recognitions

PHOENIX BUSINESS JOURNAL



2017 BEST PLACES TO WORK



PHOENIX
Business Journal



**LARGEST TECHNOLOGY
CONSULTING COMPANIES**



PHOENIX
Business Journal



**LARGEST SOFTWARE
COMPANIES**

Our Valued Clients



Serving the Public Sector



FIRST THINGS FIRST
Ready for School. Set for Life.



Greater Phoenix
ECONOMIC COUNCIL



Case Studies

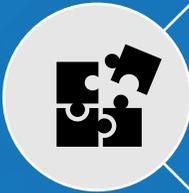
Arizona Workers' Compensation Claims & Administrative Law Judge System



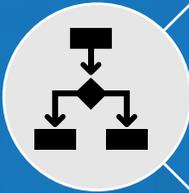
Transformation to the cloud through an integrated platform consisting of Service Cloud, Communities and document management system providing 360 degree view to meet citizen needs



Implemented Claims application with automated form intake (paper, fax, ftp, webform), NCCI data feed, workflows, queues and automated task assignment for units like Insurance Group, Wage Group, Compliance Group, Ombudsman Group etc.



Seamless integration between Claims and ALJ application with automated case generation and assignment based on claims department referral or from other departments like legal, labor and the director's office



Implemented MuleSoft to integrate multiple applications like document management system, FTP Today, eFax, Special Fund JWS File Handler using APIs

Arizona State Land Department

Project L.E.A.P
Digital transformation focused on
customers and employees.



Arizona State Land Department



Transforming application and permit processes to a paperless model and implementing AZ Land's foundational citizen relationship platform.

World-class CRM foundation through implementation of Salesforce.com, Service Cloud, Customer Communities, Knowledge and Salesforce1



Newly created insights for the commissioner and her staff to best support citizens and manage Land assets

Paper applications converted to web application platform with custom workflows and standardized tasks



Establish 360 view of the customer for optimal servicing and effective management of citizen relationship



The Challenge

- Inefficient paper-reliant processes
- Siloed approach to processing applications
- Inconsistent operations and outcomes
- Ineffective communication



KPI's

Commercial Sales Process

- Over **130** steps in the process
- Application physically handed off **90** times
- Application physically traveled **1.5** miles throughout the Land Department
- Average lead time of approximately **193** days

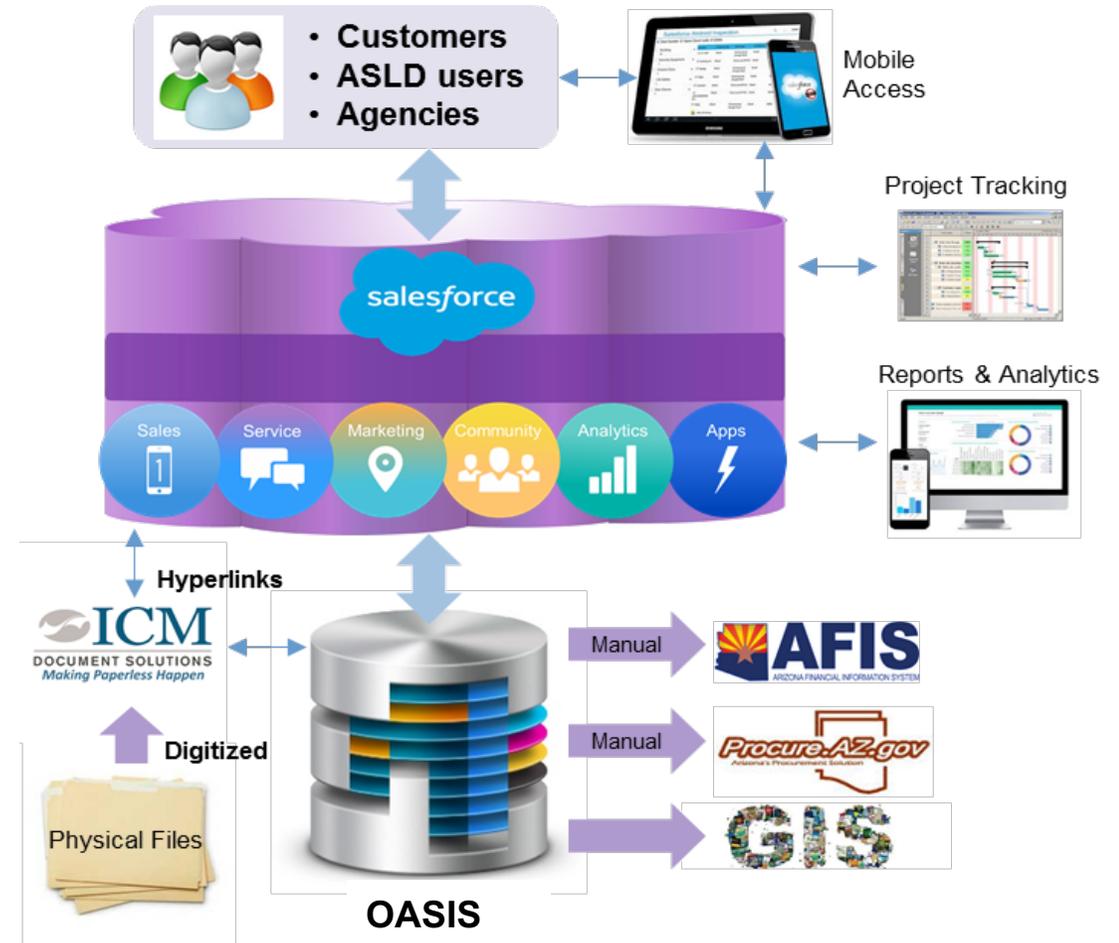
ASLD

- Department receives approximately **1,300** new applications annually
- Over **50** different application types within **8** major value streams



Project Vision and Goals

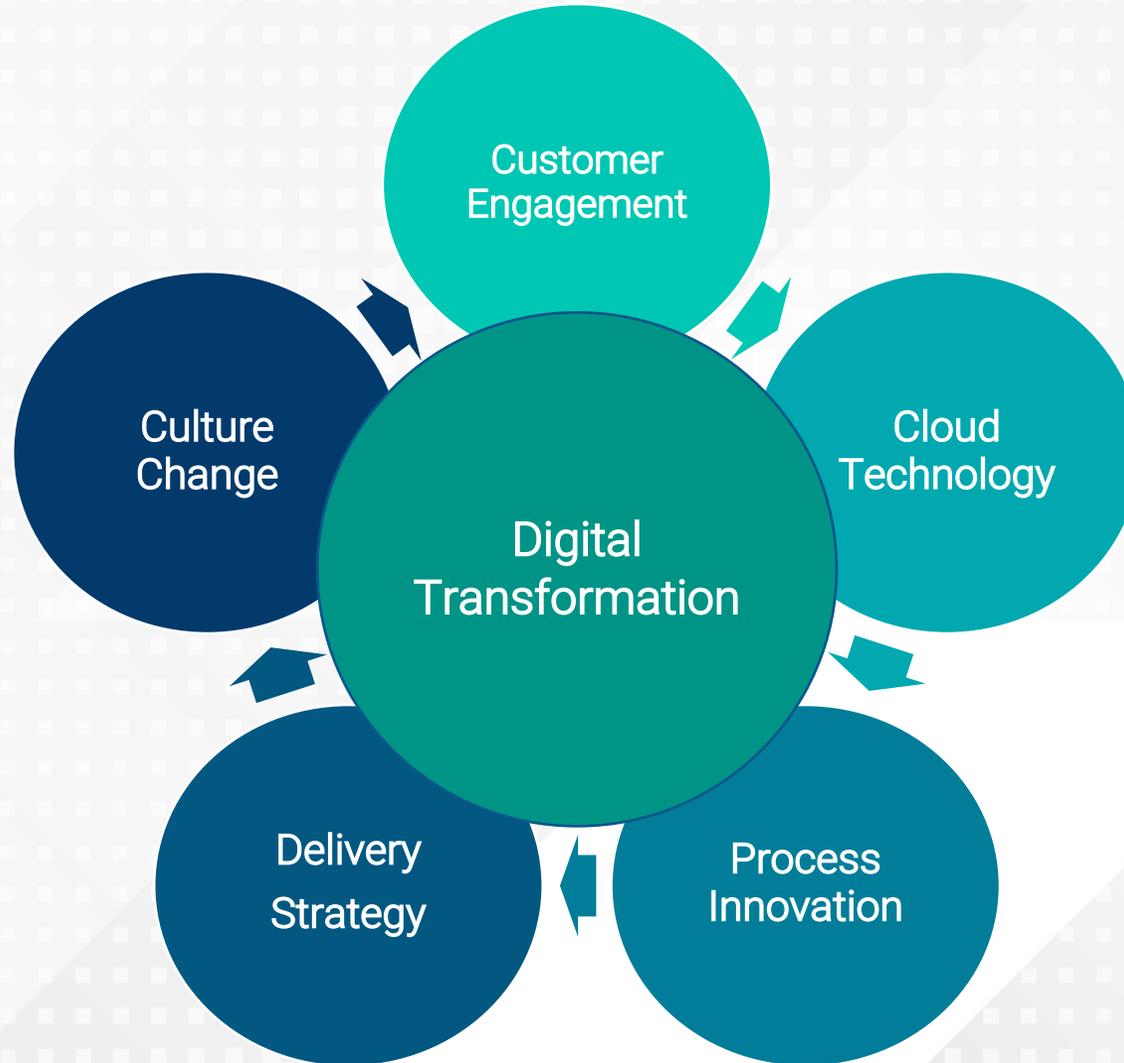
- Establish an **electronic workflow** to accurately standardize tasks and activities
- A formalized **project tracking** system to manage backlog, track activities and provide access to historical data
- **Standardized** data to ensure all relevant information is available in **real time**
- Robust metrics and reporting capabilities with self-service and **dashboard** features
- **Digitize** current in-process paper files to consolidate into one paperless system
- **9 Month Timeline**



What does digital transformation mean for the State Land Department?

- Paper
- Aged Processes
- Legacy Technology

Workplace of the Past



- Cloud Technology
- Operational Excellence
- Customer Intimacy
- Information Visibility

Modern Workplace

Recipe for Success

➤ Conversations at the core



L.E.A.P Transformation Results

1 Platform & 3 Cloud Products Implemented
19,000 Paper Files Digitized
700+ Electronic Applications Submitted Online

1 AMS Lean Initiative Partnered With
145 Standard Work Articles Published
10+ Departments & 112 Users On-boarded & Trained

2894 Customer Logins
365 Customer Community Users

5,000 Customers & 1300 Live Apps Migrated
19,000 Applications Digitized

Cloud
Technology

Operational
Excellence

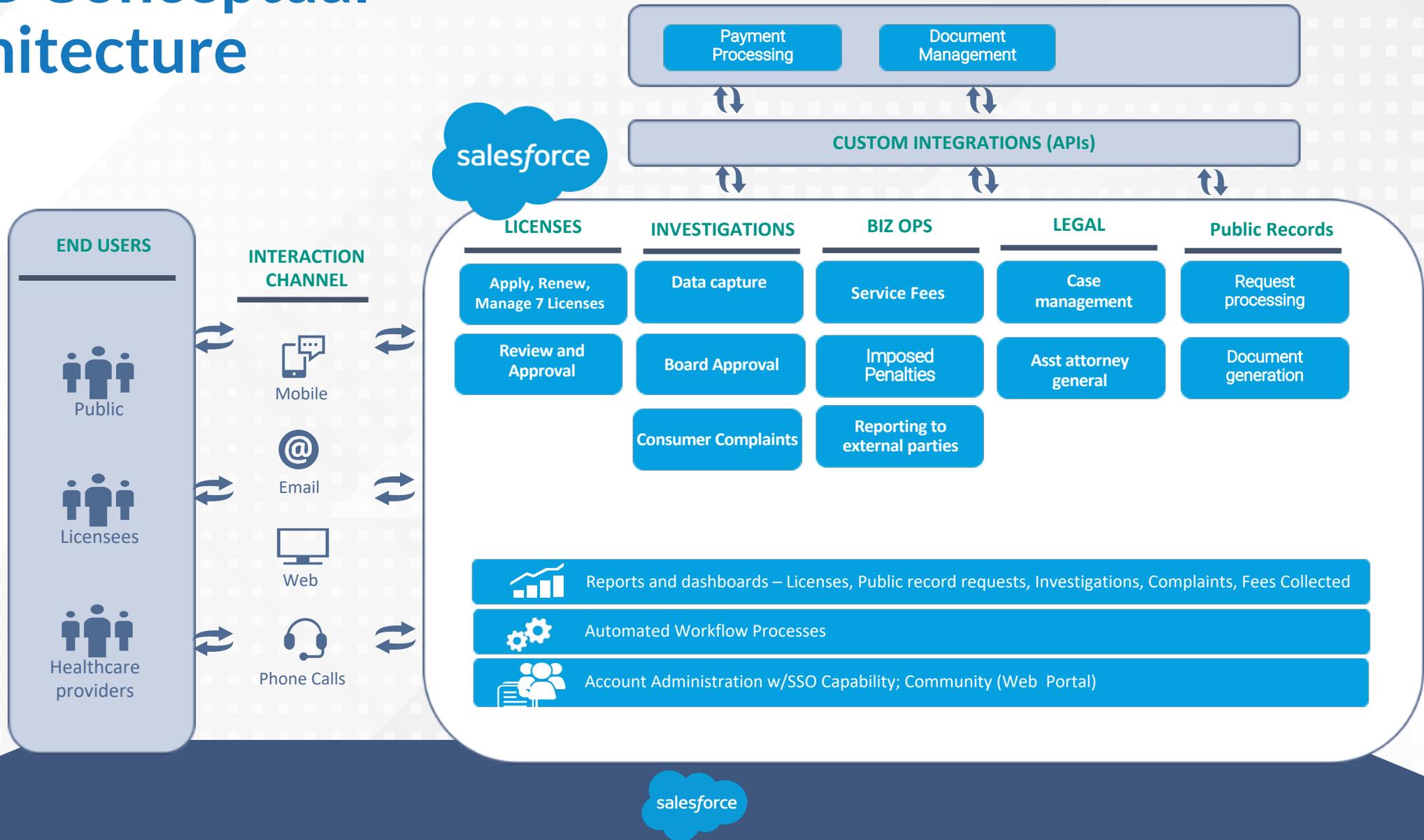
Customer
Intimacy

Information
Visibility

A modernized workplace

Conceptual Architecture for Arizona Medical Board

AMB Conceptual Architecture





Thank you!

QUOTE CONFIRMATION



DEAR JOE BRINDLEY,

Thank you for considering CDW•G for your computing needs. The details of your quote are below. [Click here](#) to convert your quote to an order.



ACCOUNT MANAGER NOTES: This is being quoted/sold under the CDW-G Software VAR Master Agreement - Arizona NVP Software (ADSP017-149774)

QUOTE #	QUOTE DATE	QUOTE REFERENCE	CUSTOMER #	GRAND TOTAL
KQCX876	5/14/2019	SALESFORCE 1	6481772	\$362,357.69

QUOTE DETAILS				
ITEM	QTY	CDW#	UNIT PRICE	EXT. PRICE
NEW ITEMS DO NOT PICK THIS LINE	70	NEW-ITEM	\$2,061.86	\$144,330.20
Mfg. Part#: NEW-ITEM Mfg: 205-0005 Lightning Service Cloud Unlimited Edition Salesforce.com, Inc. - 205-0005 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET				
NEW ITEMS DO NOT PICK THIS LINE	30	NEW-ITEM	\$687.30	\$20,619.00
Mfg. Part#: NEW-ITEM Mfg: 205-0143 Employee Apps Plus Lightning Platform Plus Salesforce.com, Inc. - 205-0143 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET				
NEW ITEMS DO NOT PICK THIS LINE	1	NEW-ITEM	\$23,849.77	\$23,849.77
Mfg. Part#: NEW-ITEM Mfg: 205-0125 Unlimited Edition Government Cloud 5% List Price / \$100 Salesforce.com, Inc. - 205-0125 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET				
NEW ITEMS DO NOT PICK THIS LINE	3501	NEW-ITEM	\$21.00	\$73,521.00
Mfg. Part#: NEW-ITEM Mfg # 205-0026 Customer Community Plus Logins Salesforce.com, Inc. - 205-0026 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET				
NEW ITEMS DO NOT PICK THIS LINE	1	NEW-ITEM	\$71,549.34	\$71,549.34
Mfg. Part#: NEW-ITEM Mfg #: 205-0116 Salesforce Shield 30% Net Price / \$100 Salesforce.com, Inc. - 205-0116				

QUOTE DETAILS (CONT.)

Start Date: 06/01/2019
 End Date: 05/31/2020
 Contract: MARKET

PURCHASER BILLING INFO	SUBTOTAL	\$333,869.31
Billing Address: ARIZONA MEDICAL BOARD ACCOUNTS PAYABLE 1740 W ADAMS ST STE 4000 PHOENIX, AZ 85007-2607 Phone: (480) 551-2700 Payment Terms: Net 30 Days-Govt State/Local	SHIPPING	\$0.00
	SALES TAX	\$28,488.38
	GRAND TOTAL	\$362,357.69
	DELIVER TO	
Shipping Address: ARIZONA MEDICAL BOARD JOE BRINDLEY 1740 W ADAMS ST STE 4000 PHOENIX, AZ 85007-2607 Phone: (480) 551-2700 Shipping Method: DROP SHIP-GROUND	Please remit payments to: CDW Government 75 Remittance Drive Suite 1515 Chicago, IL 60675-1515	

Need Assistance? CDW•G SALES CONTACT INFORMATION



Michelle Rzepecki

(877) 402-4306

michrze@cdwg.com

This quote is subject to CDW's Terms and Conditions of Sales and Service Projects at <http://www.cdwg.com/content/terms-conditions/product-sales.aspx>
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QUOTE CONFIRMATION



DEAR JOE BRINDLEY,

Thank you for considering CDW•G for your computing needs. The details of your quote are below. [Click here](#) to convert your quote to an order.



ACCOUNT MANAGER NOTES: This is being quoted/sold under the CDW-G Software VAR Master Agreement - Arizona NVP Software (ADSP017-149774)

QUOTE #	QUOTE DATE	QUOTE REFERENCE	CUSTOMER #	GRAND TOTAL
KQCZ071	5/14/2019	SALESFORCE 2	6481772	\$275,672.23

QUOTE DETAILS				
ITEM	QTY	CDW#	UNIT PRICE	EXT. PRICE
NEW ITEMS DO NOT PICK THIS LINE Mfg. Part#: NEW-ITEM MFG # 205-0004 Lightning Service Cloud Enterprise Edition Salesforce.com, Inc. - 205-0004 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET	70	NEW-ITEM	\$1,030.94	\$72,165.80
NEW ITEMS DO NOT PICK THIS LINE Mfg. Part#: NEW-ITEM MFG# 205-0143 Employee Apps Plus Lightning Platform Plus Salesforce.com, Inc. - 205-0143 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET	30	NEW-ITEM	\$687.29	\$20,618.70
NEW ITEMS DO NOT PICK THIS LINE Mfg. Part#: NEW-ITEM MFG # 205-0026 Customer Community Plus Logins Salesforce.com, Inc. - 205-0026 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET	3501	NEW-ITEM	\$27.24	\$95,367.24
NEW ITEMS DO NOT PICK THIS LINE Mfg. Part#: NEW-ITEM MFG # 205-0124 Enterprise Edition Government Cloud 30% List Price / \$100 Salesforce.com, Inc. - 205-0124 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET	1	NEW-ITEM	\$65,843.52	\$65,843.52

PURCHASER BILLING INFO	SUBTOTAL	\$253,995.26
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Billing Address: ARIZONA MEDICAL BOARD ACCOUNTS PAYABLE 1740 W ADAMS ST STE 4000 PHOENIX, AZ 85007-2607 Phone: (480) 551-2700 Payment Terms: Net 30 Days-Govt State/Local	SHIPPING	\$0.00
	SALES TAX	\$21,676.97
	GRAND TOTAL	\$275,672.23
DELIVER TO Shipping Address: ARIZONA MEDICAL BOARD JOE BRINDLEY 1740 W ADAMS ST STE 4000 PHOENIX, AZ 85007-2607 Phone: (480) 551-2700 Shipping Method: DROP SHIP-GROUND	Please remit payments to: CDW Government 75 Remittance Drive Suite 1515 Chicago, IL 60675-1515	

Need Assistance? CDW•G SALES CONTACT INFORMATION

	Michelle Rzepecki		(877) 402-4306		michrze@cdwg.com
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 For more information, contact a CDW account manager

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CGI	MSS	MST	Department of Financial Institutions (DFI)
<p>Proposal provided by CGI in April all costs associated with move to Salesforce (Business analyst/data integrator)</p> <p>Recommended a move from GL Solutions to a more modern database like Salesforce.</p> <p>Estimated Cost \$1.5-\$2M</p>	<p>Proposal provided for the business analyst.</p> <p>Estimated cost \$154,060</p>	<p>Proposal provided which includes both a business analyst and the data integrator.</p> <p>Estimated cost \$1M</p>	<p>DFI successfully completed a transition to Salesforce for their licensing and enforcement functions.</p> <p>Scope of Work(SOW) shows the cost at:</p> <p>MSS-Pre-Project Work:\$46,800 (business analyst);</p> <p>MSS-Assessment (Phase II) \$39,100(business analyst);</p> <p>Data Integrator-Deloitte \$790,000.</p> <p>Total Project: \$875,900</p> <p>PIJ Request: \$1.8M</p>

Project Investment Justification

Digital Transformation - eLicense

BD18001

Department of Financial Institutions

1. GENERAL INFORMATION

PIJ ID: BD18001

PIJ Name: Digital Transformation - eLicense

Account: Department of Financial Institutions

Business Unit Requesting: Department of Financial Institutions

Sponsor: Robert D. Charlton

Sponsor Title: Superintendent

Sponsor Email: rcharlton@azdfi.gov

Sponsor Phone: (602) 771-2770

2. MEETING PRE-WORK

2.1 What is the operational issue or business need that the Agency is trying to solve? (i.e....current process is manual, which increases resource time/costs to the State/Agency, and leads to errors...):

Currently, Department of Financial Institutions (DFI) does not have an E-License solution and the current technology in place requires manual processes to get carried out by multiple parties within the agency. This leads to a complex support environment due to multiple vendors and home-grown implementations, lack of standards resulting in the inability to modify as needs change quickly, and lack of overall IT strategy to align with current and future technologies being used across the state.

2.2 How will solving this issue or addressing this need benefit the State or the Agency?

Benefits to DFI will include:

- Single vendor support in regards to CRM & eLicense Platform
- Standardized citizen experience
- Adaptable solution to quickly adjust to changing business needs
- A statewide contract will reduce overall costs

2.3 Describe the proposed solution to this business need.

The State of Arizona has created an Enterprise contract for Budget Units (BU) authorized to issue licenses, permits or other such documents to individuals, professionals, and organizations to engage in a regulated business or professional activity. This solution proposes an Enterprise e-Licensing Software as a Service (SaaS) Solution that is specifically configurable to the needs of Budget Units including license workflow management for businesses vs professional licensing. This is a SaaS solution that enables all licensing-related activities within the BU's. This technology solution will be a web-based application, web-hosted and Vendor Managed. Furthermore, this solution will be implemented on a Salesforce platform that will allow for integration with current systems in place at DFI and new technologies implemented in conjunction with and in the future at DFI.

2.4 Has the existing technology environment, into which the proposed solution will be implemented, been documented?

Yes

2.4a Please describe the existing technology environment into which the proposed solution will be implemented.

2.5 Have the business requirements been gathered, along with any technology requirements that have been identified?

Yes

2.5a Please explain below why the requirements are not available.

3. PRE-PIJ/ASSESSMENT

3.1 Are you submitting this as a Pre-PIJ in order to issue a Request for Proposal (RFP) to evaluate options and select a solution that meets the project requirements?

No

3.1a Is the final Statement of Work (SOW) for the RFP available for review?

3.2 Will you be completing an assessment/Pilot/RFP phase, i.e. an evaluation by a vendor, 3rd party or your agency, of the current state, needs, & desired future state, in order to determine the cost, effort, approach and/or feasibility of a project?

Yes

3.2a Describe the reason for completing the assessment/pilot/RFP and the expected deliverables.

The Department of Financial Institutions (DFI) completed an assessment of all internal needs & wants for a complete digital transformation in order to capture the business requirements for all areas of business units within DFI. This assessment was completed by a 3rd party (MSS) that specializes in IT Assessments. Once all business requirements were gathered and agreed upon, these requirements were used to solicit vendors that would be able to address all or some of the identified requirements and to provide SOW & Quotes to be used for vendor selection.

3.2b Provide the estimated cost, if any, to conduct the assessment phase and/or Pilot and/or RFP/solicitation process.

0

3.2e Based on research to date, provide a high-level cost estimate to implement the final solution.

1400000

4. PROJECT

4.1 Does your agency have a formal project methodology in place?

Yes

4.2 Describe the high level makeup and roles/responsibilities of the Agency, Vendor(s) and other third parties (i.e. agency will do...vendor will do...third party will do).

Deloitte will be the managing vendor. MSS Technologies will manage the vendor as well as coordinate with and assist The Department of Financial Institutions throughout the duration of this project.

4.3 Will a PM be assigned to manage the project, regardless of whether internal or vendor provided?

Yes

4.3a If the PM is credentialed, e.g., PMP, CPM, State certification etc., please provide certification information.

4.4 Is the proposed procurement the result of an RFP solicitation process?

Yes

4.5 Is this project referenced in your agency's Strategic IT Plan?

Yes

5. SCHEDULE

5.1 Is a project plan available that reflects the estimated Start Date and End Date of the project, and the supporting Milestones of the project?

Yes

5.2 Provide an estimated start and finish date for implementing the proposed solution.

Est. Implementation Start Date

Est. Implementation End Date

7/2/2018 12:00:00 AM

4/5/2019 12:00:00 AM

5.3 How were the start and end dates determined?

Based on project plan

5.3a List the expected high level project tasks/milestones of the project, e.g., acquire new web server, develop software interfaces, deploy new application, production go live, and estimate start/finish dates for each, if known.

Milestone / Task	Estimated Start Date	Estimated Finish Date
Data Discovery	07/02/18	07/16/18
MSS Project Management	07/02/18	03/31/19
Data Migration Design	07/09/18	08/31/18
Design & Build (Sprint 1)	07/09/18	08/12/18

Integration Design	07/16/18	08/24/18
Design & Build (Sprint 2)	08/13/18	09/16/18
Testing of System and Acceptance of Data Loads	08/13/18	12/28/18
Integration Development	08/27/18	11/16/18
Data Migration Design	09/03/18	11/16/18
Design & Build (Sprint 3)	09/17/18	10/21/18
Hardening of Design	10/22/18	11/16/18
System Interface Testing	11/19/18	12/07/18
Mock Loads	11/19/18	12/28/18
UAT & Deployment (MSS & DFI)	11/19/18	01/11/19
User Acceptance Testing	12/10/18	12/28/18
Deployment & Post-Go Live Support	01/07/19	03/31/19
Deployment	01/07/19	01/11/19
Post Go-Live Support (Deloitte)	01/14/19	01/25/19
End User Training	01/14/19	03/31/19
Decommission of Legacy Systems	02/04/19	03/31/19

5.4 Have steps needed to roll-out to all impacted parties been incorporated, e.g. communications, planned outages, deployment plan?

No

5.5 Will any physical infrastructure improvements be required prior to the implementation of the proposed solution. e.g., building reconstruction, cabling, etc.?

No

5.5a Does the PIJ include the facilities costs associated with construction?

No

5.5b Does the project plan reflect the timeline associated with completing the construction?

No

6. IMPACT

6.1 Are there any known resource availability conflicts that could impact the project?

No

6.1a Have the identified conflicts been taken into account in the project plan?

No

6.2 Does your schedule have dependencies on any other projects or procurements?

Yes

6.2a Please identify the projects or procurements.

As this project is to include data migration, API for signature/payment/storage and other, as well as integrations with G-Suite there are changes taking place that this solution, in its entirety, relies on the completion of other projects in order for this solution to completely implemented within the proposed project timeline.

Google - DFI already Migrated

AODocs - Discussion on adoption taking place

Adobe/DocuSign - work to select the best solution taking place

Cloud RFP - closing with the timeframe suggested

AZ E-Licensing Project - Phase 1 - completed

6.3 Will the implementation involve major end user view or functionality changes?

Yes

6.4 Will the proposed solution result in a change to a public-facing application or system?

Yes

7. BUDGET

7.1 Is a detailed project budget reflecting all of the up-front/startup costs to implement the project available, e.g. hardware, initial software licenses, training, taxes, P&OS, etc.?

Yes

7.2 Have the ongoing support costs for sustaining the proposed solution over a 5-year lifecycle, once the project is complete, been determined, e.g., ongoing vendor hosting costs, annual maintenance and support not acquired upfront, etc.?

Yes

7.3 Have all required funding sources for the project and ongoing support costs been identified?

Yes

7.4 Will the funding for this project expire on a specific date, regardless of project timelines?

Yes

7.5 Will the funding allocated for this project include any contingency, in the event of cost over-runs or potential changes in scope?

Yes

8. TECHNOLOGY

8.1 Please indicate whether a statewide enterprise solution will be used or select the primary reason for not choosing an enterprise solution.

The project is using a statewide enterprise solution

8.2 Will the technology and all required services be acquired off existing State contract(s)?

Yes

8.3 Will any software be acquired through the current State value-added reseller contract?

Yes

8.3a Describe how the software was selected below:

The software was selected based off of existing State contracts and enterprise solutions being offered at this time. An RFI was sent out to potential vendors along with business requirements. After receiving the suggested 3 quotes/SOW/proposals; the vendor was selected based on ability to fulfill ALL business requirements listed; on an enterprise solution that other State Agencies are currently using.

8.4 Does the project involve technology that is new and/or unfamiliar to your agency, e.g., software tool never used before, virtualized server environment?

Yes

8.5 Does your agency have experience with the vendor (if known)?

No

8.6 Does the vendor (if known) have professional experience with similar projects?

Yes

8.7 Does the project involve any coordination across multiple vendors?

Yes

8.8 Does this project require multiple system interfaces, e.g., APIs, data exchange with other external application systems/agencies or other internal systems/divisions?

Yes

8.9 Have any compatibility issues been identified between the proposed solution and the existing environment, e.g., upgrade to server needed before new COTS solution can be installed?

Yes

8.9a Describe below the issues that were identified and how they have been/will be resolved, or whether an ADOA-ASET representative should contact you.

Please see attached workbook: "Business Requirements - Aggregate 2.0.xlsx" as there are numerous items identified with the proposed solution or listed integrations that are to take place during this project.

8.10 Will a migration/conversion step be required, i.e., data extract, transformation and load?

Yes

8.11 Is this replacing an existing solution?

Yes

8.11a Indicate below when the solution being replaced was originally acquired.

ADOA developed the solution for DFI and DFI acquired the solution in July 1996.

8.11b Describe the planned disposition of the existing technology below, e.g., surplus, retired, used as backup, used for another purpose:

Existing technology will be used for backup and retention purposes until it is able to be retired.

8.12 Describe how the agency determined the quantities reflected in the PIJ, e.g., number of hours of P&OS, disk capacity required, number of licenses, etc. for the proposed solution?

License quantities were based on DFI users and current year over year trends in regards to licenses, applications, renewals.

The number of hours was determined in SOW delivered to DFI from the selected vendor.

8.13 Does the proposed solution and associated costs reflect any assumptions regarding projected growth, e.g., more users over time, increases in the amount of data to be stored over 5 years?

Yes

8.14 Does the proposed solution and associated costs include failover and disaster recovery contingencies?

Yes

8.14a Please select why failover and disaster recovery is not included in the proposed solution.

8.15 Will the vendor need to configure the proposed solution for use by your agency?

Yes

8.15a Are the costs associated with that configuration included in the PIJ financials?

Yes

8.16 Will any app dev or customization of the proposed solution be required for the agency to use the

project in the current/planned tech environment, e.g. a COTS app that will req custom programming, an agency app that will be entirely custom developed?

No

8.16a Will the customizations inhibit the ability to implement regular product updates, or to move to future versions?

No

8.16b Describe who will be customizing the solution below:

All customizations will be completed by the selected vendor.

8.16c Do the resources that will be customizing the application have experience with the technology platform being used, e.g., .NET, Java, Drupal?

Yes

8.16d Please select the application development methodology that will be used:

8.16e Provide an estimate of the amount of customized development required, e.g., 25% for a COTS application, 100% for pure custom development, and describe how that estimate was determined below:

8.16f Are any/all Professional & Outside Services costs associated with the customized development included in the PIJ financials?

Yes

8.17 Have you determined that this project is in compliance with all applicable statutes, regulations, policies, standards & procedures, incl. those for network, security, platform, software/application &/or data/info found at aset.az.gov/resources/psp?

Yes

8.17a Describe below the compliance issues that were identified and how they have been/will be resolved, or whether an ADOA-ASET representative should contact you:

8.18 Are there other high risk project issues that have not been identified as part of this PIJ?

No

8.18a Please explain all unidentified high risk project issues below:

9. SECURITY

9.1 Will the proposed solution be vendor-hosted?

Yes

9.1a Please select from the following vendor-hosted options:

Other

9.1b Describe the rationale for selecting the vendor-hosted option below:

Salesforce hosts the SaaS on their servers in their cloud and this is in keeping with the "Cloud First" strategy.

9.1c Has the agency been able to confirm the long-term viability of the vendor hosted environment?

Yes

9.1d Has the agency addressed contract termination contingencies, e.g., solution ownership, data ownership, application portability, migration plans upon contract/support termination?

Yes

9.1e Has a Conceptual Design/Network Diagram been provided and reviewed by ASET-SPR?

Yes

9.1f Has the spreadsheet located at <https://aset.az.gov/arizona-baseline-security-controls-excel> already been completed by the vendor and approved by ASET-SPR?

Yes

9.2 Will the proposed solution be hosted on-premise in a state agency?

No

9.2a Where will the on-premise solution be located:

9.2b Were vendor-hosted options available and reviewed?

9.2c Describe the rationale for selecting an on-premise option below:

9.2d Will any data be transmitted into or out of the agency's on-premise environment or the State Data Center?

9.3 Will any PII, PHI, CGIS, or other Protected Information as defined in the 8110 Statewide Data Classification Policy be transmitted, stored, or processed with this project?

Yes

9.3a Describe below what security infrastructure/controls are/will be put in place to safeguard this data: SPR has certified Salesforce to be adequately secure for this information.

10. AREAS OF IMPACT

Application Systems

az.gov Web Portal Application

Database Systems

Database Consolidation/Migration/Extract Transform and Load Data

Software

COTS Application Acquisition

Hardware

Hosted Solution (Cloud Implementation)

Vendor Hosted

Security

Telecommunications

Enterprise Solutions

eLicensing

Contract Services/Procurements

11. FINANCIALS

Description	PIJ Category	Cost Type	Fiscal Year Spend	Quantity	Unit Cost	Extended Cost	Tax Rate	Tax	Total Cost
SalesForce Basic Gov. YR1	License & Maintenance Fees	Development	1	65	\$850	\$55,247	860.00 %	\$4,751	\$59,999
UnlimitedEdition Gov. Cloud Yr.1	License & Maintenance Fees	Development	1	1	\$2,400	\$2,400	860.00 %	\$206	\$2,606
SalesForce LGTNG USER Yr1	License & Maintenance Fees	Development	1	65	\$404	\$26,270	860.00 %	\$2,259	\$28,529
SalesForce Community License Yr1	License & Maintenance Fees	Development	1	9000	\$0	\$1,710	860.00 %	\$147	\$1,857
Deloitte Implementation	Professional & Outside Services	Development	1	1	\$840,000	\$840,000	0.00 %	\$0	\$840,000
MSS Technologies Professional Services	Professional & Outside Services	Development	1	1	\$472,820	\$472,820	0.00 %	\$0	\$472,820
Basic Gov. Yr2	License & Maintenance Fees	Operational	2	65	\$850	\$55,247	860.00 %	\$4,751	\$59,999
Unlimited Edition Gov. Cloud Yr2	License & Maintenance Fees	Operational	2	1	\$2,400	\$2,400	860.00 %	\$206	\$2,606
SalesForce LGTNG USER Yr2	License & Maintenance Fees	Operational	2	65	\$404	\$26,270	860.00 %	\$2,259	\$28,529
SalesForce Community License Yr2	License & Maintenance Fees	Operational	2	36000	\$0	\$6,840	860.00 %	\$588	\$7,428
SalesForce LGTNG USER Yr3	License & Maintenance Fees	Operational	3	65	\$404	\$26,270	860.00 %	\$2,259	\$28,529
SalesForce Community License Yr3	License & Maintenance Fees	Operational	3	36000	\$0	\$6,840	860.00 %	\$588	\$7,428
Unlimited Edition gov. Cloud Yr3	License & Maintenance Fees	Operational	3	1	\$2,400	\$2,400	860.00 %	\$206	\$2,606
Basic Gov Yr3	License & Maintenance Fees	Operational	3	65	\$850	\$55,247	860.00 %	\$4,751	\$59,999
Basic Gov. Yr4	License & Maintenance Fees	Operational	4	65	\$850	\$55,247	860.00 %	\$4,751	\$59,999
Unlimited Edition gov. Cloud Yr4	License & Maintenance Fees	Operational	4	1	\$2,400	\$2,400	860.00 %	\$206	\$2,606
SalesForce LGTNG USER Yr4	License & Maintenance Fees	Operational	4	65	\$404	\$26,270	860.00 %	\$2,259	\$28,529

SalesForce Community License Yr4	License & Maintenance Fees	Operational	4	36000	\$0	\$6,840	860.00 %	\$588	\$7,428
Basic Gov. Yr5	License & Maintenance Fees	Operational	5	65	\$850	\$55,247	860.00 %	\$4,751	\$59,999
Unlimited Edition Gov. Cloud Yr5	License & Maintenance Fees	Operational	5	1	\$2,400	\$2,400	860.00 %	\$206	\$2,606
SalesForce LGTNG USER Yr5	License & Maintenance Fees	Operational	5	65	\$404	\$26,270	860.00 %	\$2,259	\$28,529
SalesForce Community License Yr5	License & Maintenance Fees	Operational	5	36000	\$0	\$6,840	860.00 %	\$588	\$7,428

Base Budget (Available)	Base Budget (To Be Req)	Base Budget % of Project
\$5,811		0%
APF (Available)	APF (To Be Req)	APF % of Project
\$1,400,000	\$0	77%
Other Appropriated (Available)	Other Appropriated (To Be Req)	Other Appropriated % of Project
\$0	\$422,260	23%
Federal (Available)	Federal (To Be Req)	Federal % of Project
\$0	\$0	0%
Other Non-Appropriated (Available)	Other Non-Appropriated (To Be Req)	Other Non-Appropriated % of Project
\$0	\$0	0%

Total Budget Available	Total Development Cost
\$1,405,811	\$1,405,811
Total Budget To Be Req	Total Operational Cost
\$422,260	\$394,249
Total Budget	Total Cost
\$1,828,071	\$1,800,060

12. PROJECT SUCCESS

Please specify what performance indicator(s) will be referenced in determining the success of the proposed project (e.g. increased productivity, improved customer service, etc.)? (A minimum of one performance indicator must be specified)

Please provide the performance objective as a quantifiable metric for each performance indicator specified.

Note: The performance objective should provide the current performance level, the performance goal, and the time period within which that performance goal is intended to be achieved. You should have an auditable means to measure and take corrective action to address any deviations.

Example: Within 6 months of project completion, the agency would hope to increase "Neighborhood Beautification" program registration by 20% (3,986 registrants) from the current registration count of 19,930 active participants.

Performance Indicators

Performance Indicators

1. Within 3 months of project completion, DFI should have reduced the number of internal systems required for DFI work processes from six systems to one.
2. Within 6 months of project completion, the number of on-line non-mortgage licensees should increase by 35%.
3. Within 6 months of project completion, the touch time for license applications should decrease by 30%. Touch time is the time that the application is actually being worked on and does not include time spent waiting for input from the prospective licensee.

13. CONDITIONS

Conditions for Approval

1. As a result of the selection process, should the final costs exceed the estimated costs by 10% or more, or should there be significant changes to the proposed technology, scope of work or implementation schedule, the Department of Financial Institutions must amend the PIJ to reflect the changes and submit it to ADOA-ASET, ITAC & JLBC for review and approval prior to any expenditure of funds.

14. ENGAGEMENT MANAGER COMMENTS

Project Background

The proposed Salesforce solution will bring DFI to a single internal system that integrates with all of the necessary external systems required for DFI to operate in today's technology. By implementing this system, DFI will have the ability to operate in the cloud, reduce and eventually eliminate physical hardware and maintenance, as well as continue to grow this one platform to align with the changes in the technology industry in future years.

Business Justification

This digital transformation will eliminate the use of outdated technology that has reached or passed end-of-life support for certain systems. In implementing this new technology, DFI will have the ability to reduce manual processes and automate them, increasing the efficiency of the Department as a whole. Furthermore, this new technology will allow DFI to continue adjusting to industry-specific and technology changes moving forward. Additionally, the new solution will align with the State's Strategic direction of enterprise software hosted in the cloud.

Implementation Plan

The selected vendor has proposed a 6-9 month time for implementation. The first 6 weeks of the project plan will include MSS (PM/Oversight/Staff Aug.) working with DFI Staff and Deloitte to complete pre-implementation preparation. Once pre-implementation preparation is complete, Deloitte will begin working on the project for the following 26 weeks. This work will include Data Conversions, Data Migrations, User Acceptance Testing & a week of support after "go-live". From there, MSS will continue working with DFI to decommission existing technologies properly, continued project oversight & reporting, change management within DFI & additional support for the following 6 weeks. Additionally, as a cloud-based solution is sought, there will be minimal, if any, implementation on-site.

Vendor Selection

The Department of Financial Institutions brought in a vendor (MSS) to help conduct a review of Business Requirements so as to begin looking for solutions that would fulfil all of the required functions of DFI. With these business requirements, we reviewed over 5 vendors for their ability to address all areas defined as "need to have" and "nice to have" functions within their solutions. As a result of these reviews, 3 vendors were asked for quotes on their proposed solution along with a 5-year TCO. From those 3 quotes, a vendor was selected in Deloitte to implement a Salesforce solution in a cloud environment. This selection aligns with the States overall IT Strategy by going to the cloud as well as utilizing State Contracts in place for an Enterprise eLicense Solution.

On top of Deloitte and in lieu of previous attempts by Board of Appraisals and Department of Financial Institutions failed attempts to implement an eLicense solution and reduce dependencies on outdated technology, MSS was also recommended to continue Project Oversight on the project as well as complete data mapping, clean-up and preparation so as to reduce the risks associated with delays in the project timeline as well as provide assistance to DFI with items they are not currently able to perform without assistance.

Budget or Funding Considerations

This project is heavily reliant on the funding coming from Automated Project Funds for implementation (1.4 million) and the remainder of the first year development cost will be covered with General Funds from the DFI budget.

15. PIJ REVIEW CHECKLIST

Agency Project Sponsor

Robert D. Charlton, Superintendent

Agency CIO (or Designee)

Robert D. Charlton, Superintendent

Agency ISO (or designee)

Robert D. Charlton, Superintendent

OSPB Representative

Jacob Wingate

ASET Engagement Manager

Brandon Kent

ASET SPR Representative

Thomas Considine

Agency SPO Representative

Agency CFO

Lola L. Duncan, Admin. Mgr.

eLicense - Arizona
Statement of Work (SOW)
Department of Financial
Institutions (DFI)

September 12, 2018

V14

Statement of Work No. <Assigned SOW number>

eLicense Arizona - DFI

Arizona Department of Financial Institutions contact: Robert D. Charlton

Deloitte Consulting, LLP contact: Adam Spain

Authorized start date: September 17, 2018

Estimated completion date: March 29, 2019

The "Project" is the Client's initiative, for which the Client is exclusively responsible. The Project may include many work threads in which Deloitte Consulting is not involved, so it is important to avoid suggesting that Deloitte Consulting has any responsibility for the Project. The "Services" are professional consulting services that Deloitte Consulting will perform to assist the Client with the Project. It is important to maintain the difference between the "Project" and the "Services" throughout the SOW.

Modify the short reference to Deloitte Consulting LLP as needed to be consistent with the MSA. For example, some MSA's use "Consultant" to refer to Deloitte Consulting LLP and in that case, Consultant should be used instead of "Deloitte Consulting" throughout the SOW.

This Statement of Work ("SOW"), effective as of **September 17, 2018** ("SOW Effective Date"), confirms our agreement that Deloitte Consulting LLP ("Deloitte Consulting") will provide the consulting services set forth herein (the "Services") to assist **Arizona Department of Financial Institutions** ("Client") with the Project (as defined below). This SOW is subject to and issued under State of Arizona Contract #ADSP017-166272 entered into by Client and Deloitte Consulting, dated **April 5, 2017** (the "Agreement"). For purposes of this SOW, the term "Parties" means Client and Deloitte Consulting.

Capitalized terms in this SOW that are not defined herein will have the same meaning as in the Agreement.

Contents

1	Background of the Project	1
2	Project Method and Approach	2
2.1	Enterprise Value Delivery Method	2
2.2	Project Tools.....	4
3	Scope of Services.....	5
3.1	Business Process Scope	5
3.2	Data Migration Scope.....	23
3.2.1	Activities and Outputs.....	23
3.2.2	Responsibilities	24
3.2.3	Data Migration Activities and Responsibilities.....	25
3.2.4	Data Migration Sources	28
3.3	Batch Jobs Scope	29
3.4	Security Scope.....	30
3.5	Application Scope.....	30
3.6	Testing Scope	30
3.6.1	Activities and Outputs.....	30
3.6.2	Defect Handling	31
3.6.3	System Integration Testing (SIT) Activities	32
3.6.4	User Acceptance Testing (UAT)	33
3.6.5	Responsibilities	34
3.7	Training Scope.....	35
3.7.1	Train-the-Trainer (TTT).....	35
3.7.2	Recommended Pre-Training.....	35
3.8	Deployment.....	36
3.8.1	Activities and Outputs.....	36
3.8.2	Responsibilities	37
3.9	Post Go-Live Support Scope	38
3.10	Out of Scope	39
4	High-Level Estimated Timeline.....	40
5	Project Organization Chart	41
6	Staffing Model	42
7	Fees and Expenses.....	45
7.1	Estimated Fee.....	45
7.2	Long-Term Travel Tax.....	45
7.3	Acceptance of Deliverables	46
7.4	Change Orders.....	46
8	Assumptions.....	47
8.1	Project Management.....	47
8.2	Client Staff.....	48
8.3	Timing	48
8.4	Deloitte Consulting Personnel	48
8.5	Data	48
8.6	Licensing.....	48
8.7	Solution	49
8.8	User Experience Design.....	49
8.9	Change Management and Training.....	49
8.10	Technology/Infrastructure	49
8.11	Testing	50
9	Signatures	51
	Appendices	52

Appendix 1 — Core Processes Flow.....	53
Appendix 2 — Detailed Configuration Scope	54
Appendix 3 — Development Complexity Definitions	58
Appendix 4 — Testing Type Definitions	61
Appendix 5 — End User Training	62
Appendix 6 — Deliverable Acceptance Form	63
Appendix 7 — Change Request Process.....	64
Appendix 8 — Change Order Form	65

1 Background of the Project

Arizona Department of Finance Institutions (DFI) has undertaken an initiative to implement the next generation of e-licensing back office system and portal. This SOW describes the scope, timeline, activities, deliverables, and resources to be delivered for the DFI release.

- License Applications – Applications for new licenses for businesses/individuals that do not maintain a current license. Applications or Reinstatements for businesses/individuals and Renewals of existing licenses for existing business/individual entities.
- Enforcement – Investigating, adjudicating, and enforcing compliance related to complaints from the general public, industry and boards.

2 Project Method and Approach

2.1 Enterprise Value Delivery Method

Deloitte Consulting's Enterprise Value Delivery (the "EVD") method will be the technology implementation method used for phases of the Project in scope for this SOW.

The Parties agree to leverage Arizona eLicense preconfigured solution and to standardize as much as possible to the Client's processes based on that solution. Arizona eLicense preconfigured solution contains accelerators, such as process flows, templates, rules configuration and conversion templates, test scripts, and training documentation. Document templates such as test scripts, training materials etc. will be tailored towards DFI specific functionality.

Discovery Project Planning

The objectives of this phase are to define value, data capabilities, and the future-state vision. The configuration approach is established, the system and data for baseline solution validation is prepared, the testing plan is developed, and the project is started.

The sprint teams will develop iterative solution(s) in each sprint which will be reviewed and approved at the end of that sprint during Sprint Reviews. Tasks to be executed within each sprint will be defined by Client and Deloitte Consulting during sprint planning prior to the beginning of each sprint.

Plan

The objectives of this phase are to plan and prepare for the project. Activities includes planning the project's overall approach, resources, tools, controls, and schedule in order to direct and support effective, efficient project execution. Plans and procedures are adjusted and refined as the project progresses and evolves.

Discovery Sprint 0

The objective of this phase is to determine high-level user stories, architecture, cost estimates, and risks. The project roadmap is created, the product backlog is defined, and definition of ready and done are documented so teams can begin sprinting.

Sprint Cycle

The objectives of this phase are to iteratively develop the solution in potentially deployable increments and to increase efficiency through frequent feedback and improvement cycles. Features are continuously designed, developed, tested, and integrated, which leads to increasingly complete and stable builds. The team increases efficiency by identifying effective practices and making adjustments to improve the end solution.

A user story shall meet the following criteria to meet the Definition of Ready and be accepted into a sprint.

- Is clear to all team members
- Acceptance criteria are defined, reviewed, and approved by product owner or agile team
- Delivery team has sized the user story
- User story can be completed in one sprint
- Inter team and resource dependencies have been identified and resolved (e.g., service layer, database, third parties, etc.)
- All outstanding questions have been answered

A user story shall meet the following criteria to meet the Definition of Done and be considered complete.

- Configuration and/or code development for user story is completed
- Unit test scripts are executed
- Functional test scripts are executed
- Acceptance criteria is achieved
- Priority 1 or 2 defects are resolved (please refer to section 3.6.2 – Defect Handling for specific priority definitions)

Test

The objectives of this phase are to test the solution to validate the application and for the trainers to begin preparations for handing off the solution to the end users.

Deploy

The objective of this phase is for the project team to deliver the product or solution to the end users. This involves end-user training, user-acceptance testing, a dress rehearsal, and deploying the product or solution to the production environment.

Post Production Support

The objective of this phase is to validate that all activities in the work plan are complete. Any issues and action items are closed, artifacts are archived, and metrics are collected and analyzed. The focus should be on customer support and system and data stability.

2.2 Project Tools

The Parties have agreed that the following tool(s) will be used by Client and Deloitte Consulting in the performance of the Services. No other project management tool will be used.

Tool Name	Description
Salesforce Agile Accelerator (SAA)	<ul style="list-style-type: none">• SAA is centrally hosted by Salesforce and accessible via the internet. Licenses are free.• SAA is delivered preconfigured with a standard set of reports in alignment with the EVD for Salesforce method.

3 Scope of Services

3.1 Business Process Scope

The following sets forth the business processes as defined in eLicense that are included in the Services. At the time of this SOW, the OnBase integration is still under discussion. Either an OnBase integration will be built or a conversion process will be built for documents to move into Salesforce.

#	Function	Key Process	Scope	Business Requirement
1	License	Application Intake	The intake process consists of selective online or manual submission of required information and documentation. External users will be able to apply for a license by filling in the required information on the web form, upload any required documents and submitting it online. Successful intake will result in application submissions being placed into appropriate work queues for review.	<p>LC.001 Workflow for licensing to be automatically routed to the correct department based on license type</p> <p>LC.002 Ability to enter applications electronically and through manual entry/submission</p> <p>LC.003 Ability for electronic licensing portal to include attachments with submission</p> <p>LC.004 Based on configuration, require attachments to the licensing application to continue in the application workflow process</p> <p>LC.007 Ability to track authorized delegates, with start date, Authorized Delegate business name, address, number, status, and closed date. These are to be associated with a specific licensee (parent-child relationship between licensees and Authorized Delegates)</p> <p>LC.009 Electronic submission of applications through website, with automatic upload to document management system and DFI IT Solution database</p> <p>LC.014 Create alert/notification if a license submission has same contact information as another licensee (past or present) - this should not prevent submission or licensee creation. - New validation functionality</p> <p>LC.015 Ability for Licensee to apply through NMLS and have it automatically integrate into the DFI solution - Integration</p> <p>LC.021 Ability for licensees to attach documents to online application with encryption and tracking</p> <p>LC.022 Ability provide electronic signatures through online application</p> <p>LC.028 Must be able to receive Authorized Delegate information from NMLS, and associate them to licensees, and track which are NEW to the licensee (based on previous licensee record)</p> <p>LC.028.5 Ability to track which are closed (with closed date)</p> <p>LC.031 Ability for same "responsible individual" to be associated with multiple licensee records</p> <p>LC.032 Configurable business rules for field validation based on license type (ex.</p>

#	Function	Key Process	Scope	Business Requirement
				<p>Mortgage Broker cannot have "Bank" or "Trust" in the name)</p> <p>LC.033 Must create "hierarchy" for license records as follows: Licensee -> DBA(s) (if applicable) -> Authorized Delegate(s) (if applicable)</p> <p>LC.035 Ability for applicants to be prompted for the type of attachment(s) required, based on configurable business rules</p> <p>LC.036 Ability for applicants to be alerted when invalid entry or missing attachment (when required) based on configurable business rules, by license type.</p> <p>LC.037 Electronic licensing portal must be able to account for a multi-step licensing process over an extended period of time (i.e. not a single visit for entire application process) based on license type/business rules</p> <p>LC.053 Ability to construct application processing workflow by specified licensee factors (ex. Based on nationality of ownership, different workflow may be required)</p> <p>LC.057 Ability to record unlicensed subsidiaries of a licensed institution (parent-child relationship of institution to unlicensed subsidiary)</p>
				<p>LC.006 Leverage flexible workflow to assign approvals/notifications</p> <p>LC.010 Ability to generate email notifications to applicants as it progresses through statuses, including the assigned DFI resource to the application</p> <p>LC.011 Ability to automate alerts to licensee contacts based on business rules (due payments, due response, upcoming examinations, etc.)</p> <p>LC.012 Ability to track due dates of licensee related activities - payments, responses, upcoming exams</p> <p>LC.013 Ability for multiple individuals/departments within DFI to be able to access and update licensee profile information</p> <p>LC.018 Ability to provide email updates to licensees upon status changes (ex. License expired/closed) with tracking of email receipt</p> <p>LC.023 Ability to track licensing processing times, beginning with assignment through completion</p> <p>LC.024 Ability to "pause" processing times, based on status, when additional information required from the licensee</p> <p>LC.027 Ability to alert user if applicant exists on the "watchlist" based on specified fields, requiring additional approval</p> <p>LC.034 Ability to determine if a new license number must be auto-assigned for a DBA (or if a DBA inherits the same license number from the parent), based on parent licensee license type - BG Sequence Number</p> <p>LC.038 Ability to track ownership of entities</p>
2	License	Review	<p>Staff will be able to conduct multiple reviews as part of the application approval process. Reviews may be for completeness of application, application processing criteria, or both, and may flow through multiple reviewing parties. During the review process, internal users have the ability to:</p> <ul style="list-style-type: none"> • Access all documents submitted by applicants as attachments to the license application. • Access the applicant's Exam Score Information. • Access various different applications based on defined queues. • Change the status of the application and assign the application to appropriate users for approval or denial. • Send notification to applicant requesting additional information. • Send notification to applicant on application decision. • Provide a decision on the outcome of a review. • The Application Status will be updated when the application review stage is complete. 	

#	Function	Key Process	Scope	Business Requirement
				<p>LC.039 Ability to track ownership by ownership factors, based on licensee type, with additional "factors" able to be added as needed. These factors should be able to be categorized with a pick-list and associated free text field. (ex. Credit Union ABC lists ownership factor of "Common Area" (pick-list), with the specific population of Zip Code "85008" (free text).</p> <p>LC.040 Ability to track non-financial/unlicensed financial institutions and their ability to do business in the state (with a unique record/license type) and track related information, characteristics, and outcomes</p> <p>LC.044 Ability for comments on the licensee record to be pushed to comments section lower in the hierarchy (ex. "Company" comments pushed to "DBA" comments, "DBA" comments pushed to "Authorized Delegates")</p> <p>LC.045 Ability to create alerts for "Do Not Renew/Issue New License" flag on all levels of licensee record</p> <p>LC.046 Ability to track list of "Authorized Supervisors" for appraisals</p> <p>LC.049 Ability to track education of licensee, by education type (required vs. remedial)</p> <p>LC.054 Ability to define flexible workflows/approval process, documenting comments involved during workflow process (ability to customize workflow with approvers, with comments field to outline needed and completed steps)</p> <p>LC.056 Ability to report on in-process workflow steps (ex. license application process is 3 out of 7 steps through, list of steps completed vs. still needing to be completed)</p>
3	License + Enforcement	Fees, Fines and Payments Accounting/Expenses	<p>The following functionality for fees, fines, payments, and expenses will be configured:</p> <ul style="list-style-type: none"> • Application fees (calculate based on business rules) • Payment information • Payment by credit card and ACH (electronic payment). Payment by Checks may be accommodated if the boards in scope decide to retain this functionality. • Complaint and enforcement fine tracking and processing • Expense processing flows and tracking • Account Receivable Tracking • Timesheets 	<p>LC.011 Ability to automate alerts to licensee contacts based on business rules (due payments, due response, upcoming examinations, etc.)</p> <p>LC.012 Ability to track due dates of licensee related activities - payments, responses, upcoming exams</p> <p>LC.019 Ability for customer to make final licensing payment online, utilizing the state payment portal (no need for invoicing) and have it automatically integrated into the DFI solution</p> <p>LC.020 Ability for system to calculate prorated licensing fee, based on information on the licensee record (ex. Number of branches)</p> <p>LC.047 Ability to record two separate payments at different stages in the licensee process (ex. Initial fee is due at the beginning of the process, and a different fee is due for final step in the licensing process)</p> <p>EX.034 Ability to notify designated resources/departments when records are entered, such as payments against a licensee driven by payment/penalty type</p> <p>AC.001 Ability to track fines (unique key for fine "case") against the applicable licensing record</p>

#	Function	Key Process	Scope	Business Requirement
				AC.002 Ability to track payments to fines and license application record
				AC.005 Ability to automatically calculate and configure late fees, based on type of fee/license type and business rules
				AC.006 Expense report and fees must be able to be electronically submitted and approved by internal resources (approval chain).
				AC.007 Must be able to reject expense report and have the submitter adjust/resubmit
				AC.008 Ability to track hours retroactively with the previous dates/activities being able to be reported against.
				AC.009 Ability to create invoices off of expense reports, based on penalty fees and billable hours
				AC.010 Ability to create invoices based on assessments (fixed fee defined by user) to be submitted to related institution -
				AC.011 Ability to track inbound collections (from AG's office) and associate to licensee accounts
				AC.012 Ability to track accounts for specific licensees (amount owed, amount collected, etc.)
				AC.013 Integrate to state payment portal for credit card and National Mortgage Licensing System (NMLS) payments - must be able to associate payments to license applications and specific ad hoc fines/fees
				AC.014 Ability to apply in person payments (cash, check, money order, and credit card) to the system records
				AC.015 Ability to control due dates and amount by type of fee
				AC.016 Ability for specified users to override/waive fees associated with a license record
				AC.017 Ability to track billable and non-billable time towards an examination
				AC.018 Ability to manually input an outstanding balance against a licensee record that is not associated with billable time
				AC.019 Ability to track detailed transactions (fees, fines, etc.) and calculate/total outstanding balance for the licensee
				AC.020 Ability to separately track aggregate inbound amounts collected from licensees (across all accounts) from NMLS, state web payment portal, and over-the-counter/by-mail) to facilitate reconciliation to the General Ledger (AFIS). - export using web service or generated via report builder
				AC.022 Ability to have workflow for time and expense approvals in the organization
				AC.023 Ability to reflect NSF payments, and re-open balance against the licensee record

#	Function	Key Process	Scope	Business Requirement
				<p>AC.024 Ability to manually adjust the amount owed by/to individual licensees</p> <p>AC.025 Ability to track method and source of payment associated with each transaction (cash, check, or credit)</p> <p>AC.026 Ability to track two addresses for each vendor - billing and mailing</p> <p>AC.027 Ability to auto-populate invoice information based on licensee record</p> <p>AC.028 Ability to track payments due to other agencies at the end of the month, based on license type (ex. \$20 per license fee is owed to the Appraisal Sub-Committee (ASC) for every appraisal license - the \$20 from ALL license applications that month is sent to ASC at the end of the month)</p> <p>AC.029 Ability to transact ACH or Wire Payments (through integration to State Payment Portal and/or Treasurer's Office)</p> <p>AC.030 Ability to track training expenses by examiner by year - both what is paid by DFI, and what is provided by external agencies and organizations (ex. FDIC provides training for federal examiners and pays for everything except for flights. DFI must track all cost of training, not just the part they pay for, by examiner)</p> <p>AC.031 Ability to track inbound payments from other agencies/states - not tied to a licensee record</p> <p>AC.032 Ability to track inbound payment information from NMLS to associated licenses (broken down by amount and fee type)</p> <p>AC.033 Ability to aggregate payment information by license type and fee type and send to state accounting system (AFIS) (ex. Payments received for Loan Originator licensing fees must be aggregated and entered into AFIS accounting system to update general ledger accounts)</p>
4	License	Issuance	Staff will be able to issue licenses based on business rules for each license type. License approvals will result in the generation of a license wall certificate (print or mail) for the licensee. A license denial will result in an email being sent to the applicant with supplemental information.	<p>LC.008 Ability to send authorized delegate or Financial Institutions permits/certificates (PDFs) upon entry through email (based on contact information). This should be able to batch multiple attachments together or single attachment through the email communication.</p> <p>LC.018 Ability to provide email updates to licensees upon status changes (ex. License expired/closed) with tracking of email receipt</p> <p>LC.041 Ability to auto assign numbers for newly created license records</p> <p>LC.059 Ability to track/flag when an exception is granted during the licensing or renewal process</p>
5	License	Reinstatement	Staff will be able to process applications for reinstatement. External users will be able to apply for reinstatement by completing required information on the form, similar to other intake processes for other license types. The original license number will be maintained.	<p>LC.059 Ability to track/flag when an exception is granted during the licensing or renewal process</p>
6	License	Reciprocal Licenses	Staff will be able to process reciprocal applications. External users will be able to apply for a reciprocal license by filling out the required information on selective web forms, similar to the license application intake process for other license types.	<p>LC.059 Ability to track/flag when an exception is granted during the licensing or renewal process</p>

#	Function	Key Process	Scope	Business Requirement
7	License	Renewal	External Users will be able to renew online. Staff will be able to process application renewals (auto renewal / notification). The License renewal process will be triggered through a status change or the expiration date of the current license.	<p>LC.016 Ability to handle auto-renewal for licenses through NMLS (extending expiration date based on NMLS)</p> <p>LC.017 Ability to handle auto-renewal for licenses through eLicensing tools</p> <p>LC.030 Automatic notification to licensee once auto-renewal occurs (based on change to expiration date) to complete web form</p> <p>LC.048 Ability to notify licensees of upcoming renewal requirements, based on defined business rules (ex. 30 days in advance of a license expiration date, an email needs to be sent to licensee to renew their license)</p> <p>LC.059 Ability to track/flag when an exception is granted during the licensing or renewal process</p>
8	License	Exam Application Tracking	Staff and license applicants will have the ability to track examination results, request for application and issuance of license. When applicable, exam results files will be received by the board directly from exam boards and examination providers. Exam status and score will be saved in the system and will be tracked for application eligibility.	<p>LC.005 Ability to track a "watchlist" for licensees where any complaints or examination forms can be associated to a contact on the watchlist</p> <p>LC.011 Ability to automate alerts to licensee contacts based on business rules (due payments, due response, upcoming examinations, etc.)</p> <p>LC.012 Ability to track due dates of licensee related activities - payments, responses, upcoming exams</p> <p>EX.001 Ability for examination activity to track several related components: examination report, cover letter, invoice, exhibits, expenses, comments</p> <p>EX.002 Ability to create multiple workflows and processes of examinations, based on examination/institution type</p> <p>EX.003 Ability to schedule multiple examination schedules - statutory, ad hoc, and prudent</p> <p>EX.004 Ability to track resources to scheduled examinations</p> <p>EX.005 Ability to record multiple fields related to the examinations, such as risk ratings, status, and examiner.</p> <p>EX.006 Ability to track examination schedules by status, examiner, licensee name, license number, licensee risk rating, examination type, multiple key dates (exam date, previous exam date, response due date, etc.)</p> <p>EX.007 Ability to have configurable business rules and alerts related to key examination dates (ex. If response has not been received in X amount of days, dependent on outputs and license type)</p> <p>EX.008 Ability to set and track standard examination activities by examination and license type</p> <p>EX.009 Ability for examiner to select from pre-defined email templates to send directly to licensee, as needed, with email tracking and auto fill based on specified contact</p> <p>EX.010 Ability to attach/associate files to an examination record (file stored in OnBase) as "Exhibits". This will become a part of the exam report.</p> <p>EX.011 Ability to track the full future schedule of examinations and examiners</p>

#	Function	Key Process	Scope	Business Requirement
				must be able to assign themselves to one or more scheduled examinations
				EX.012 Ability to create ad-hoc examinations
				EX.013 Ability to adjust and reassign examination schedules
				EX.014 Ability to track multiple examiners on the same exam
				EX.015 Ability to track multiple levels of examiner to the same exam - main examiner, supporting examiners - and assign supporting examiners to exam
				EX.016 Examination form must be able to have check boxes, drop down lists, date fields, and free text fields
				EX.017 Ability to select multiple violations on examination report
				EX.018 Ability to create and update list of potential violations to select
				EX.019 Ability for the examination form to include a pick-list of pre-defined violation "types"
				EX.020 Ability to select from statutes and rules to assign to a violation (statutes and rules are updated/owned by external state agencies)
				EX.021 Ability to integrate with external agencies to update standard list of statutes and rules
				EX.022 Ability to apply standard verbiage (to be able to be modified) based on the statute and/or rule selected in the violation
				EX.023 Ability to capture detailed notes related to the violation (separate from standard verbiage field)
				EX.024 Ability for solution to have spell check capabilities in the free text fields
				EX.025 Ability to designate what is shared with the licensee on an examination record (examination report, letter, invoice, exhibits - externally sent to licensee vs. expense reports, licensee information - internally kept and not sent to licensee)
				EX.026 Ability to select and include attachments on outbound emails to licensee (ex. Surveys or examination reports), with encryption and tracking options
				EX.027 Ability to send completed exams electronically over secure platform (ex. Zixmail), as well as continue to be sent physically through mail
				EX.028 Ability to associate scanned examination documentation to the licensee profile and/or examination record
				EX.029 Ability to track history of examinations and complaints on licensee record
				EX.030 Outbound notifications of examinations (emails) can be sent based on the recommendation/output of the examination - to either the licensee or AG's office (never both - binary decision that should be controlled by the examination manager to determine correct workflow to follow)

#	Function	Key Process	Scope	Business Requirement
				EX.031 Ability to initiate the creation of an additional form in the examination report, which is optional to the report (ex. If AG Referral notice must be completed, then the form should be able to be generated and completed in the system - this is NOT required on all examinations)
				EX.032 Ability to generate and track travel forms, to be associated with related examinations/invoices
				EX.033 Ability to route travel approval through electronic workflows (linear approval chain) with varying responsibilities (notify vs active approver)
				EX.035 Ability to configure the tracking of time between defined steps/statuses in the workflow process
				EX.036 Ability to assign ownership and track progress of activities during examination activities (standardized activities by examination/licensing type)
				EX.037 Ability to track time per examination by subactivity within examination Time and Expenses entry
				EX.038 Ability to configure and define the subactivities required in each examination by license type
				EX.039 Ability to track individual violations identified during examinations
				EX.040 Ability to track responses to examination violations (free text fields) with due dates (date field - 30 days from "Date Mailed")
				EX.041 Ability to track and notify on response due dates (automatic notifications to licensee X days in advance of due date)
				EX.042 Ability for examination record to track violations, fines, and responses (fines and responses associated with the violation)
				EX.043 Ability to track multiple outcomes based on license/examination type (ex. Tracking risk score and CAMELS rating on same examination form), and the ability to report off of them
				EX.044 Ability to create approval workflows for examinations/investigations, with potential additional workflows based on outcomes (ex. If two examiners disagree on results, internal decision must be triggered)
				EX.045 Ability to track "remedial actions" on the examination/investigation record for examiner to "check off" and/or attach supporting documentation
				EX.046 Ability to track, review and record comments and note results for quarterly progress reports for troubled institutions
				EX.047 Ability to track individual violations, and categorize the types of violations (ex. Fincen violations vs. non-Money Laundering violations)
				EX.048 Ability to optionally assign institutions to an individual/examiner for monitoring

#	Function	Key Process	Scope	Business Requirement
				<p>EX.049 Ability to identify action needed against licensee and alert examiner of needed action</p> <p>EX.050 Ability for licensees to upload documents securely through the website, when multiple docs are requested (e.g., FI exam docs and initial applications), to have a multiple upload buttons/links that reflect when the document has already been submitted and that part of the request completed.</p> <p>EX.051 Ability to track hours spent during an examination by DFI and partnering agencies (Accreditation Requirement)</p> <p>EX.052 Ability to indicate additional activity/steps needed for a specific examination (ex. A flag indicating that the examiner needs to review specified Report of Examination prior to continuing through the workflow)</p> <p>EX.053 Ability to escalate workflow to manager as needed or based on defined business rules</p> <p>EX.054 Ability to create notification based on completions of specified workflow tasks based on license type and defined dates (ex. If Task X was completed on a Mortgage Lender examination and 30 days pass before Task Y is completed, the manager will need to be notified)</p> <p>EX.055 Ability to link a loan originator with their employer licensee record (their "sponsor"/mortgage company)</p> <p>EX.056 Ability to link authorized delegates with money transmitter licensee record</p> <p>EX.057 Ability to update a licensee record's authorized delegates (closing and creating) through upload of a spreadsheet</p> <p>EX.058 Ability to determine exam schedule requirements based on licensee risk rating (ex. Low risk rating requires exams every 5 years, vs. high risk requires exams every year)</p> <p>EX.059 Ability to track when the examination report is sent to the licensee</p> <p>AC.003 Ability to track billable hours (time entry system) by date, licensee, and examination</p> <p>AC.004 Ability to track expenses for examinations by date, licensee, and examination number</p> <p>AC.021 Ability to track time and expenses to be associated with examinations and billed to the licensee</p>
9	Enforcement	Complaints Management/Consumer Affairs	Staff will be able to accept and review complaints from internal and external parties.	<p>LC.005 Ability to track a "watchlist" for licensees where any complaints or examination forms can be associated to a contact on the watchlist</p> <p>CA.001 Ability to autopopulate fillable form fields based on fields (ex. Company name)</p> <p>CA.002 Must be able to capture and track complainant information (name, email address, etc.)</p>

#	Function	Key Process	Scope	Business Requirement
				CA.003 Ability to track prescribed actions for the complaint, based on complaint and license types
				CA.004 Ability for DFJ user to create complaint manually in the system
				CA.005 Ability to categorize inbound complaints (ex. Complaint from Senator's office)
				CA.006 Ability to track the basis of complaint (type of complaint selected from a drop down menu), the final letter sent, date closed, date complaint was received, and letters and correspondence from the Department to the Complainant.
				CA.008 Ability to auto-assign inbound complaints in "round-robin" fashion (alternating between complaint examiner)
				CA.009 Ability to reassign complaints between complaint officers
				CA.010 Ability for system to automatically create emails and or letters that the examiner can review and simply send.
				CA.011 Ability to notify designated individuals during lifecycle of complaint (based on status and categorization - ex. Update admin on progress for complaints categorized as being "Senator's office")
				CA.012 Ability to track contact information from "forwarding" organizations vs. licensees (ex. AG's office contact information is not needed as a licensee, but is needed for forwarding complaints - should not be in same category as licensee) - Ability to track forwarding organizations as separate organization type from licensees
				CA.013 Ability to determine further routing for complaints - can be forwarded to another agency, sent to AG's office, sent to an examiner to perform examination, depending on the outputs of the investigation.
				CA.014 Ability to add information to the Watch List. Ability to filter information by name and or address
				CA.015 Ability to assign a forward "complaint" number to the forwards - different type of numbers
				CA.016 Complaints form forwarding notification must have the ability to include additional comments, notes, or attachments with date/time stamp and audit trail
				CA.017 Electronic submission of complaints through website, with automatic upload to document management system and webview database - Integration
				CA.018 Ability for submissions to be categorized by license type and submission type (inquiry, complaint, etc.)
				CA.019 Ability to require different requirements/fields based on type of complaint (inquiry, appraisal complaint, financial institution complaint, etc.)
				CA.020 Ability to track original inquiries and outcomes
				CA.021 Ability to track processing time of each step of individual complaints

#	Function	Key Process	Scope	Business Requirement
				CA.022 Ability to capture notes and comments based on research regarding complaints (to be entered by Complaint Examiner) with date/time stamp and audit trail
				CA.023 Ability for multiple templates to be created/applied to the outcome of a complaint, based on complaint type and outcome
				CA.024 Ability for outbound notifications/forwards to be sent electronically or through certified mail (with tracking system for certified mail)
				CA.025 Ability to track due dates for response requirements (from licensee) for complaints
				CA.026 Ability for outbound notifications/forwards (including attachments) to be sent to multiple recipients with the ability to be encrypted
				CA.027 Ability to alert complaint examination team (and, optionally, the manager) of missed due dates
				CA.028 Ability for examination team to manually adjust due dates, as needed and record any extension request and granted extensions in the system
				CA.029 Ability to send "response" from licensee back to complainant
				CA.030 Ability to associate responses (from licensee) and rebuttals (from complainant) to the same original complaint record (without the rebuttal creating a new complaint record)
				CA.031 Ability to have flexible workflow for the examiner to select based on outcome (ex. "Send to Manager", "Send to Division XX", etc.) or take action (ex. "Send XXX Notification to Licensee", "Forward to Recipient (OCC, AG's Office, etc.)", etc.)
				CA.032 Ability to automatically attach pre-defined templates, as well as manually attach files from email/desktop
				CA.033 Ability to modify any template (based on user permissions)
				CA.034 Ability for outbound notifications to only consist of final "closed" letter to be sent to multiple recipients (physical letter or email)
				CA.035 Ability to incorporate Progress Review Sheet into electronic complaint file (to track full progress) and provide opportunity to escalate for review -
				CA.036 Ability to view full list of complaint history in single view (summary level information for each record)
				CA.037 Ability to search complaint records by complaint number, name (of licensee or complainant), address (of licensee or complainant), and license number
				CA.038 Ability for complaint record to be tied to associated examinations (responses/rebuttals and attachments sent to examination team to begin examination process, while referencing provided materials)

#	Function	Key Process	Scope	Business Requirement
10	Enforcement	Inspections Management (Action & Orders)	Staff will be able to schedule and manage inspection information for designated license types.	AO.001 Ability to print finalized AG Referral form
				AO.002 Ability to notify and send documentation to external resources (AG Office) with confidential information through encrypted email.
				AO.003 Ability to create a calculated score based on selected criteria
				AO.004 Ability for user to select Civil Money Penalty (CMP) amount based on calculated score
				AO.005 Ability to attach documents and comments to the AG Referral Form with date/time stamp and audit trail
				AO.006 Ability to assess penalty based on selected criteria with ability to adjust amount
				AO.007 Ability to retain versions of AG Referral forms, as defined
				AO.008 Ability to extract electronic version of an Action or Order that is public record (to be posted on the website, as decided by DFI resources, not automatic)
				AO.009 Ability to categorize actions, depending on division and license type (ex. "Disciplinary" and "Non-Disciplinary", "Appealable Agency Actions", "Contested Case Actions", "Formal" vs. "Informal", etc.)
				AO.010 Ability to track the type of recommended action, to be sent to AG's office (Cease and Desist vs. Notice of Assessment, Letters of Concern, Letters of Remedial Action, Disciplinary, Consent Agreements, Probation with Mentorship, Probation, etc.)
				AO.011 Ability to incorporate electronic signatures to AG Referral Forms - App Exchange/Static Resource (image of signature)
				AO.012 Ability to auto-assign docket number to initial orders. The starting number and nomenclature should be able to be defined by DFI, with pre-defined prefix and suffix to the numbers able to be assigned. (Ex. Prefix is "FY18" and Suffix is "BNK", then the first order would be "FY18-0001-BNK")
				AO.013 Ability to track case number (entered manually in free-text field) as needed based on Office of Administrative Hearings (OAH), Federal Deposit Insurance (FDIC) or National Credit Union Association (NCUA) inputs.
				AO.014 Ability to track submitted responses from licensees - either scanned document (if action is agreed), notice of hearing dates, Interstate Compact (ISC-Arizona Judicial Branch) request, certified mail dates, and other important fields (as defined on spreadsheet)
				AO.015 Ability to track outcomes of Actions and Orders records - hearing dates, final decision (free text comments fields) - as separate fields with dates/timestamps
				AO.016 Ability to create form of "Superintendent's Final Decision" to be sent to OAH and through email to all involved parties, with encryption and tracking functionality

#	Function	Key Process	Scope	Business Requirement
				<p>AO.017 Ability to create form of approval or denial of a rehearing request and track AG response to the request. Ability to create a form of approval or denial of a stay request and track AG response to the request. In all cases this is tied to previous Actions and Order record.</p> <p>AO.018 Ability to track response due dates for actions and orders records</p> <p>AO.019 Ability to track physical storage locations for historical Actions and Orders records (Iron Mountain box 12345)</p> <p>AO.020 Ability to create Actions and Orders records based on examinations, licensing, or complaints activities</p> <p>AO.021 Ability to track decisions from the Administrative Law Judge - this decision/recommendation from the ALJ is then considered and made part of the Superintendent's Final Order and Decision when issued (to be placed on website)</p> <p>AO.022 Ability to track outcome of ISC</p> <p>AO.023 Ability to create or replace SAF file (paper file used in ISC for supporting documentation - It also has a pink sheet that is filled out by the legal secretary prior to ISC to report if examination fees are due or paid, the amount of comp, date and time of ISC, reports any travel fee due, etc.)</p> <p>AO.024 The ability to receive and track higher court orders for class action suits, and other suits</p> <p>AO.025 Ability to associate court orders to related cases, license number, etc.</p> <p>AO.026 Ability to track multiple dates relating to the record (ex. Date the manager reviewed the AG Referral form, vs. when the Referral form was sent to the AG's office)</p> <p>AO.027 Ability to track multiple parties on same order form (ex. Cease and desist order is issued to licensee ABC from both DFI and FDIC)</p> <p>AO.028 Ability to track critical dates and status changes of Orders</p> <p>AO.029 Ability for workflows to be flexible when Attorneys, Superintendents and Statutes change, and for the workflow to be flexible in being driven by these populated fields (depending on what is selected, workflow will change)</p> <p>AO.030 Ability to trace Action and Orders the Department issues back to original complaints and to individual licensee records</p>
11	License	License Management Service Request	<p>License holders will be able to submit a service request to have their license status changed. Certain information will be retained in the data base. Only a licensee may submit a request for a status change.</p> <p>License holders or authorized users can view, manage, and request changes to their license. Internal DFI staff can review and modify license and related records as required.</p>	<p>LC.018 Ability to provide email updates to licensees upon status changes (ex. License expired/closed) with tracking of email receipt</p> <p>LC.025 Ability to adjust existing, approved licensee records through manual entry, and import through NMLS/license portal, in accordance with Auditor General Guidelines</p> <p>LC.026 Ability to track adjustments on in process license applications (ex. Licensee must adjust address after submission of license application, without withdrawing entire application process - to avoid repayment)</p>

#	Function	Key Process	Scope	Business Requirement
				<p>LC.029 Online form to submit Authorized Delegates to be added to the licensee record, with specified list of fields</p> <p>LC.042 Ability to create an online form for external user (licensee) to complete, to be associated with an existing license record</p> <p>LC.043 Ability for multiple licensee applicant users to access the same license application</p> <p>LC.050 Ability to track key historic information for licensees (manually entered/uploaded) for significant activities (ex. Name changes, M&A activity, etc.). This would enable the license record to serve as complete history for the institution.</p> <p>LC.051 Ability to merge licensee records and retain specified historic information about predecessor companies (ex. Company X merges with Company Y - the new record should retain historical items like ownership/board information and branch information, but not historical items like examination records). The individual legacy license records should remain in place in the system, but listed as "Inactive".</p> <p>LC.052 Ability to track stock ownership percentage and ownership of other institutions (related or unrelated organizations), that can be adjusted/overwritten by DFI users, based on permissions</p> <p>LC.055 Ability to track corporation name review, and decision (separate log from licensee records), with triggered notification to external agency (ex. Joe's Barbecue Bank wants to use "Bank" in their name, they must request through DFI - DFI must track the request, approve/deny it, and send approvals to the Corporation Commission through email)</p> <p>LC.058 Ability to track license closure/termination process (ex. Returning of permits) and reporting of steps to be completed</p> <p>LC.060 Ability to attach documents to the license record and categorize the record (ex. AG Attorney Opinion vs. Licensee Application Documents)</p> <p>LC.061 Ability to track the license status of "Receivership", which requires continued updates to documents and comments, and no license removal</p>
12	System	System	<p>The system will support the following requirements to ensure key business processes can be completed. However, workarounds may be used to maintain system integrity and usability.</p> <ul style="list-style-type: none"> • Ability to integrate with internal and external systems like (WAL, BDIS, OnBase Doc Mgmt, AFIS) and (NMLS, FDIC). • Configurable record/document retention • Separate environments for configuration, testing, and production • Configurable Permission Settings 	<p>SF.001 Ability to integrate with internal (WAL, BDIS, OnBase Doc Mgmt, AFIS) and external (NMLS, FDIC) systems. These are all either on the cloud or hosted in state-owned data centers</p> <p>SF.002 Must be able to configure retention schedule, based on close date, or date prepared, or date received, depending on the document type and license type.</p> <p>SF.003 Provide alert based on upcoming end of life of record retention - must be able to flag documents to be held indefinitely due to pending litigation, etc.</p> <p>SF.004 Must have multiple environments for separate development, test, and production environments, and</p>

#	Function	Key Process	Scope	Business Requirement
				successfully promote configurations between environments
				SF.005 Must be centralized system for all tasks, licensee profile, examinations, and appraisal information - single point of reference for all users
				SF.006 Ability to track status of forms (examinations, licenses, actions and orders, etc.)
				SF.007 Ability to search by wildcard for records, forms, licensees, etc.
				SF.008 Ability to integrate to a 3rd party ECM solution (OnBase) and link documents to the licensee record
				SF.009 Ability to associate licensees and companies together (DBA's, chains, branches)
				SF.010 Be able to host solution on the cloud / SaaS
				SF.011 Ability for employees to be able to access remotely (mobile access) from any device (without VPN) - Mobile**
				SF.012 Ability to schedule tasks and alerts through system
				SF.013 Ability to configure escalation rules relating to tasks and approvals
				SF.014 Ability to require two factor authentication for user access
				SF.015 Development of flexible business rules for automated alert based on statutory requirements. Ex. A Financial Institution wants to withdraw within 60 days, which is not allowed. Flag/alert should be created depending on document type.
				SF.016 Ability to check for duplicates, based on specified fields, for created records
				SF.017 Work item updates from integrated 3rd Party systems (ex. NMLS) automatically reflected in the system
				SF.018 Ability to create configurable status notifications of key processes (licenses, exams, etc.) to electronically notify/email licensee based on contact information and defined attributes (due dates, status changes, renewal reminders, etc.)
				SF.019 Ability to import all available data from NMLS (in a nightly batch update), store additional fields, and filter/report on imported data
				SF.020 Ability to include comments during approval and notify workflows, with date/time stamp and audit trail
				SF.021 Ability to include attachments within the workflows, which are then automatically indexed and uploaded to third party document management system (OnBase)
				SF.022 Ability to attach documents (word, PDF, and excel) from OnBase system to emails (external and internal) generated from the implemented solution, with encryption and tracking
				SF.023 Ability to submit online forms into the system (with attachments to be

#	Function	Key Process	Scope	Business Requirement
				imported into OnBase), and encrypt both forms and documents
				SF.024 Ability to send standard emails to licensees with pre-populated content (configurable templates), with encryption and tracking
				SF.025 Ability to track record of activity and communications, both manually and through the system (audit log)
				SF.026 Ability to track email "bouncebacks" and statuses from outbound emails
				SF.027 Field verification based on defined and standard data rules
				SF.028 Ability to populate fields with standard wording based on pick list selection on all forms. Values to be configured and defined with values by the business.
				SF.029 Ability to set alert for inbound licenses, complaints, and examinations if contact information exists based on user definable flags (watchlist, status, etc.).
				SF.030 Flag fields must be able to be manually or automatically updated based on workflow status
				SF.031 Ability to tie related records together within the solution - ex. Payment and response from the same examination can be submitted at different times, but must be associated with the same examination record
				SF.032 Ability to integrate with Gmail, Google Docs, Outlook, and Microsoft Office Suite
				SF.033 Ability to link related documents in document management system (OnBase) to logged communications/activities
				SF.034 Ability to log activities in a centralized location, referencing the associated company, individual, or license record. This should be able to be viewed directly in the license record, once logged/associated.
				SF.035 Ability to lock down what can be seen/accessed by users, depending on user privileges and "status" fields of the record
				SF.036 Ability to have a "Quality Control" user, whose activity is segregated/unable to be seen or accessed by other users
				SF.037 Ability to categorize comments for the license record (examinations, accounting, etc.) to filter
				SF.038 Ability to delegate user authority/privileges for specified periods of time
				SF.039 Ability to automate surveys for licensing, examinations, and complaints process at the end of each process through email
				SF.040 Ability to track survey results in the system
				SF.041 Ability to extract dashboards/queues from each of the

#	Function	Key Process	Scope	Business Requirement
				<p>departments (queues of inbound license applications, examinations, complaints, etc.)</p> <p>SF.042 Ability to adjust dashboard views based on fields</p> <p>SF.043 Ability to (manually) upload Active Licensees, Escrow rate reports, Consumer lender standard rate of charge, public records to the website as prescribed in Statutes</p> <p>SF.045 Ability to track correspondence or complaints to the Superintendent and coordinate them with Department Licensees, complaints, exams, etc.</p> <p>SF.046 Ability to track the correspondence ownership, progress, and outcome</p> <p>SF.047 Ability to track organization-wide documents not related to a specific licensee (ex. Department Policies, Agency Agreements, MOU Agreements, Substantive Policy Statements and Regulatory alerts, etc.) in a common area in the solution that is accessible by all users</p> <p>SF.048 Ability to categorize commonly accessible records (ex. MOU Agreement XYZ is categorized as being related to the Loan Originator license type)</p> <p>SF.049 Ability to store, search and view agency agreements which may be specific to a particular license type.</p> <p>SF.050 Ability to store, search and view regulatory alerts and Substantive Policy Statements which may be specific to a particular license type. It would be helpful if it could alert the user that the regularity alert applies to that license type.</p> <p>SF.051 Ability to store, search and view Attorney General Opinions which may be specific to a particular license type and/or a particular company.</p> <p>SF.052 Ability to store, search and view stored Department policy manuals</p>
13	License + Enforcement	Reporting	Authorized staff will be able to generate reports based on the data available in the system. Dashboards can also be created to easily measure business metrics.	<p>RP.001 Ability to create regular, standard reports upon go-live with system information:</p> <ul style="list-style-type: none"> - Accounting related reports (e.g., Aged receivables, fees collected, refunds processed, etc.) - Performance reports (days to process applications/complaints/examinations, etc.) - Reports surrounding Customer Satisfaction Surveys <p>RP.002 Reports must be able to be run ad-hoc</p> <p>RP.003 Ability to display standard dashboards for users to easily view progress metrics</p> <p>RP.004 Ability for dashboards to easily show status of exams</p> <p>RP.005 Ability to have flexible reporting based on designated fields (resource, due date, risk rating, etc.)</p> <p>RP.006 Ability for flexible reporting spread between multiple users (managers/admins)</p> <p>RP.007 Ability for business users to create and run reports (non-technical users, rather than IT team)</p>

#	Function	Key Process	Scope	Business Requirement
				RP.008 Ability to select fields to audit and generate audit logs, including action taken, user, date, and timestamp
				RP.009 Ability to track aggregate fees received (inbound cash), fees refunded (outbound cash), fees waived, etc. by fee and license type
				RP.010 Ability to track actual license application processing time by license type and person/DFI user
				RP.011 Ability to track average license application processing time by license type and person/DFI user
				RP.012 Ability to track actual renewal processing time by license type and person/DFI user
				RP.013 Ability to track average renewal processing time by license type and person/DFI user
				RP.014 Ability to track specified performance metrics (ex. Number of processed licenses by a CSR in a specified timeframe)
				RP.015 Ability to report based on user-defined timeframes
				RP.016 Ability to report on changes to a licensee record, including changes to a company or individual record, over a specified period of time
				RP.017 Ability to compare separate data sets on same activities (examination time entries, examination outputs, etc.) - ex. Average time spent on specific examination sub-activity against score licensee received on that same area.
				RP.018 Ability for administrators to view and print report on user accounts/privileges
				RP.019 Ability to report on fees that have not been paid vs. due date
				RP.020 Ability to report statistics on record type (complaints vs. licenses vs. examinations)
				RP.021 Ability to track Actions and Order records based on fields defined in the Actions and Orders spreadsheet
				RP.022 Ability to create conditional formatting/coloring on reports based on ranking and defined thresholds
				RP.023 Ability to summarize complaints related to licensee in a user defined timeframe (ex. Since the last examination 2 years ago)
				RP.024 Ability to report on company information, including branch locations, ownership percentages, management (officers & directors), etc.
				RP.025 Report showing the number of completed exams for each examiner during a specified timeframe
				RP.026 Report of scheduled exams for an entire division (i.e., more than one license type and multiple examiners) for a past or future defined period.
				RP.027 Ability to track the number of licensees and the history of the number of Licensees

#	Function	Key Process	Scope	Business Requirement
				RP.028 Ability to receive, track, and report Surveys from exams, licensing, complaints, by division, employees, ratings and comments and build graphs and reports, as well as track manager response when needed
				RP.029 Ability to categorize complaints by license type, reason, and outcome of the complaint, name of licensee, date received, and date closed
				RP.030 Ability to report on changes to configuration of the system, along with users responsible for making the change (timestamp and user)
				RP.031 Ability to report on when examination reports were sent to the licensee vs. when the final step in the examination workflow was completed
				CA.007 Ability to track and run a report for the restitution Complainants and refunds received as a result of the complaint
				SF.044 Ability to pull reports for Exams by type of exam, examiner participation, exam prep start, exam start, exam mailed Agency led or Federally led

3.2 Data Migration Scope

3.2.1 Activities and Outputs

The data for all the license types in scope for this release is coming from a single legacy environment. However, some information, such as CE and Enforcement may also be sourced from other environments as well. In order to maintain operations until cutover, the data migration will occur via development of migration scripts, which include extraction queries, format of extracted data and data load maps to import this data into Salesforce.

Migration of data will be organized as three distinct mock conversion cycles with the most time spent on the first cycle where data maps will be generated. Deloitte will conduct migration as follows:

Data Migration Releases	Description
Mock Cycle 1 – Data Migration	Conduct a 4-week iterative cycle to analyze, extract, cleanse, map, load and validate the Data. Detailed review meetings with board representatives will be needed. At the end of the Release, a working set of Data including Contacts and Addresses shall be loaded into lower lifecycle Salesforce environment for test purposes.
Mock Cycle 2 – Data Migration	Conduct a 1-week iterative cycle to analyze, extract, cleanse, map, load and validate the Data. Board representatives will be required to validate the data loaded into Salesforce. At the end of the Release, a working set of Data including Application and License specific data shall be loaded into lower lifecycle Salesforce environment for test purposes.
Mock Cycle 3 – Data Migration	Conduct a 1-week iterative cycle to analyze, extract, cleanse, map, load and validate the Data. Board representatives will be required to validate the data loaded into Salesforce.

At the end of the Release, a working set of Document Image associations with Contact, Application and License records shall be loaded into lower lifecycle Salesforce environment for test purposes.

Production Cut over

As part of the cut over the source data will be extracted again for final conversion once the legacy system has been taken offline. The extracted data will be run through migration steps to create a final set of files to import into the production environment. During the course of Cut over, access to legacy system will be restricted so that no new data is generated in the source system. Additionally, production Salesforce will be unavailable during the production data loading as well.

Deloitte will conduct Data Conversion JAD sessions to gather, document and validate data conversion scope for the data elements mentioned above and other required data. DFI and Deloitte will be responsible for the extraction, cleansing and mapping to a predefined format. Deloitte will conduct several migration cycles ("mock runs") to validate the converted data has transformed successfully. Once Deloitte has confirmed the data conversion process, we will load the data into Salesforce using the data tool. Following are the key steps and the activities to be performed for each of the stages during the data conversion cycle.

#	Activities	Description	Output	Responsibility
1	Confirm data conversion scope and sources	DFI and Deloitte to work together to identify and confirm the data conversion scope and requirements from legacy system.	<ul style="list-style-type: none"> Data Conversion Scope 	Deloitte
2	Conduct data extraction, cleansing and data quality check	DFI staff shall perform data extractions from the source systems and perform necessary cleansing activities. Load templates, which aid in the proper formatting of data fields, are provided to the ADOA-ASET into which the cleansed data can be inserted.	<ul style="list-style-type: none"> Cleansed Data Extract 	State
3	Conduct data assessment	Deloitte will conduct a data assessment to identify records that require further remediation or cleansing by the State prior to loading.	<ul style="list-style-type: none"> Data Quality Assessment log 	Deloitte
4	Data remediation	State will be responsible for remediation of the identified data before final data load into the Licensing Application.	<ul style="list-style-type: none"> Data Remediation Report 	State
5	Conduct data load and validation	Deloitte shall load the State provided data into Salesforce solution based on the predefined template. Deloitte will provide control reporting that validates no data was altered or lost, and that records accessible in the new platform.	<ul style="list-style-type: none"> Final Data load Completion 	Deloitte

3.2.2 Responsibilities

Deloitte's Responsibilities	State's Responsibilities
<ul style="list-style-type: none"> Lead data design workshops to include data mapping and functional data usage Confirm scope of data to be migrated Accurately assess the quality of data in legacy systems and databases to be converted 	<ul style="list-style-type: none"> Provide cleansed data extracts Mapping data to a pre-defined format Business data quality assessment

Deloitte's Responsibilities	State's Responsibilities
<ul style="list-style-type: none"> Complete data conversion iterations Conduct data loads into Salesforce Application 	<ul style="list-style-type: none"> Provide data remediation rules which are identified before the data load into the Licensing application Provide sign off on Data loads post UAT acceptance

The following table represents key sources of data, scope of migration volume to migrate the data to the new eLicense 3.0 solution

Legacy data access will be provided by DFI and the State of Arizona in the format and timing requested by Deloitte Consulting.

DFI and the State of Arizona will be responsible for all data accuracy and cleanness from the relevant source system.

DFI and the State of Arizona will be available for any data conversion sessions to discuss requirements, analysis, and resolution of issues. Deloitte Consulting will work with DFI to find the best timing for these discussions based on board availability.

Deloitte Consulting is only responsible for transformation and import of the data inside Salesforce system via the staging tables. In order to accomplish this, Deloitte will be executing 3 Mock data loads prior the UAT sessions and one final load into production during go-live phase.

3.2.3 Data Migration Activities and Responsibilities

#	Activities	Description	Output	Primary	Secondary
1	Provide Data Analysis	<p>Complete Data Analysis on the Source data and implemented transformations in the mutually agreed document format</p> <p>To keep in mind following (but not limited to) considerations: Data Quality, List of Values, Data Volumes, Standard versus board-specific transformations etc.</p>	Data Profiling and Analysis Results	Deloitte	State
2	Data Cleansing	<p>Based on the results provided, improve the data quality and gather any information that may have a dependency on the mocks or production data migration.</p> <p>Example: SSN is used for de-duplicating citizens within eLicense, and is an important part of the data migration.</p>	Data Cleansing and Updates	State	

#	Activities	Description	Output	Primary	Secondary
2	Maintain Data Impediment List	Maintain the data Impediment/ New Requirements list identified across different stages of data conversion	Data Concerns Dictionary	Deloitte	State
3	Facilitate cross-team collaboration	Facilitate the cross-team collaboration between functional, PMO and data integration streams to plug the Gaps between data conversion requirements and other stream requirements	Gap Analysis	Deloitte	
4	Provide Data mapping for List of Values	Complete data mapping & transformations between source and target for List of Values (E.g. License Status, License Type etc.) and associated Transformations by Board owners along with Board BAs	Data Conversion List of Value Mappings	Deloitte	State
5	Identify and finalize De-duplication criteria	Identify and finalize the standardized de-duplication criteria across the boards	De-duplication Criteria	Deloitte	State
6	Complete De-duplication	Provide Salesforce Production Extract and complete the de-duplication between source contact data and Salesforce production data	Salesforce Extract	Deloitte	State
7	Server Management	Manage the Data extraction, Load, De-duplication etc. Servers/Databases Related to maintenance, refreshes, accesses and associated communication for stakeholders etc.	Server/Database Maintenance	State	
8	Maintain Extract Queries centrally	Maintain extract and transformation queries used for data extraction in the mutually agreed and accessible location	SQL Queries	State	
9	De-duplication support for Source Contacts Data	Providing the extract/queries for the Source Contact transformations and staging De-duplicated data with Source Data	All Contacts query And Staging of de-duplicated contacts data	Deloitte	State

#	Activities	Description	Output	Primary	Secondary
10	Provide Record Type Name	Provide Record Type for each board to add it as part of the transformation so that the records provided in extracts can be loaded against those record type names	Data Conversion Mapping Document	Deloitte	
11	Complete Extraction of Load data	Write the extract queries for transformations on agreed server database location(s)	Staging Database	State	
12	Review extract data	State Data analysts to review the post and pre-transformation data in Staging database and highlight any concerns (if any) which needs extract queries to be modified And/ Or Mark the verified post-transformation data as reviewed data	Issue List And/Or Staging Database	State	
13	Load data in multiple iterations	Load the data in multiple iterations ("Mocks") as applicable using data loading tool	Data Loaded in Salesforce	Deloitte	
14	Spot check data	Data Analyst to complete the spot check on the loaded data along with Business Analyst and highlight concerns if any using sample records provided by Boards in the past	Impediment List	Deloitte	State
15	Complete extract query modification	Modify the data extract queries for the data in staging database for concerns highlighted as part of extract review, spot check, data validation session or errors while loading the extract file (if applicable)	SQL Queries	State	
16	Complete re-load data	Re-load the data (if applicable) using data loading tool	Data Loaded in Salesforce	Deloitte	

#	Activities	Description	Output	Primary	Secondary
17	Conduct data validation session	Conduct data validation session with business and log any new concerns highlighted	Data Validation Session And Impediment List	Deloitte	State
18	Provide final data validation and report	Verify data counts and transaction amounts to ensure that totals match between legacy systems and eLicense	Data Validation Session	Deloitte	State
19	Provide data conversion sign-off	Attend the data validation sessions and provide the sign-off on the data shown to the Boards	Data Conversion Sign-off	Board	
20	Facilitate data mapping from source to target	Facilitate completion of data mapping between source and target (Objects, Fields and associated Transformations) along with State	Data Conversion Mapping Document	Deloitte	State
21	Leadership communications	Maintain and provide communications for the data conversion daily/weekly status	Data Conversion Dashboard	Deloitte	State
22	Provide clarifications for the issues identified	Provide the clarifications for the issues identified during the iterations ("Mocks")	Impediment List	State	Deloitte
23	Participate in data requirements/analysis	Participate in data requirements/analysis to provide information required to complete the data requirements	Data Conversion Mapping Document	Deloitte	State

3.2.4 Data Migration Sources

Common Name	Description	Type
Authorized Delegates	This list contains information about Authorized Delegates. Authorized Delegates are business that are authorized as money transfers for another company.	Excel Files
Examiner Education		Excel File
Authorized Appraiser Education	List of companies who provide course education. Courses have to be approved by DFI prior to Appraiser accreditation.	Tables

Common Name	Description	Type
Banks and Credit Unions Activity Log		Excel File
Banks and Credit Unions Education Log		Excel File
BDIS – Banking Department Information System	The Banking Department Information System contains Licensing, Examination and Complaint related information. The system is used to track information for several different types of licenses and in many cases the data contained in BDIS is duplicative of data stored in NMLS.	Database tables
Paradox Board of Appraisers System (APPR)	The Paradox Board of Appraisers system contains information related to Appraisal Management Companies, Individual Appraisers and Property Tax Agents. The system includes licensing data, additional address data, complaint data and what appears to be a change log. Several tables within the Paradox system contain data anomalies a result of using columns with the tables for multiple purposes. Additional work will need to be done to determine how to best pull accurate data from this system and how much data cleanup will be necessary.	Database tables
WAL (Work item Activity Log)	The WAL System is an activity tracking system that tracks a variety of tasks related to applying for a license, renewing a license or license maintenance.	Database tables
NMLS	National MLS	



DFI Legacy Systems
Data Final - DFI.docx

3.3 Batch Jobs Scope

The following sets forth the nightly batch jobs that are included in the Services. These batch jobs will be confirmed and adjusted during the sprint sessions. Any additional batch jobs necessary to meet the agreed upon requirements will be confirmed and developed accordingly.

Batch Job	Description	In scope?
Expiration Reminder	Email reminder for 30, 60, 90 days prior license expiration.	Yes
Status Change	Recurring process responsible to evaluate expiration, renew, late renew and reinstatement status and change it as specified.	Yes

3.4 Security Scope

The Services with respect to application security, privacy, and controls are limited to the following:

Deloitte will work with DFI and ADOA-ASET to ensure the State of Arizona security standards are followed so the data is protected and secure at rest and in transit. In addition, the team will continue to use the security standards set In Phase 1 of the project.

The scope of application security Services is limited to the following components, but may be expanded depending on the security requirements. The configuration these items will balance the need to meet board requirements while ensuring that the system is maintainable and can be built within the defined timeframes.

Role type	Description
Network/IP Access Restrictions	Currently the system does not restrict connections from outside the network, but the policies can be setup if required
Roles	A role hierarchy will be defined to limit record access based on criteria including geography and job position
Profiles	User profiles will be defined to restrict access based on user's job description
Encryption	Salesforce encrypted fields will be used to store sensitive data like SSN
Enterprise Session, Usernames, Passwords and other settings	These will be setup based on the state's security standards

DFI is, and will continue to be, solely responsible for establishing and maintaining an effective system of internal controls over financial reporting, including systems designed to confirm achievement of Client's control objectives and Client's compliance with applicable laws and regulations.

3.5 Application Scope

The application system instances to be built as part of the Services are limited to the following:

Application	Sandbox	Development	QA/Test	Production	Other
Salesforce	Yes	Yes	Yes	Yes	No
BasicGov	Yes	Yes	Yes	Yes	No

3.6 Testing Scope

Deloitte embeds quality assurance and testing services as part of the overall project management methodology. System Integration Testing (SIT) and User Acceptance Testing (UAT) are both conducted during three test cycles for each.

3.6.1 Activities and Outputs

Deloitte's Quality Assurance and Testing Methodology has been used to support a wide array of clients. In each circumstance, best practices and lessons learned are gathered and shared so that they may be used in subsequent analyses.

Deloitte's belief that "quality is built in, not tested in" drives the incorporation of our quality control capabilities into all phases of the iterative Software Development Lifecycle (SDLC) proposed for the State's project. A core discipline within Deloitte's iterative approach is to include

tasks to plan and monitor for quality, verify and validate products/work products, and audit project processes and assets against defined standards as early as possible. Key tenets include:

- Preventing defects from being introduced in the first place through use case/test case driven development.
- Detecting defects as early as possible—our experience has shown that a defect introduced in the early stages of a project is 50-200 times more costly to fix if not discovered until just before release to production.
- Not waiting until the end of the project to begin testing - some estimates have shown that each hour spent on quality assurance activities saves between 3 and 10 hours in downstream costs.
- Embed test planning into phases/iterations of the project, starting with requirements definition that is testing place as part of Universal Design.
- Develop clear traceability and transparency of requirements and status of Salesforce.com configuration and additional integration implementation; through a traceability matrix.

Our formal testing methodology allows us to confirm that the system meets the "To-Be" requirements as documented during the Design phase. We start with the requirements and user stories that were developed for design as a starting point to creating a comprehensive test case inventory. Testing will be facilitated by associating an acceptance criteria with each user story. Test execution will involve validating that the acceptance criteria associated with the user story has been met. In case the acceptance criteria is not met, a defect will be created to enable the Deloitte development team to identify and fix any issues. The development of the acceptance criteria will be the responsibility of the state, specifically the board representatives for each license type. The state representatives will analyze the requirement, and the associated user story to determine what criteria will be used to confirm that the requirement has been met. This acceptance criteria will be mutually agreed to by the State and Deloitte.

Tracking software will be used to maintain requirements traceability. The State Business Analyst team will develop the user stories and associate the requirements to the user stories. Each such user story-requirements association will be identified for each board during the design process and documented in the tracking software. Every user story will have an acceptance criteria defined with it. The coverage explorer functionality available in the tracking software will be used to determine full traceability of each requirement to the user story and thereby to the test cases.

3.6.2 Defect Handling

Both Team Deloitte and ADOA-ASET resources will follow a structured approach to defect management. If a test case yields a defect, the tester will log that defect in the tracking software. The following process will be used to effectively resolve defects:

Defects will be logged and categorized in the tracking software by severity based on the Severity classifications as identified in the respective test plans:



Team Deloitte will work with DFI / MSS team members to develop mutually agreed-upon criteria for the go-live. These criteria will vary across distinct defect categories, such as Environments, Data, Configurations, Code, etc. Medium and Low Priority defects may be identified but not necessarily resolved for go live. A resolution plan will be discussed with DFI and the state to address as many Priority 3 and Priority 4 as possible within the support period.

Priority values and details are defined below:

1. Priority 1

- a. The software does not operate as specified and/or as designed with one or more of the following effects:
 - i. A critical defect that prevents users from doing their work
 - ii. No work around exists
 - iii. Data has been corrupted and some type of recovery is needed before returning the system to operation

2. Priority 2

- a. A major function or feature has been disabled or is incorrect causing a severe degradation in service. A work around is possible, but additional problems / failures could result in critical failure
- b. Non-functional defects with low severity but high business impact, such as incorrect company logo or copyright information etc., are also high priority defects

3. Priority 3

- a. Minor function(s) are disabled or incorrect
- b. Some inconvenience for users
- c. The defect has a workaround solution that is easily identifiable

4. Priority 4

- a. Superficial error; aesthetic; no effect on operations

3.6.3 System Integration Testing (SIT) Activities

System Integration Testing is the level of test that validates specific functions, code modules, migrated data or vendor products.

Key Activity	Description	Work Product	Responsibility
Test Plan	Deloitte will create a System Integration Testing (SIT) Test Plan that details the schedule of system, integration, and regression.	Test Plans	Deloitte/State
Test Cases	The state will also create test scenarios for business, process and functional requirements, assignment of resources and planned execution dates based on test case duration.	Extract of the User stories with acceptance criteria, and Test Scripts	State/Deloitte
System Integration Testing (SIT)	Deloitte will execute end-to-end integration testing to verify that process flows, validation rules, development objects, converted data, and security successfully behave as expected across the Salesforce and BasicGov. Defects are tracked, triaged, and repaired during three (3) system integration test cycles. Each SIT cycle will have its own scope of functionality that will be testing during that cycle.	System and Performance Test Results Report	Deloitte

System Integration Sub-phase – Key Activities.

3.6.4 User Acceptance Testing (UAT)

User Acceptance Testing (UAT) is the opportunity for the state to validate the system. The key objective of UAT is to gain acceptance from the State and Agency user community for the solution once they verify that the system meets defined requirements and design specifications. The release is delivered as a baseline, grouping system functionality into a consolidated package for subsequent testing cycles and phases.

Key Activity	Description	Work Product	Responsibility
Test Plan and Cases	The state will create a User Acceptance Testing Test Plans that define how user-acceptance testing is performed by outlining the objectives, responsibilities, and testing timeline. This document also includes details of the identified user-acceptance test scenarios. User-acceptance testing is a user-driven process of testing, so that the business is ready to cutover to the new solution. User-acceptance testing focuses on site user readiness and validation of cutover correctness.	UAT Test Plan	State
UAT Test Scripts and Test Cases	The state will leverage the Test Cases utilized in SIT. The acceptance criteria to test the functional, system, integration and data requirements are being met through the specific user stories used in SIT. This document also includes details of the identified user-acceptance test scenarios. UAT Test Cases will be a collection of appropriate End-to-End System Integration scripts compiled to represent the business need.	UAT Test scripts, user stories and applicable acceptance criteria	State

User Acceptance Testing	<p>The State will conduct user acceptance testing for each of the license type to verify the solution meets the requirements of the pilot. Defects are tracked, triaged, and repaired during three (3) user acceptance test cycles. Each UAT cycle will have its own scope of functionality that will be testing during that cycle.</p> <p>Deloitte will prepare a User-Acceptance Test Results report containing the complete results of the user-driven process of testing of the business functions and processes at a high level.</p>	User Acceptance Test Results Report	State conducts User Acceptance Testing State prepares report
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3.6.5 Responsibilities

Deloitte's Responsibilities	State's Responsibilities
System and Acceptance Testing Requirements	
<ul style="list-style-type: none"> • Develop and maintain test data repositories as agreed appropriate. • Develop test plans including scripts, cases and schedules as agreed appropriate. • Perform System Testing. • Perform Integration/interface testing. • Perform Data Conversion Testing. • Provision test environments populated with quasi production data as required to perform the system. • Document SIT results for State review. • No regression testing is anticipated by Deloitte as there will be single go live for all three license types. 	<ul style="list-style-type: none"> • Provide input to testing standards and testing results. • Provide Testing tools
Support State's Performance of User Acceptance Testing (UAT)	
<ul style="list-style-type: none"> • Trace UAT test plans, scripts, cases and acceptance criteria to the contracted requirements baseline and agreed-upon updates to this baseline (i.e., the Requirements Traceability Matrix). • Review changes, fixes and enhancements with the participants in the UAT testing. • Correct identified defects and nonconformities in accordance with the acceptance process. • Compile and maintain solution issue lists. 	<ul style="list-style-type: none"> • Validate the UAT test cases provided adequately represent the breadth of the solution and the business need. • Develop for the State agreed upon UAT test plans. • Create UAT Test cases, scenarios and test scripts from a targeted sub-set of end-to-end System Integration Test cases. • Perform UAT testing. • Log all UAT defects and issues to discuss the appropriate resolution as per the acceptance criteria. • Record and report UAT results in a timely manner. • Coordinate UAT execution and acceptance procedures with the appropriate the State participants. • Provide final sign off for acceptance of the solution prior to go-live.

3.7 Training Scope

The training will be designed to provide DFI staff with the knowledge and skills required to use, support and maintain the system.

Type	Definition and Purpose	Audience Groups	Responsibility
Train-the-Trainer (TTT)	Train Board super users to be proficient with the new application in order to deliver end user training to extended group of internal and external end users. Trainers will be instructed in the course material, and will be given an opportunity to 'teach back' the material to extended group of end users to demonstrate proficiency. Training materials will be provided to this group to support their training activities.	Board Super Users (Board Admins) UAT Testers	Deloitte & Board

3.7.1 Train-the-Trainer (TTT)

Train-the-trainer (TTT) sessions are designed to prepare Board Trainers and/or Super Users to deliver training courses to end-users. Content for Train-the-Trainer sessions will be based on the system configuration and will be further developed using the built configurations of the system and relevant documentation. Before scheduling the Train-the-Trainer sessions, the configuration of the processes and system will be in a state close to final in order to avoid retraining efforts. Upon completing these training sessions, trainers will be prepared to:

- Deliver eLicense Phase II system and navigation training to other DFI end-users
- Configure reports to attend business requirements.
- Effectively use the instructional materials, trainer manuals and associated training tools to perform day to tasks, as well as answer other end user inquiries.

Train-the-Trainer content will be specific to how end users will actually perform their roles. The Train-the-Trainer curriculum will consist of materials that will be developed for following two roles.

1. Board Super Users – This group includes Board Administrators who are responsible for receiving all applications, and processing them through the application. Board Administrators are Subject Matter Experts who will support all internal end users including Board management, licensing boards and other Board departments such as Legal, Finance, Accounting etc. that will be expected to interact with the system.
2. UAT Testers – This group includes Board Administrators and Subject Matter Experts identified to assist in the User Acceptance Testing activities for acceptance of the system.

3.7.2 Recommended Pre-Training

Name	Description
Salesforce Trailhead	Trailhead is a series of online tutorials that coach beginner and intermediate developers who need to learn how to code for the Salesforce platform. Lessons are presented in

a specific sequence, so customers have a predefined path to follow and a "guided" experience.

<https://trailhead.salesforce.com>

The list of trails is recommended:

- Learn CRM Essentials for Salesforce Classic
- Reports & Dashboards for Salesforce Classic

3.8 Deployment

The objective of the Deploy phase is to prepare for and execute system and business cutover to the new environment, which includes preparing the deployment cutover plan, conducting go/no-go evaluations and establishing the support organization to help the State after cutover.

- The Deploy phase includes deployment of the solution, providing subsequent support, and optionally conducting usability assessment workshops with end users to identify areas for future usability enhancement.
- A release closure retrospective is conducted to assess what went well and what could be improved for the next release.

Our implementation planning and execution approach focuses on detailed planning and status monitoring and emphasizes managing the risks and complexities. Our support model provides the State with support to technical staff and end users, clear lines of communication, effective issue escalation procedures, and accountability for results. The key objectives of the Deploy Phase include:

- Releasing the solution based on the Deployment Cutover Plan.
- Conducting Warranty, Operations and Maintenance activities.

3.8.1 Activities and Outputs

Key Activity	Description	Output	Responsibility
Deployment Cutover Plan	Deloitte will define the tasks, timing, dependencies, and resources required to perform the system cutover from the legacy system to the new system. The Deployment Cutover Plan is used to both plan the deployment and manage the execution of the deployment tasks to promote a smooth transition to the users of the new system.	Deployment Cutover Plan	Deloitte
Conduct Go/No-Go Evaluation	Deloitte and State will conduct a joint Go/No-Go meeting with the key stakeholders of the project and assess the readiness for going live and make a decision as to whether or not the system will go live according to the go-live date.	Go/No-Go Evaluation	Deloitte
Go-Live	Deloitte will prepare and deploy the solution into production environment to complete the Go-Live process	Completion of Go Live	Deloitte
Warranty and Support	Deloitte will provide additional resources and support during the warranty period including a support plan that outlines intake, triage and assignment processes	Support Plan	Deloitte
Final Acceptance	Deloitte will obtain a final acceptance document from the State confirming that the agreed upon requirements have been delivered and accepted as final	Final Acceptance Document	Deloitte will prepare and submit the Final

3.8.2 Responsibilities

Deloitte's Responsibility	State's Responsibilities
<p>Pre-Production/Production Deployment Phase</p> <ul style="list-style-type: none"> • Submit a written deployment cutover plan describing the plan to manage each implementation, for the State's approval. • Execute required data conversions or migrations including, but not limited to, baseline Salesforce.com configuration tables and parameters, and ancillary supporting data as required by the system to function successfully in the production environment. • Document data issues and provide to the State for resolution. • Conduct production pilot(s) (including "day in the life" simulations) and fine tune solution as agreed appropriate. • Conduct end to end final validation of the operational architecture for the system. • Develop, and thereafter maintain and make available to the State, a knowledge base of documentation gathered throughout the Project's life and allow for re-use of such documentation for future Projects. • Conduct a post-implementation review process upon the completion of the Project which will include an analysis of how the business system(s) resulting from the Project compare to the post-deployment performance requirements established for such Project. 	<ul style="list-style-type: none"> • Complete administrative setup tasks, such as detailing users required. • If required, convert electronic data into a format usable by the new solution using a data conversion program. • Establish data to be used with the new solution by producing new data and reconciling and mapping different data and database representations. • Execute Go-Live communication, stakeholder alignment and change management activities focused on adoption of ownership. • Collect, analyze and address feedback for any additional requirements. • Conduct post "go-live" monitoring and problem resolution reporting. • Review and sign-off on all deliverables.
<p>Managing System Changes to any State system or environment</p> <ul style="list-style-type: none"> • Establish, publish and maintain a formal release calendar in consideration of the scheduled or required changes to the eLicense system. • Develop release packaging rules that includes provisions for Contractor system and State review and approval of Contractor results, provisions for State acceptance or validation testing (depending on the nature of the change). • Establish operational procedures to backup or otherwise copy the Salesforce.com eLicense environment prior to implementing the change. • Rollback or reversibility considerations including success/failure criterion applicable to the change. 	<ul style="list-style-type: none"> • Validate that all changes related to Salesforce adhere to State security, privacy and data handling Policies as contained in Supplement 2. • If applicable, testing for high volume (transaction or data) transactions at the mutual agreement of the State and Deloitte in consideration of the contents of a change.

Deloitte's Responsibility	State's Responsibilities
<ul style="list-style-type: none"> Support structured code management, version control tools based on a supported change management suite. Include requirements traceability for elements of a system change. Support the State in validating that changes adhere to State security, privacy and data handling Policies as contained in Supplement 2. Employ standard test beds or scripts that are utilized and extended for purposes of fully demonstrating completeness of adherence to business, functional and technical requirements at State required quality levels. 	

Project Completion Activities and Final Documentation

During the 45 day period immediately following Go-Live,

Deloitte will:

- Provide adequate staffing (on site or available remotely) to resolve defects identified by the State during this 45 day period.
- Prompt isolation, triage and repair of Severity 1 or 2 issues defined in Supplement 1.
- Support ADOA-ASET to address issues raised from Performance Monitoring when there are statistically significant (i.e., +10%) deviations from actual production performance as compared to the system performance prior to the implementation of Contractor developed elements.
- Verify that interfaces, and system functions perform and function as specified.
- Compile final versions of the upgrade documentation, work products and delivery materials and locate/organize them as 'FINAL' on the State provided SharePoint site.

- Conduct Performance Monitoring of the System so that there are no statistically significant (i.e., +10%) deviations from actual production performance as compared to the system performance.
- Review and accept all final versions of the upgrade documentation, work products and delivery materials and locate/organize them as "FINAL APPROVED".

Deploy Responsibilities.

3.9 Post Go-Live Support Scope

Deloitte will assist DFI by providing post production support for a period of 2 weeks following go-live.

Deloitte staff will provide two weeks of support to provide tier-one level support for issues encountered in the eLicense Arizona solution or with any integration to external systems. Any defects encountered will be triaged and logged in Agile Accelerator or any client tool. If defects are agreed to be within the scope of the release an identified during the post go-live support, the fixes will be made and promoted across environments. No agreed outstanding items will be remaining opened.

Deloitte's Responsibilities	State's Responsibilities	Board's Responsibilities
<ul style="list-style-type: none"> Maintain compliance with operational procedures to backup or otherwise copy the Salesforce.com eLicense Arizona environment prior to 	<ul style="list-style-type: none"> Collect, analyze and address feedback for reported defects. Triage any defects from Board. Receive sign-offs, take non-Salesforce systems 	<ul style="list-style-type: none"> Provide detailed steps of issues encountered.

- implementing support related changes.
 - Continue support structured code management, version control tools based on a supported change management suite.
 - Track and update the team regarding defect and enhancement status.
 - up and down for go-live support deployment
 - Conduct post go-live monitoring and problem resolution reporting
-

3.10 Out of Scope

Anything not specifically listed in this SOW as being within the scope of Services will be out of the scope for this SOW. Without limiting the foregoing, the following items are out of scope for this SOW:

Item	Description
Procurement	All processes owned by the procurement team.
Performance Testing	Volume and stress testing conducted to determine the system's general ability to handle heavy volumes of data, in addition to stressing the system to find system defects caused by overloading its resources in a short span of time.
Third Party Vendor Applications	Any level of effort associated with the use / integration of Salesforce third party vendor applications (e.g., from the AppExchange) besides those mentioned in this statement of work is above and beyond the scope of this statement of work and will need to be evaluated separately.
Single Sign-On (SSO)	Single sign-on from Salesforce is not in-scope for this project
Email Integration	Integration with any email services.

4 High-Level Estimated Timeline

All dates are estimated dates. The final project plan will be produced during Plan Phase. It is assumed this project will commence September 17, 2018.

Week Beginning	9/16	9/23	9/30	10/7	10/14	10/21	10/28	11/4	11/11	11/18	11/25	12/2	12/9	12/16	12/23*	12/30*	1/6	1/13	1/20	1/27	2/3	2/10	2/17	2/24	3/3	3/10	3/17	3/24
Discovery	Discovery																											
Design & Build Sprints	S1 - Application Intake S2 - Reviews - Renewals S3 - Compliance S4 - Refinement																											
Outputs / Reports	Reporting (Operational, Management)																											
Integrations	Integration Design Integration Development Deployment																											
Data Migration	Data Migration Design Mock 1 Deployment Mock Loads																											
Testing	SIT UAT																											
Deployment and Support	D Support																											

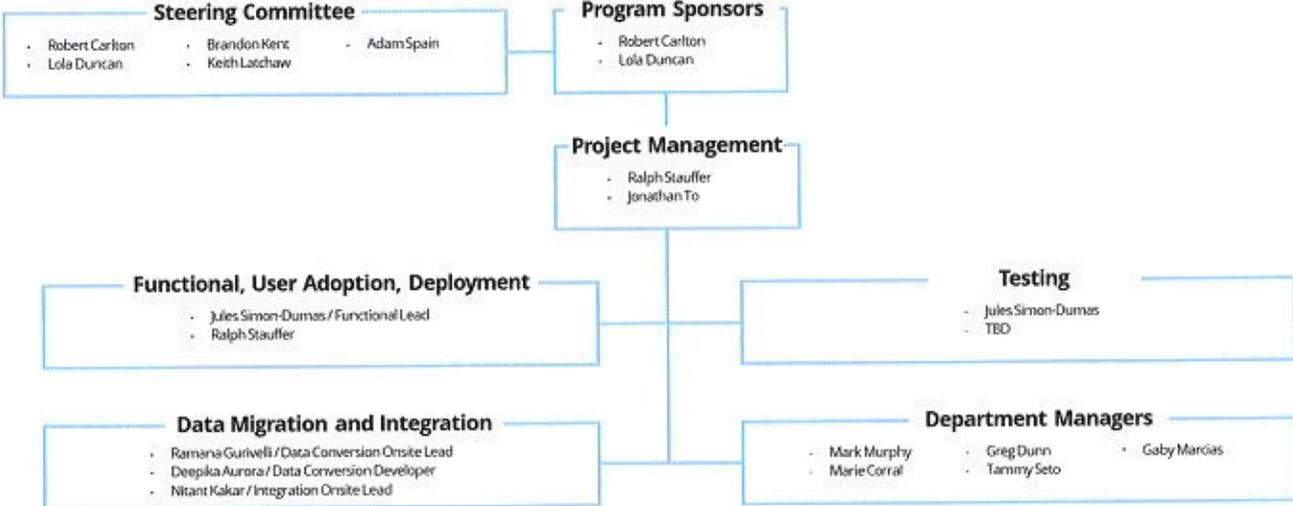
*Project Slowdown

5 Project Organization Chart

The "Project Team" will consist of the following Client, Deloitte Consulting roles and MSS roles.

DRAFT org chart will be finalized during the kickoff week.

DFI Project Org. Chart



6 Staffing Model

The primary work location(s) will be at DFI office located at 100 N 15th Avenue, Phoenix although Deloitte Consulting may perform the Services at other locations.

Deloitte Consulting expects to provide the following resources to perform the Services.

Role name	Role description	Team
Project Sponsor	Member of the Project board and is the key champion for the Project at board meetings, communication events, and Project meetings and has sign-off authority for key Project decisions.	Steering Committee
Lead Client Service Principal (LCSP)	Responsible for overall engagement quality and risk management and conducting reviews of all Project Deliverables prior to delivery.	Project Management
Project Manager	Responsible for oversight of the Project teams, work streams, quality management, financial management, Deliverables, and the methods, standards, and guidelines for the Project.	Project Management
Application Functional Analyst	<p>The application functional analyst has deep functional and application knowledge. The application functional analyst performs or assists with the following activities within his or her functional area of expertise:</p> <ul style="list-style-type: none"> •Defining business scenarios •Designing processes •Defining requirements •Conducting fit/gap/manual analysis •Creating functional specifications •Configuring software •Designing master data •Executing functional testing •Conducting super-user training •Executing cut-over •Stabilizing the post go-live environment •Longer term application management and maintenance, if required. <p>This role is responsible for performing quality assurance and control activities as defined in the project quality management plan</p> <p>On most projects, this role is generally filled by a consulting resource unless the client resource has knowledge of the application functional area. When this role is being performed by a consulting resource, the application functional analyst transfers application and configuration knowledge to appropriate client personnel (most likely the business process analyst) throughout the project, using both formal and informal methods. In addition to this knowledge, the application functional analyst may also have business process or industry knowledge, enabling the individual to support and</p>	Development

guide the business process analyst (FB) through design, build and test of a project's business processes.

Data Integration Developer	<p>The data integration developer is responsible for documenting technical specifications and building and unit testing data integration programs, including extract-transform-load (ETL) and other nonoperational data conversion programs. The data integration developer works closely with the Information Management team lead(s), to understand the functional requirements and apply those requirements in the integration technology selected by the project team. This role is not involved in development of interfaces and conversions as part of typical RICEFW (reports, interfaces, conversions, enhancements, forms, workflows) object development as part of package implementations.</p> <p>Responsibilities may vary by project, but will typically include:</p> <ul style="list-style-type: none"> •Participating in the definition of the ETL approach for the project •Developing ETL and data conversion technical specifications for integrations related to business intelligence, master data management, data cleansing/quality and performance management solution deployments •Developing and unit testing ETL and data conversion programs •Supporting deployment of ETL and data conversion programs, including all application testing cycles 	Development
Functional Lead	<p>The functional lead has deep functional knowledge about the business application of the system being developed. The functional lead works with the product owner to ensure that functional requirements are accurately captured and conveyed to the Agile team through well written user stories. The functional lead performs the following activities on an Agile project:</p> <ul style="list-style-type: none"> •Help the team establish guidelines for user story design based on the project needs •Lead affinity estimation sessions •Lead story mapping sessions •Create epics, themes and provide guidance for decomposing them into user stories •Provide guidance and contribute to writing effective and accurate user stories •Provide guidance and contribute to writing acceptance criteria •Facilitate Sprint reviews, as required <p>The functional lead is responsible to work with the product owner and the project team to facilitate acceptance testing. This role is also responsible to assist in performing quality assurance for the project, as required by project.</p>	Development
Integration Consultant	<p>The primary role of an Integration Consultant is to analyze, build, confirm and deploy new or existing integrations by working directly with functional</p>	Development

consultants, client business and IT resources, and representative's external platform to understand the integration requirements. The Integration Consultant will identify and use the most appropriate Workday integration tools to build the integration. During testing, the Integration Consultant is responsible for applying approved changes to components, updating all documentation, developing test scenarios, and executing those test cases. The Integration Consultant also plays a key role in tenant management by migrating integration development objects between different tenants using Workday's best practice methods and tools. During cutover, the Integration Consultant works closely with client counterparts and the integration lead to plan, prepare, and execute cutover tasks to transition the legacy system to Workday with the least amount of disruption to the business. Over the course of an implementation project, the integration consultant triages issues, communicates status, and escalates concerns to project management. In addition, he or she educates clients on developing and operating interfaces to and from the Workday platform and transitions integrations to customer support organizations.

Portal Developer	The portal developer develops web portal front-end applications (supplier portal, customer portal, and so on) based on functional and technical specifications.	Development
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7 Fees and Expenses

7.1 Estimated Fee

Deloitte Consulting will perform the Services on a fixed fee basis. Based on the scope, timing, client responsibilities, and assumptions set forth within this SOW, Deloitte Consulting's fees for the services will be \$790,000 (excluding applicable taxes).

A deliverable invoicing amount and table will be mutually agreed to with the first deliverable, the Detailed Project Plan. The targeted invoice dates are based on an assumed project start date of 9/17/2018.

Accepted Milestone/Deliverable	Target Date	Payment Amount
End of Discovery and Project Plan Completed	9/30/2018	\$ 100,000
Sprint 1 Complete	10/28/2018	\$ 126,500
Sprint 2 Complete	11/25/2018	\$ 126,500
Sprint 3 Complete	12/22/2018	\$ 127,000
SIT Complete	2/15/2018	\$ 80,000
UAT Complete	3/8/2018	\$ 150,000
End of Support (P3 Issues Resolved)	3/24/2019	\$ 80,000

7.2 Long-Term Travel Tax

Temporary living reimbursements to Deloitte Consulting's personnel may be deemed compensatory under federal, state, and local tax laws if such personnel's assignment in a particular location will exceed or has exceeded one year. The Parties shall cooperate in good faith to limit the duration of a person's assignment in a particular location to less than one year. If Client's requirements are such that it becomes necessary for a person's services in a particular location to continue for a year or more and, as a result, such person's living expenses are deemed compensatory for tax purposes, then Client shall pay Deloitte Consulting the amount of additional compensation provided to Deloitte Consulting's personnel to compensate for taxes imposed therefor as reflected on a corresponding invoice.

7.3 Acceptance of Deliverables

All Deliverables subject to Client's approval will be reviewed and approved, except that Client shall provide written notice of approval of a Deliverable, or written notice that a Deliverable does not conform in all material respects to the requirements therefor set forth in this SOW, within 5 working days after delivery.

It is important that all deficiencies (if any) be identified at the time of the initial review in order not to delay the Project and Services, as the project time-plan and the Deloitte Consulting fees do not contemplate multiple review and correction cycles. Deliverables requiring only minor corrections as agreed to by the steering committee, which Deloitte Consulting has agreed to undertake within specified times, will be deemed approved so that the Services may continue as planned.

Deloitte Consulting will complete corrective actions in order for such Deliverable to conform in all material respects to the applicable Specifications. Client will complete its review of the corrected Deliverable and notify Deloitte Consulting in writing of acceptance or rejection in accordance with the foregoing provision.

Notwithstanding the foregoing provisions of this Section, approval of a Deliverable will be deemed given by Client if Client has not delivered to Deloitte Consulting a notice of Deficiencies for such Deliverable prior to the expiration of any period for Client's review thereof as set forth in this Section, or if Client uses the Deliverable in production.

Refer to [Appendix 6](#) for the Deliverable Acceptance Form.

7.4 Change Orders

Either party may request changes to the Services, Deliverables, and/or any other aspect of this SOW through a written change request ("Change Request") set forth in [Appendix 7](#). Promptly thereafter, the Parties will discuss what impact the Change Request will have on the Services and Deliverables and on pricing, timing, and other terms of this SOW. Any changes to this SOW agreed upon by the Parties will be set forth in a change order signed by the Parties ("Change Order"), the form of which is set forth in [Appendix 8](#). Once a Change Order is signed, it will amend, and become part of, this SOW. Neither Party is obligated to change the Services, Deliverables, or any other aspect of a SOW unless a Change Order for such change has been signed by the Parties.

The scope of the Services as documented herein shall remain unchanged, except as otherwise agreed by Deloitte Consulting and Client in writing. If any of the following events occur while Deloitte Consulting is engaged to provide the Services (each a "Change Order Event"), Deloitte Consulting shall be entitled to an agreement between the parties to alter one or more aspects of this SOW (a "Change Order") to compensate it for actual and anticipated additional effort at Deloitte Consulting standard billing rates, plus reasonable incurred expenses:

- The scope, approach or timing of the Project or the Services change,
- Delays are encountered that are beyond the reasonable control of Deloitte Consulting, including delays caused by third party software and hardware vendors or their related products and/or services,
- A project assumption proves to be invalid,
- Client fails to meet its obligations as set forth herein.

Deloitte Consulting will notify Client in a reasonable period of time after becoming aware of a Change Order Event. Notwithstanding anything to the contrary in this SOW, if the parties are unable to reach a complete agreement on a Change Order within 30 days of Client being notified of a Change Order Event, Deloitte Consulting will follow the formal escalation process dictated in the master services agreement. Change Orders to this SOW will only be effective when signed by authorized representatives of each party.

8 Assumptions

The following is a list of some of the assumptions and expectations that, together with the information provided to Deloitte Consulting as of the date of this SOW, the nature and scope of the Services, the expected resource requirements and other commitments from Client, and the anticipated duration of the Services, form the "Assumptions" for this SOW and the basis of Deloitte Consulting's pricing. A deviation from the Assumptions may cause changes to Deloitte Consulting's schedule, fees, expenses, level of effort or otherwise impact Deloitte Consulting's performance of the Services, and the parties will enter into a Change Order to reflect any adjustments to the Services and/or pricing for such services as a result thereof.

8.1 Project Management

- Client Project sponsor will have overall responsibility and authority for driving all Project decisions, reviewing and approving all Deliverables, facilitating discussion and communication among the Parties as needed, and securing any required Client or third-party resources.
- Deloitte Consulting is not responsible for Project delays or additional scope that results from other initiatives Client may have in progress.
- Project management will be a shared responsibility between Client and Deloitte Consulting.
- A standard work week of 45 hours is assumed for all full-time Deloitte Consulting resources.
- A standard 40-hour work week is assumed for all full-time Client resources.
- Client shall obtain all consents necessary from third parties required for Deloitte Consulting to perform its obligations hereunder.
- Deloitte Consulting will have no responsibility for the performance of other contractors or vendors engaged by Client, or delays caused by them, in connection with the Project, even if Deloitte Consulting has been involved in recommending or selecting such contractors or vendors, or in the monitoring of their work.
- Client is responsible for the contractual relationship with third parties and for ensuring that they cooperate with Deloitte Consulting.
- Deloitte Consulting will have no responsibility for the performance of any third-party software or hardware.
- Client will be responsible for scheduling meetings with Client resources, ensuring attendance, and participation.
- If specifications and/or acceptance criteria or procedures have not been agreed to, they will be promptly agreed to prior to Deloitte Consulting's completion of the applicable Deliverable.
- Client will limit sensitive information, such as PII, PHI, trade secrets and other information that it considers sensitive or highly confidential, it provides to Deloitte Consulting (or otherwise makes available to Deloitte Consulting) to only that which is reasonably necessary to allow Deloitte Consulting to provide the Services. Deloitte Consulting will provide Client with a list of Deloitte Consulting personnel who are authorized to receive or have access to Client sensitive information. Such list may be updated as needed. Any disclosure of sensitive information by Client to Deloitte Consulting will utilize levels of information security and data encryption appropriate to maintain security of Client sensitive information being accessed by or transferred to Deloitte Consulting, and as required by applicable information protection laws.
- Deloitte Consulting and Client will finalize the sprint schedule, inclusive of meetings, draft Deliverable target dates, review cycles and sign-off milestones in advance of beginning any sprint. Together, Client and Deloitte Consulting will identify the Client stakeholders for each sprint and define the acceptance criteria and review cycle time in advance of beginning any sprint.

8.2 Client Staff

- Client will provide qualified and knowledgeable members to the Project Team at the staffing levels and according to the timeline, with the business and technical skills required as defined by the Project roles.
- Client will confirm subject matter specialists and super users are available when needed to attend meetings and workshops.
- Deloitte Consulting team members will have appropriate access to Client's corporate executives, Project leadership, managers, and employees.
- Client is responsible for delays or additional costs associated with the unavailability of required Client resources and for ensuring performance of its third parties.
- Client is responsible for providing the Product owner. This person knows the business, can define/change features, negotiates work with the team, has authority to make decisions and is responsible for the overall project success.
- Client is responsible for determining and communicating the business value for the purpose of setting priorities associated with each of the sub processes and/or requirements in the scope of the Project to address the highest valued features earliest in the sprint cycles.

8.3 Timing

- The Steering Committee and the Project Management Office (PMO) will make all decisions in a fashion and manner consistent with Project timelines and Deliverables. The Steering Committee will empower the Client Project Manager and his/her direct reports to make as many Project decisions as possible, reserving only items of a strategic nature for the Steering Committee.

8.4 Deloitte Consulting Personnel

- Deloitte Consulting staff typically perform the Services on-site Monday through Thursday and work remotely on Friday

8.5 Data

- Client will provide accurate data in a predefined format, per the functional conversion specifications, for loading according to the Project timeline.
- Client will be responsible for all impacts of data changes to legacy and boundary systems.
- Client will limit sensitive information, such as PII, PHI, trade secrets and other information that it considers sensitive or highly confidential, it provides to Deloitte Consulting (or otherwise makes available to Deloitte Consulting) to only that which is reasonably necessary to allow Deloitte Consulting to provide the Services. Deloitte Consulting will provide Client with a list of Deloitte Consulting personnel who are authorized to receive or have access to Client sensitive information. Such list may be updated as needed. Any disclosure of sensitive information by Client to Deloitte Consulting will utilize levels of information security and data encryption appropriate to maintain security of Client sensitive information being accessed by or transferred to Deloitte Consulting, and as required by applicable information protection laws.
- Client will establish a contingency plan to address inadvertent disclosure of Client sensitive information to Deloitte Consulting. Client will promptly notify Deloitte Consulting's Lead Engagement Partner in the event it becomes aware that sensitive information has been disclosed to Deloitte Consulting inadvertently or otherwise.
- Client will develop a mutually agreeable set of data management controls specifying the processes, procedures and methods that will be used by the parties for the secure transfer, access, and exchange management of Client sensitive information pertinent to the Services, intended to safeguard the confidentiality and security of the sensitive information. Client will train its relevant personnel on any such data management approach.

8.6 Licensing

- Client will be responsible for the procurement of relevant licenses for all users and developers as well as the infrastructure components required for the execution of the interfaces if needed.
- Salesforce and BasicGov licenses are full responsibility of Client

8.7 Solution

- Client is responsible to provide the development environment at project start date; if there are delays in getting access to the development environment from Salesforce, the start date will be adjusted accordingly.
- If the Client desires a Salesforce expert services review, Client will contract separately with Salesforce for the expert services review. Deloitte Consulting will support the expert services review by working with Salesforce.
- Three weeks before system testing, Client will provide Deloitte Consulting a list of IP Ranges that should be allowed to access the platform.
- Only Standard reporting (operational, simple formulas and aggregations) will be done within Salesforce. Development of complex analytics is above and beyond the scope of this statement of work and will need to be evaluated separately.

8.8 User Experience Design

- Deloitte Consulting's process for review and acceptance of User Experience Design Deliverables assumes a maximum of two rounds of reviews.
- In advance of providing Deloitte Consulting written notice, Client is responsible for consolidating Deliverable Deficiencies from relevant Client stakeholders.
- The Client's review and approval of the corrected Deliverable shall be solely for the purpose of determining correction of the Deficiencies and not for any other purpose including the incorporation of changes or additional features not associated with the originally documented Deficiencies.

8.9 Change Management and Training

- Client will deliver the end user training and will provide timely identification and onboarding of resources who will serve as trainers.
- All end user training sessions will be conducted using a "train the trainer" approach.
- Client will administer all training logistics and related compliance activities, inclusive of enrollment/registration, attendance tracking, and reporting.
- Client will reproduce and distribute communication materials and courseware components.
- Client will provide all necessary training facilities and equipment, including training rooms, hardware, network access, audio-visual equipment, and classroom supplies in accordance with the Project timeline and milestones.
- Client will be responsible for the translation of any training material if needed.

8.10 Technology/Infrastructure

- Client is responsible for providing facilities for the Project Team, including sufficient work space, system and network access, and phone access.
- Client will provide the system infrastructure (i.e., software, hardware, licenses and network) at an appropriate capacity level to support the contemplated nonproduction and production environments as appropriately configured and implemented hereunder. This includes CPU, disk, memory, backup and disaster recovery. System infrastructure will be sized to support the Project Team and business operations to minimize any downtime and performance issues, according to applicable timelines and milestones.
- Client will lead and manage resources associated with legacy system design and development. This includes resources involved in legacy system modifications, mapping to legacy data sources, extraction of legacy data and creation of the data cleansing layer.
- Client will allow remote connections into the Systems for Deloitte Consulting personnel, including those working off site, as required to meet Project requirements.
- Client will manage the contracts with 3rd parties to support any integration or mash ups with external sites or vendor systems.
- Client will provide SMEs for the legacy systems that Salesforce needs to integrate with.
- Integration with external systems will be dependent on the capability of external systems. External systems should allow Application Programming Interface (API) access or have a structured manner to call the external Web sites.

- Client and Deloitte Consulting will jointly define the interface specs for Salesforce integration and other legacy systems.
- Client will manage the exception conditions for the integrations (e.g., when Salesforce servers are not available).
- Client shall have and maintain in effect at all times, during the performance of Services by Deloitte Consulting, all license and rights required for Deloitte Consulting to access and use any software, documentation, technology, or data in connection with Deloitte Consulting's performance of the Services.

8.11 Testing

- Deloitte Consulting will prepare the test environments by loading the cleansed data identified by Client suitable for system testing and UAT.
- Deloitte Consulting will conduct code promotion from development sandboxes to Production environment during final cut-over for configuration related items. Client will be responsible for either coordinating with external partners or for code migration for integration and data-conversion related changes in the source systems.

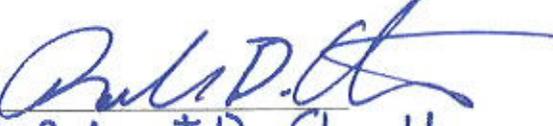
9 Signatures

IN WITNESS WHEREOF, intending to be legally bound hereby, the Parties have caused this SOW to be executed by their duly authorized representatives as of the SOW Effective Date.

Accepted and agreed to by:

Deloitte Consulting LLP

By: 
Print: Adam Spair
Title: Principal
Date: 9/17/2018

By: 
Print: Robert D. Charlton
Title: Superintendent
Date: 9/14/2018

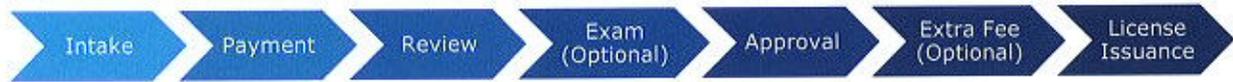
Appendices

The following appendices are attached hereto and incorporated by reference:

- Appendix 1 – Processes Flow
- Appendix 2 – Detailed Scope
- Appendix 3 – Development Complexity Definitions
- Appendix 4 – Testing Types Definitions
- Appendix 5 – End-User Training
- Appendix 6 – Deliverable Acceptance Form
- Appendix 7 – Change Request Process
- Appendix 8 – Change Order Form

Appendix 1 – Core Processes Flow

New Individual or Business License Application



Renewal Individual or Business License Application



Service Request



Complaints



Appendix 2 – Detailed Configuration Scope

Detailed Business Process Scope

The scope of the Services is limited to the following business processes. The configuration these items will balance the need to meet board requirements while ensuring that the system is maintainable, scalable and can be built within the defined timeframes. Any potential degradation to performance and impact to existing functionality will also be considered.

2.1 – Dynamic Rules Engine

- Configuration of DRE – Dynamic Rules Engine to support user stories related to items below.

2.2 – Payment Gateway Integration

- Configuration of Product Codes for SCS/JBilling integration

2.3 – License Types

Category	Code	License Type	Division
License	ALB	Advance Fee Loan Brokers	Financial Enterprises (FE)
Course Approval	ACP	Appraisal Courses	Financial Enterprises (FE) - Appraisers
License	AMC	Appraisal Management	Financial Enterprises (FE) - Appraisers
License	CGA	Certified Residential	Financial Enterprises (FE) - Appraisers
License	CGA	Certified General	Financial Enterprises (FE) - Appraisers
License	DS	Designated Supervisor	Financial Enterprises (FE) - Appraisers
License	LR	Licensed Residential	Financial Enterprises (FE) - Appraisers
License	TCG	Temporary Certified General	Financial Enterprises (FE) - Appraisers
License	TCR	Temporary Certified Residential	Financial Enterprises (FE) - Appraisers
License	TLR	Temporary Licensed Residential	Financial Enterprises (FE) - Appraisers
License	TA	Trainee Appraiser	Financial Enterprises (FE) - Appraisers
License	BA	Banks (State Chartered)	Financial Institutions (FI)
License	BK	Mortgage Bankers	Financial Enterprises (FE)
License	CA	Collection Agencies	Financial Enterprises (FE)
License	CBK	Commercial Mortgage Bankers	Financial Enterprises (FE)
License	CL	Consumer Lenders	Financial Enterprises (FE)
License	CMB	Commercial Mortgage Broker	Financial Enterprises (FE)

License	CU	Credit Unions (State Chartered)	Financial Institutions (FI)
License	DM	Debt Management Companies	Financial Enterprises (FE)
License	EA	Escrow Agents	Financial Enterprises (FE)
License	FIH	Financial Institution Holding Company	Financial Institutions (FI)
License	LO	Loan Originator	Financial Enterprises (FE)
License	MB	Mortgage Brokers	Financial Enterprises (FE)
License	MT	Money Transmitters	Financial Enterprises (FE)
License	PF	Premium Finance Companies	Financial Enterprises (FE)
License	PTA	Property Tax Agent	Financial Enterprises (FE) - Appraisers
License	REP	Registered Exempt Person	Financial Enterprises (FE)
License	SF	Sales Finance Companies	Financial Enterprises (FE)
License	TC	Trust Companies	Financial Institutions (FI)

2.4 – Application Types

- Configuration of Application Types: New Application / Renewal Application

2.5 – Fees

- Configuration of fees for license applications, renewals, reinstatements etc.

2.6 – Application Checklists or Questions

- Configuration of different checklist for application intake. The checklist setup must be done in a manner to make system maintenance simple moving forward.

2.7 – Application Review Items

- Configuration different checklist for application intake. The review setup must be done in a manner to make system maintenance simple moving forward.

2.8 – Submissions or Attachments

- Configuration different types of documents submissions or attachments for application intake.

2.9 – Service Request

- Configuration of different types of service requests as listed below:
 - Address Change
 - Name Change
 - Officer Change
 - Responsible Individual Change
 - Conversion
 - Change of Sponsorship
 - Status change – reactivate an inactive license other than a renewal time

- License Surrender

3.0 – Eligibility Questions for Portal

- Configuration of eligibility questions for application intake in eLicense portal.

3.1 – Portal Setup

- Configuration of portal application intake, portal payment, portal dashboard, portal service request intake, portal license lookup, portal complaints intake.

3.3 – Certificate Templates

- Configuration of wall certificates or wallet certificates per license type / application type. Ideally, these certificates should be combined when possible.

3.4 – Email Templates

- Configuration of maximum email templates including License Expiration Reminder for 30, 60, 90 days / License Issuance Notice / License Expiration Notice.

3.5 – Deficiency Letter Templates

- Configuration of deficiency letters. Ideally, these letters should be combined in the configuration when possible.

3.6 – Interface Configuration (4)

- Configuration / Development of the interfaces below:

Sprint Test Type	In Scope?	Description
SCS / Jbilling	Yes	Arizona State Payment Portal. Online integration.
OnBase Document Management	Yes	Back office document management system.
NMLS	Yes	National Mortgage Licensing System. Daily flat file download.
AFIS	Yes	Arizona State Accounting System. On-line transaction integration.

The current Arizona eLicense system uses the Melissa Address validation which will be available to the DFI board. Since this is an existing integration, no further development is required for the DFI board as long as the validation is used in its existing setup.

Appendix 3 – Development Complexity Definitions

Customization

Simple	Medium	Complex	Very complex
<ul style="list-style-type: none"> • Simple VisualForce Pages and Components using standard controllers • JavaScript 	<ul style="list-style-type: none"> • VisualForce Pages with standard and custom controllers • Apex Custom Controllers • Apex Triggers 	<ul style="list-style-type: none"> • Batch Jobs and Web Services • Bulkified Triggers • Complex VF Pages with nested table structures, images, charts, maintaining view states etc. 	<ul style="list-style-type: none"> • Complex business logic and processing • Very large data volumes • Multiple integration points

Integrations

	Simple	Medium	Complex	Very complex
Plug and Play	<ul style="list-style-type: none"> Configuring in built integrations e.g., Outlook Simple URL integrations with redirection to external systems 	<ul style="list-style-type: none"> Configuring AppExchange Interfaces which require installation and configuration but no coding e.g., DupeBlocker 	<ul style="list-style-type: none"> Many transactions involved and/or data conditions Complex Error, control and audit reports required 	<ul style="list-style-type: none"> Heavy business logic and decision points Comprised of multiple objects
Batch	<ul style="list-style-type: none"> Little or no translations Data read from a few tables Simple batch processing 	<ul style="list-style-type: none"> Moderate number of tables accessed Multiple field/table translations Simple processing 	<ul style="list-style-type: none"> Complex processing Data read from large number of tables Heavy Data translation required Data Dependencies Audit Reports for errors 	<ul style="list-style-type: none"> Complex Data translation required Interface will include updates in multiple systems Interface does not fit enterprise architecture Cross-transaction data dependencies Large volumes of data and multiple batch jobs on the same environment.
Real Time	<ul style="list-style-type: none"> Simple read, create, edit or delete on one object Little or no translations Basic security restrictions around session Id and user credentials 	<ul style="list-style-type: none"> Moderate number of objects accessed/updated Simple processing of data received or sent 	<ul style="list-style-type: none"> Accessing or updating data into multiple source or target systems Data Dependencies Complex security requirements for accessing external systems 	<ul style="list-style-type: none"> Complex business logic and processing Cross-transaction data dependencies Interface does not fit the enterprise architecture.

Data Migration

Simple	Medium	Complex	Very complex
<ul style="list-style-type: none">• Little or no translations• Data read from a few tables	<ul style="list-style-type: none">• Moderate number of tables accessed• Multiple field/table translations• Simple processing	<ul style="list-style-type: none">• Complex processing• Complex business rules around audit and historical records• Data read from large number of tables• Heavy Data translation required• Data Dependencies	<ul style="list-style-type: none">• Complex Data translation required• Cross-transaction data dependencies• Large volumes of data

Appendix 4 – Testing Type Definitions

Test Type	Definition
Unit	Unit testing seeks to validate that individual functions are configured and/or developed to appropriately translate technical and functional requirements. Unit testing consists of: Configuration Unit Testing, Software Development Technical Unit Testing, Software Development Functional Unit Testing, Security Unit Testing, and Process Controls Unit Testing.
Role-Based Security	Role-based Security testing assists the security and controls team in establishing that the authorization settings are configured according to business requirements.
Integration	Integration Testing seeks to test end-to-end business processes and attempts to simulate 'real-life' business events.
User Acceptance Testing	A small group of end users conduct a subset of the integration test scenarios to confirm the implemented solution performs the intended functions and satisfies the business requirements. User Acceptance Testing is often included in the last round of Integration testing.
Batch schedule	Execution of the batch schedule to test order, run times and dependencies.

Appendix 5 – End User Training

Recommended Pre Training

Name	Description
Salesforce Trailhead	<p>Trailhead is a series of online tutorials that coach beginner and intermediate developers who need to learn how to code for the Salesforce platform. Lessons are presented in a specific sequence, so customers have a predefined path to follow and a "guided" experience.</p> <p>https://trailhead.salesforce.com</p> <p>The list of trails is recommended:</p> <ul style="list-style-type: none">• Learn CRM Essentials for Salesforce Classic• Reports & Dashboards for Salesforce Classic

Topics Covered

Topic	Method of Training
Account / Contacts	Outlines the step-by-step instructions for performing tasks within the system, including the navigation path, key fields, and data entries.
New Applications	
Renewal Applications	
Licenses	
Services Requests	
Complaints	
Inspections	
Enforcement	
Email Reminders	
Letters	

Appendix 6 – Deliverable Acceptance Form



Tem-WP1371-DeliverableAcceptanceForm

Appendix 7 – Change Request Process

The detailed change request process will be defined by the Parties. The following client project role is responsible for review and approval of change requests on behalf of Client:

Project Manager (DFI / MSS)

Appendix 8 – Change Order Form



AZ-ChangeRequestFo
rm_Template.docx



Arizona Department of Financial Institutions

Statement of Work: RIMS Phase II Project Assessment

September 29, 2017

MSS
7250 N. 16th Street, Suite 300
Phoenix, AZ 85020

602-387-211
www.mssbta.com

September 29, 2017

Robert Charlton - Superintendent
Arizona Department of Financial Institutions
2910 N. 44th Street Suite 310
Phoenix, AZ 85018

CC: Mike Fowler – Assistant Superintendent

Dear Bob:

Thank you for providing MSS with the opportunity to submit a SOW for the AZ State Financial Institutions (DFI) RIMS project Assessment. Based on our discussion, we are delighted to provide a Statement of Work (SOW) based on a 2-week project duration with the following work streams:

1. **IT Solution architect**
Assess IT infrastructure and data migration strategy, identify interface issues and overall IT risks
2. **Adoption and Deployment specialist**
Assess overall program structure, governance, DFI adoption and deployment strategy, communications and training plans, and assess DFI readiness risks
3. **Vendor capability and assessment specialist**
Assess if business requirements meet DFI needs, vendor capability to support implementation, capability risk assessment
4. **Strategy and oversight**
Develop corrective action plans, recommendations and path forward

We are ready to start the project on Tuesday October 16, 2017, pending DFI approval. I have attached the project details including key deliverables in the following pages.

If you have questions regarding this proposal, please contact me at switharana@mssbta.com or at 480-381-5292.

Thank you again for your time and consideration.

Sincerely,

Saliya Witharana

Saliya Witharana | Transformation Advisory

MSS

Business Transformation Advisory

Ignite Change from Strategy to Action

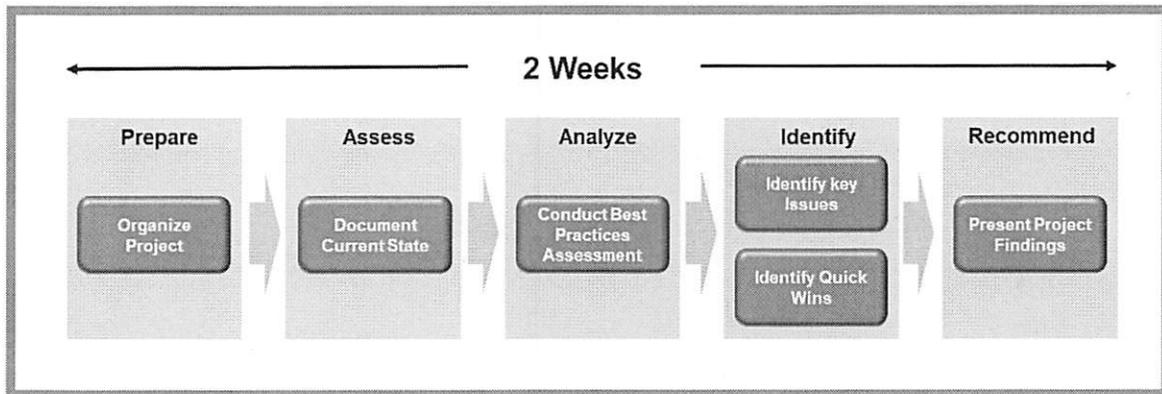
P: 602-387-2125
C: 480-381-5292

Our understanding of DFI request:

Phase II of the RIMS project is 2 years behind schedule. The Project has missed several key milestones and deadlines have been extended multiple times. The executive team has limited confidence with the new Go-Live date due to lack of comprehensive corrective action plans.

Request from DFI: Conduct a quick assessment and provide a detailed Corrective Action Plan to complete RIMS Phase II.

MSS will deploy our proven methodology to conduct a strategic deep dive assessment to uncover key issues across People, Process, and Technology

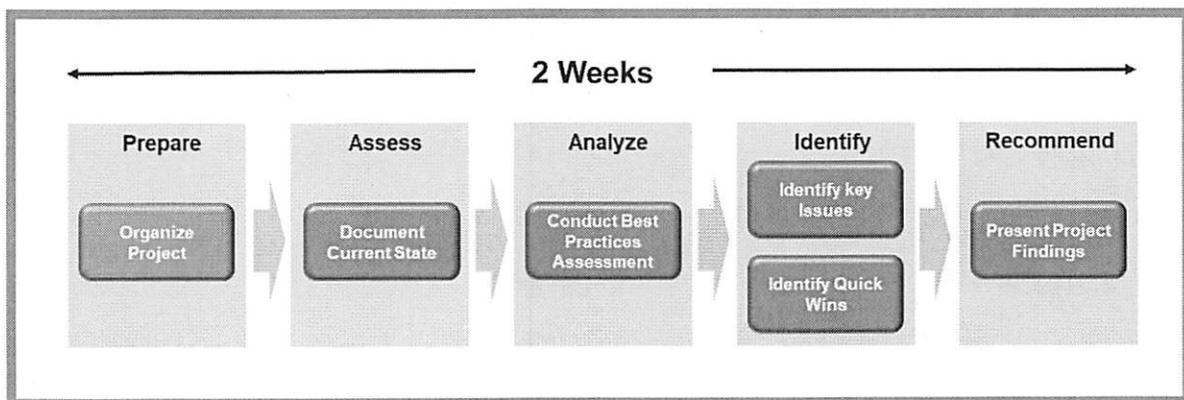


Scope: MSS will focus on the following areas:

- ▼ Requirements – Do they meet business needs?
- ▼ PM Structure, Governance, Reporting
- ▼ Issues and Risk Management
- ▼ Deliverables – QA current deliverables
- ▼ Data Migration and IT Infrastructure issues
- ▼ Staffing – Internal and External

Methodology: Key Activities and Deliverables

Prepare: Organize Project



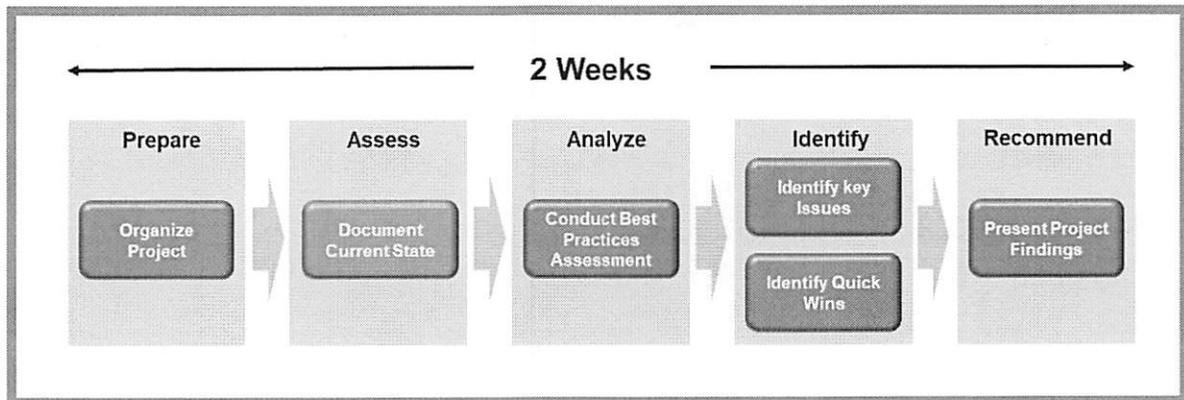
Activities:

- ▼ Identify all tasks and Key Stakeholders – DFI and DataBank
- ▼ Conduct formal project kickoff meeting with stakeholders
- ▼ Communicate project objectives
- ▼ Jointly assign project responsibilities.
- ▼ Develop 1:1 meeting schedule with stakeholders

Deliverables:

- ▼ Project Status Reporting Structure
- ▼ Verified Project Goals/Objectives
- ▼ Finalized Project Work Plan
- ▼ DFI Project Kickoff Presentation
- ▼ Finalized Work Session Meeting Schedule

Assess: Document Current State



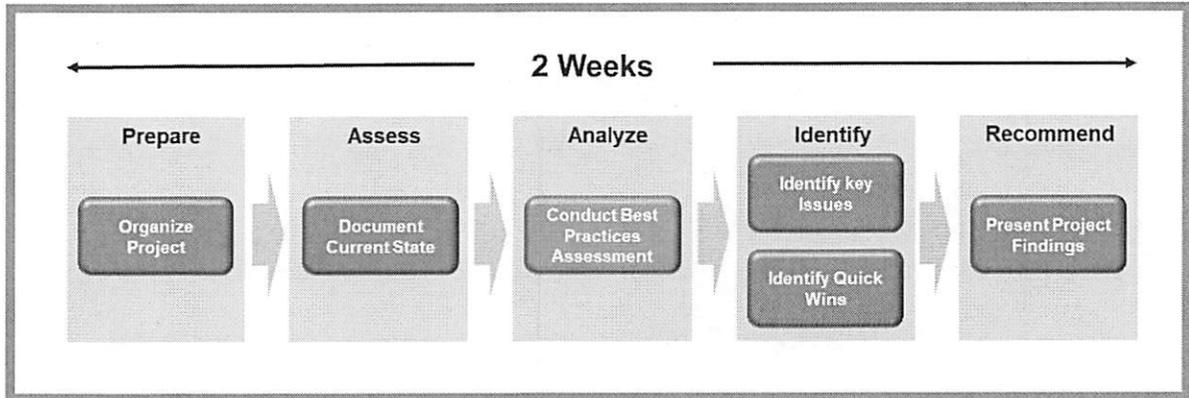
Activities:

- ▼ Review and collect information on project deliverables from project start
- ▼ Validate information with stakeholders
- ▼ Perform 1:1 meetings with key stakeholders
- ▼ Consolidate information on MSS templates

Deliverables:

- ▼ Current state Project Performance
 - Requirements
 - PM Structure, Governance, Reporting
 - Issues and Risk Management
 - Deliverables
 - Data Migration and IT Infrastructure issues
 - Staffing – Internal and External

Analyze: Conduct Best Practices Assessment



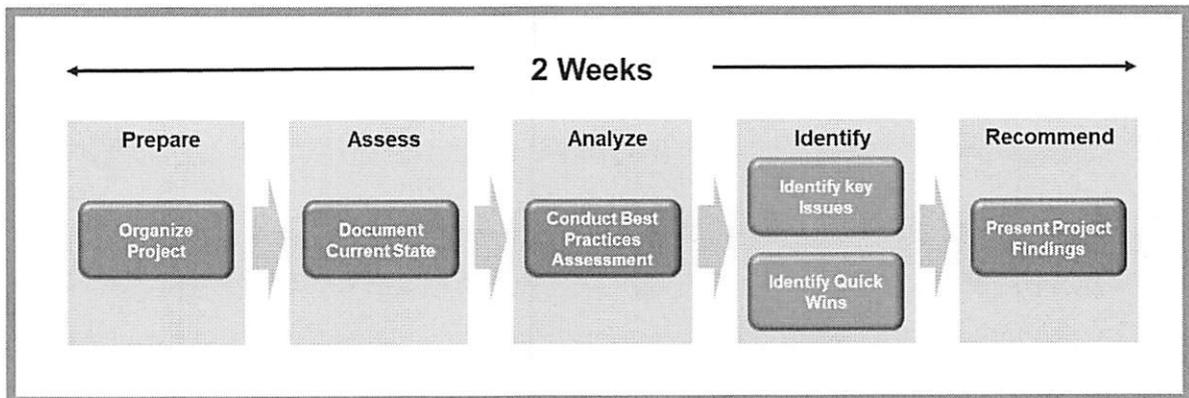
Activities:

- ▼ Compare project performance information against MSS best practices
 - Requirements
 - PM Structure, Governance, Reporting
 - Issues and Risk management
 - Deliverables
 - Data Migration and IT Infrastructure issues
 - Staffing – Internal and External

Deliverables:

- ▼ Documented analysis of Issues impacting DFI project, focusing on People, Process, and Technology

Identify: Identify Key Issues and Quick Wins



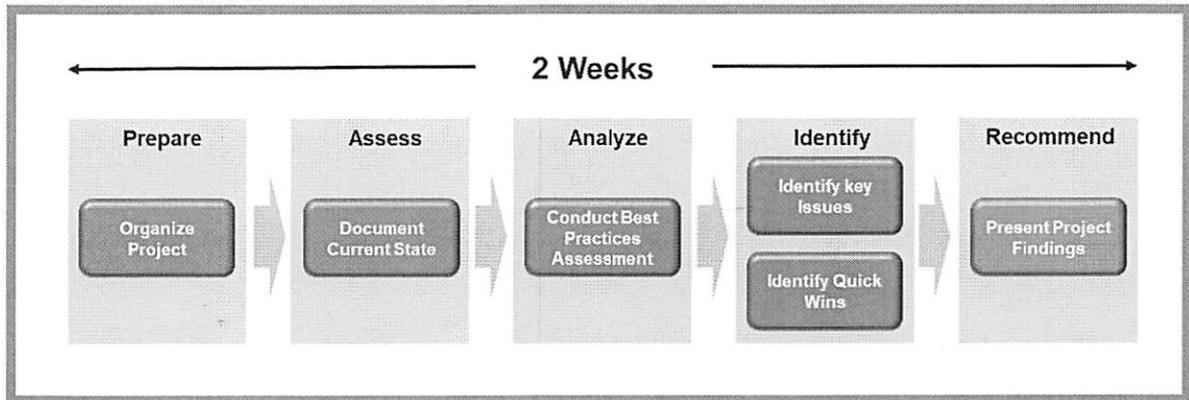
Activities:

- ▼ Identify corrective actions for each area
- ▼ Develop corrective action plans focusing on People, Process, and Technology
- ▼ Develop project recovery plans
- ▼ Develop new timelines – if needed
- ▼ Identify quick wins
- ▼ Identify adoption and deployment risks to DFI

Deliverables:

- ▼ Documented corrective action plans – People, Process, and Technology
- ▼ Documented Project Recovery Plan
- ▼ Document Adoption and Deployment Risks
- ▼ Documented new timeline – if needed

Recommend: Present Project Findings



Activities:

- ▼ Present project recommendations to DFI Leadership
- ▼ Provide DFI adoption and deployment risk mitigation recommendations

Deliverables:

- ▼ Final Project Recommendations

PROJECT TIME AND COST ESTIMATES

The following table details the support that will be provided by MSS along with key deliverables as discussed in our meeting on 9/28/2017. The project duration is estimated at 2-weeks starting on Oct. 16th, 2017 and ending Oct. 27th, 2017. We are estimating a total of 200 hours for project completion. Total cost not to exceed \$39,100.

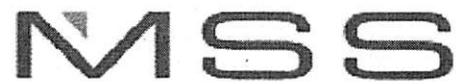
Work stream and Deliverables	Estimated hours
IT Solution architect Assess IT infrastructure and data migration strategy, identify interface issues and overall IT risks	40
Adoption and Deployment specialist Assess overall program structure, governance, DFI adoption and deployment strategy, communications and training plans, and assess DFI readiness risks	70
Vendor capability and assessment specialist Assess if business requirements meet DFI needs, vendor capability to support implementation, capability risk assessment	70
Strategy and oversight Develop corrective action plans, recommendations and path forward	20
Total Hours	200
Total Cost range – Depending on Staffing needs	\$39,100

MSS is proposing to invoice the AFI based on the actual number of hours incurred on the Project according to fees schedule listed above. MSS will invoice semi-monthly for work performed at the fees defined in this proposal.

ASSUMPTIONS

The following assumptions are being made as it relates to the estimates that are being proposed for the Project:

- ▼ DFI and DataBank will provide key subject matter experts for ongoing participation in the project team activities at the agreed upon allocations of times (at varying levels throughout the project).
- ▼ DFI will provide resources where needed to support project coordination activities.
- ▼ The Agency will provide the entire technical infrastructure required for this project.
- ▼ Any time spent resolving data, third party applications, or hardware issues have not been included.
- ▼ DFI and MSS will work together to assess changes in the project scope, approach or resources.



Arizona Department of Financial Institutions

Statement of Work: Pre-Project Preparation

May 31, 2018

MSS
7250 N. 16th Street, Suite 300
Phoenix, AZ 85020

602-387-211

Arizona Department of Financial Institutions

May 31, 2018
Robert Charlton - Superintendent
Arizona Department of Financial Institutions
2910 N. 44th Street Suite 310
Phoenix, AZ 85018

CC: Lola Duncan

Dear Bob:

Thank you for providing MSS with the opportunity to submit a SOW to the AZ Department of Financial Institutions (DFI) for aiding in preparation for launching the future state licensing project. Based on our discussion, we are delighted to provide a Statement of Work (SOW) based on a 6-week project duration with the following work streams:

1. Advisory services consulting support

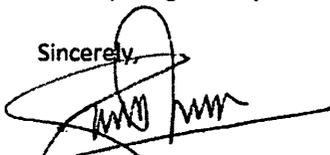
Assist in preparation activities as outlined in the table listed on page 3 of this SOW

We plan to start project work on Monday May 21st, pending DFI approval. I have attached the project details including key deliverables in the following page.

If you have questions regarding this proposal, please contact me at switharana@mssbta.com or at 480-381-5292.

Thank you again for your time and consideration.

Sincerely,



Saliya Witharana

Saliya Witharana | Managing Director

MSS

Business Transformation Advisory

Ignite Change from Strategy to Action

P: 602-387-2125

C: 480-381-5292

PROJECT TIME AND COST ESTIMATES

The following table details the support that will be provided by MSS along with key deliverables as discussed in our meeting on 5/21/2018. We are estimating a total of 240 hours for project completion. Total cost not to exceed \$46,800.

Work stream and Deliverables	Estimated hours
Prep and deliver ITAC and JLBC presentations	240
Validate project deliverables, Timeline, Scope, Roles & Responsibilities with Deloitte	
Conduct multiple meetings and follow-up with Deloitte and DFI stakeholders	
Final SOW with Deloitte – details on deliverables and what is expected from DFI ▼ Work with ADOA-ASET to confirm MSS and Deloitte deliverables and Roles and Responsibilities	
Phase 1 - Data Research and Documentation	
▼ Identify applications/databases with data to be migrated (Included in Pre-Project SOW) <ul style="list-style-type: none"> • Describe general purpose of each application and associated database. 	
▼ Detailed inventory of Tables within each database <ul style="list-style-type: none"> • Describe purpose of each table. 	
▼ Detailed inventory of key data columns within each Table <ul style="list-style-type: none"> • Document description and attributes for each 	
Total	\$46,800

MSS is proposing to invoice the DFI based on the actual number of hours incurred on the Project according to fees schedule listed above. MSS will invoice semi-monthly for work performed at the fees defined in this proposal.

ASSUMPTIONS

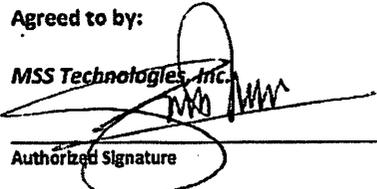
The following assumptions are being made as it relates to the estimates that are being proposed for the Project:

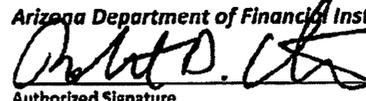
- ▼ DFI and Deloitte will provide key subject matter experts for ongoing participation in the project team activities at the agreed upon allocations of times (at varying levels throughout the project).
- ▼ DFI will provide resources where needed to support project coordination activities.

AGREEMENT GOVERNS

Arizona Department of Financial Institutions acknowledges and agrees that the obligations of Arizona Department of Financial Institutions under this Statement of Work are subject to the terms agreed upon between MSS and Arizona Department of Financial Institutions.

Agreed to by:

MSS Technologies, Inc.

Authorized Signature
SALIYA WITTHARANA
Saliya Witharana
MANAGING DIRECTOR
Managing Director
5/31/18
Date

Arizona Department of Financial Institutions

Authorized Signature
Robert D. Charlton
Name - type or print
Superintendent
Title
5/31/2018
Date

Billing Address:
100 N. 15 Ave.
Suite 261
Phoenix, AZ 85007

Purchase Order Number: _____

Arizona Medical Board
FY 2021 Budget Justification

PROGRAM/SUBPROGRAM: Arizona Medical Board

ISSUE TITLE: Decision Package 2- Procurement of Salesforce Licenses

DESCRIPTION OF PROBLEM OR ISSUE:

This submission is Decision Package 2 by the Arizona Medical Board (“Agency”). It is a request by the Agency to increase the general appropriation by \$150,000 per annum for adequate funding necessary to purchase licenses from Salesforce in order to employ new technology.

The Agency would like to modernize its current IT platform and move to the Salesforce platform. Currently, the Agency is utilizing an on-premises hardware system to support its GL Solutions database that is now hosted by the Agency. In the next few months, the Agency will migrate to a cloud based GL Solutions product for which no additional funds were sought for development.

In order to accomplish the desired modernization project and procure the necessary Salesforce licenses, the Agency seeks an increase to the general appropriation of \$150,000 per annum to fund any disparity in cost between the \$230,000 currently paid to GL Solutions and the estimated cost for Salesforce licenses at \$360,000. In addition, the requested increase will be needed should both GL Solutions and Salesforce need to be operated simultaneously.

PROPOSED SOLUTION TO THE PROBLEM OR ISSUE:

The Agency does not currently have the ability to fully access appropriate cloud platform technology to assist it in its daily functions related to licensing and regulation for the purpose of public safety.

The solution recommended by the State is to streamline onto the Salesforce platform. This requires a period of transition and new acquisition of software as a service (SaaS) from Salesforce.

ALTERNATIVES CONSIDERED AND REASONS FOR REJECTION:

In March, 2018, the Agency contracted with CGI to assess the current state of its IT system. The CGI recommendation was to move to the GL Solutions Version 6, particularly since the cost was minimal and the Agency did not have a budget in place for the development of another system. However, the CGI recommendation was to ultimately move to a more modern platform such as Salesforce.

The Agency rejects the alternative to remain with GL Solutions for the long term as any changes within the system require a high level of developer input which impedes the Agency's ability to quickly and easily make changes.

Remaining with GL Solutions is contrary to the Executive's strategy to move towards a universal platform for State agencies to obtain the full benefit of the State's enterprise purchasing power.

Salesforce is easily customizable because it requires no coding or minimal coding.

Staying with GL Solutions will make it more difficult to adapt newer technology as it becomes available.

IMPACT OF NOT FUNDING:

Not funding the requested \$150,000 for the required licenses during the transition period forces the Agency to lower its expectations of the system's usefulness and limits the Agency from fully availing itself to the needed benefits offered by Salesforce. The higher priced estimate for \$362,357.69 for example, includes the cost of Salesforce Shield which is Salesforce's enhanced security product and costs \$71,549.34 per annum. If the full \$300,000.00 is not appropriated, the Agency will have to make decisions about what products it can integrate while leaving behind others it needs.

Estimates from Salesforce are attached for your review and consideration.

AGENCY MISSION OR GOALS:

The mission of the Agency is to protect public safety through the judicious licensing, regulation, and education of physicians and physician assistants.

Goal 1:

Improve efficiency of licensing, regulatory, and information dissemination processes through the use of modern technology.

Goal 2:

To position the Agency so it is able to employ the most modern technologies akin to those used by business and expected by the Agency's customers when applying for application for licensure and in all

APPROPRIATION REQUESTED:

The request based on need is \$ 150,000.00

QUOTE CONFIRMATION



DEAR JOE BRINDLEY,

Thank you for considering CDWoG for your computing needs. The details of your quote are below. [Click here](#) to convert your quote to an order.

ACCOUNT MANAGER NOTES: This is being quoted/sold under the CDW-G Software VAR Master Agreement - Arizona NVP Software (ADSP017 - 14977 4)

QUOTE #	QUOTE DATE	QUOTE REFERENCE	CUSTOMER#	GRAND TOTAL
KQCZ071	5/14/2019	SALESFORCE 2	6481772	\$275,672.23

ITEM	QTY	CDW#	UNIT PRICE	EXT. PRICE
<p>NEW-ITEM 70 NOT PILL K_TIH UN</p> <p>Mfg. Part #: NEW-ITEM MFG # 205-0004 Lightning Service Cloud Enterprise Edition Salesforce.com, Inc. - 205-0004 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET</p>	70	NEW-ITEM	\$1,030.94	\$72,165.80
<p>NEW-ITEM 30 NEW-ITEM</p> <p>Mfg. Part#: NEW-ITEM MFG# 205-0143 Employee Apps Plus Lightning Platform Plus Salesforce.com, Inc. - 205-0143 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET</p>	30	NEW-ITEM	\$687.29	\$20,618.70
<p>NEW-ITEM 3501 NEW-ITEM</p> <p>Mfg. Part#: NEW-ITEM MFG # 205-0026 Customer Community Plus Logins Salesforce.com, Inc. - 205-0026 Start Date: 06/01/2019 End Date: 05/31/2020 Contract : MARKET</p>	3501	NEW-ITEM	\$27.24	\$95,367.24
<p>NEW-ITEM 1 NEW-ITEM</p> <p>Mfg. Part # : NEW-ITEM MFG # 205-0124 Enterprise Edition Government Cloud 30% List Price / \$100 Salesforce.com, Inc. - 205-0124 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET</p>	1	NEW-ITEM	\$65,843.52	\$65,843.52

PURCHASER BILLING INFO

SUBTOTAL

\$253,995.26

Billing Address: ARIZONA MEDICALBOARD ACCOUNTS PAYABLE 1740 W ADAMS ST STE 4000 PHOENIX, AZ 85007-2607 Phone: (480) 551-2700 Payment Terms: Net 30 Days-Govt State/ Local	SHIPPING	\$0.00
	SALES TAX	\$21,676.97
	GRAND TOTAL	\$ 275,672.23
DEU VER TO	Please remit payments to:	
Shipping Address: ARIZONA MEDICAL BOARD JOE BRINDLEY 1740 W ADAMS ST STE 4000 PHOENIX, AZ 85007-2607 Phone: (480) 551-2700 Shipping Method: DROP SHIP-GROUND	CDW Government 75 Remittance Drive Suite 1515 Chicago, IL 60675-1515	

	Michelle Rzep ecki	(877) 402-4306	michrze@cdwg.com
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This quote is subject to CDW's Terms and Conditions of Sales and Service Projects at

For more information, contact a CDW account manager

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• PEOPLE WHO GET IT

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7 ACCOUNT MANAGER NOTES: This is being quoted/sold under the CDW-G Software VAR Master Agreement - Arizona NVP Software (ADSP017-149774)

QUOTE#	QUOTE DATE	QUOTE REFERENCE	CUSTOMER#	GRAND TOTAL
KQCX876	5/14/2019	SALESFORCE 1	6481772	\$362,357.69

ITEM	QTY	CDW#	UNIT PRICE	EXT. PRICE
NEW ITEMS 00 N Or P Itt 1111 1_1N Mfg. Part#: NEW-ITEM Mfg: 205-0005 lightning Service Cloud Unlimited Edition Salesforce.com, Inc. - 205-0005 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET	70	NEW-ITEM	\$2,061.86	\$144,330.20
Mfg. Part#: NEW-ITEM Mfg: 205-0143 Employee Apps Plus Lightning Platform Plus Salesforce.com, Inc. - 205-0143 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET	30	NEW-ITEM	\$687.30	\$20,619.00
New Items Q NQI el Itt IS LN Mfg. Part#: NEW-ITEM Mfg: 205-0125 Unlimited Edition on Government Cloud 5% List Price / \$100 Salesforce.com, Inc. - 205-0125 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET	1	NEW-ITEM	\$23,849.77	\$23,849.77
NEW ITEMS 00 NOT P TCK Itt UN Mfg. Part#: NEW-ITEM Mfg # 205-0026 Customer Community Plus Logins Salesforce.com, Inc. - 205-0026 Start Date: 06/01/2019 End Date: 05/31/2020 Contract: MARKET	3501	NEW-ITEM	\$21.00	\$73,521.00
New Items HJ Itt DQ NQT eg nns UN Mfg. Part#: NEW-ITEM Mfg#: 205-0116 Salesforce Shield 30% Net Price / \$100 Salesforce.com Inc. -205-0116	1	NEW-ITEM	\$71,549.34	\$71,549.34

QUOTE DETAILS (CONT.)

Start Date: 06/01/2019
End Date: 05/31/2020
Contract: MARKET

PURCHASER BILLING INFO	SUBTOTAL	\$333,869.31
Billing Address : ARIZONA MEDICAL BOARD ACCOUNTS PAYABLE 1740 W ADAMS ST STE 4000 PHOENIX, AZ 85007-2607 Phone: (480) 551-2700 Payment Terms: Net 30 Days-Govt State/Local	SHIPPING	\$0.00
DEU VER TO	SALES TAX	\$28,488.38
Shipping Address: ARIZONA MEDICAL BOARD JOE BRINDLEY 1740 W ADAMS ST STE 4000 PHOENIX, AZ 85007-2607 Phone : (480) 551-2700 Shipping Method: DROP SHIP-GROUND	GRAND TOTAL	\$ 362,357.69
	Please remit payments to: CDW Government 75 Remittance Drive Suite 1515 Chicago, IL 60675-1515	

CONTACT INFORMATION



Michelle Rzepcki

(877) 402-4306

michrze@cdwg.com

This quote is subject to CDW's Terms and Conditions of Sales and Service Projects at <http://www.cdw.com/online/portal/11d11011s/product-sales.asp>
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Summary of Expenditure and Budget Request for All Funds

Agency: Arizona Medical Board

Appropriated	FY 2019 Actual	FY 2020 Expd. Plan	FY 2021 Fund. Issue	FY 2021 Total Request
Cost Center/Program:				
1 Licensing, Regulation, & Rehabilitation	6,325.9	7,036.9	2,275.0	9,311.9
	6,325.9	7,036.9	2,275.0	9,311.9
Expenditure Categories				
FTE	61.5	61.5	0.0	61.5
Personal Services	3,146.6	3,457.6	0.0	3,457.6
Employee Related Expenses	1,103.0	1,344.1	0.0	1,344.1
Professional and Outside Services	885.1	973.6	0.0	973.6
Travel In-State	14.5	22.5	0.0	22.5
Travel Out of State	16.1	29.0	0.0	29.0
Food	0.0	1.0	0.0	1.0
Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
Other Operating Expenses	973.1	912.8	2,275.0	3,187.8
Equipment	175.5	276.3	0.0	276.3
Capital Outlay	0.0	0.0	0.0	0.0
Debt Service	0.0	0.0	0.0	0.0
Cost Allocation	0.0	0.0	0.0	0.0
Transfers	12.0	20.0	0.0	20.0
Expenditure Categories Total:	6,325.9	7,036.9	2,275.0	9,311.9

Summary of Expenditure and Budget Request for All Funds

Agency: Arizona Medical Board

Non-Appropriated		FY 2019	FY 2020	FY 2021	FY 2021
		Actual	Expd. Plan	Fund. Issue	Total Request
Cost Center/Program:					
1	Licensing, Regulation, & Rehabilitation	0.0	0.0	0.0	0.0
		0.0	0.0	0.0	0.0
Expenditure Categories					
	FTE	0.0	0.0	0.0	0.0
	Personal Services	0.0	0.0	0.0	0.0
	Employee Related Expenses	0.0	0.0	0.0	0.0
	Professional and Outside Services	0.0	0.0	0.0	0.0
	Travel In-State	0.0	0.0	0.0	0.0
	Travel Out of State	0.0	0.0	0.0	0.0
	Food	0.0	0.0	0.0	0.0
	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
	Other Operating Expenses	0.0	0.0	0.0	0.0
	Equipment	0.0	0.0	0.0	0.0
	Capital Outlay	0.0	0.0	0.0	0.0
	Debt Service	0.0	0.0	0.0	0.0
	Cost Allocation	0.0	0.0	0.0	0.0
	Transfers	0.0	0.0	0.0	0.0
Expenditure Categories Total:		0.0	0.0	0.0	0.0

Summary of Expenditure and Budget Request for All Funds

Agency: Arizona Medical Board

Agency Total for All Funds:

6,325.9	7,036.9	2,275.0	9,311.9
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Summary of Expenditure and Budget Request for Selected Funds

Agency: Arizona Medical Board

Fund: ME2038 Medical Examiners Board Fund (Appropriated)

		FY 2019 Actual	FY 2020 Expd. Plan	FY 2021 Fund. Issue	FY 2021 Total Request
Cost Center/Program:					
1	Licensing, Regulation, & Rehabilitation	6,325.9	7,036.9	2,275.0	9,311.9
		6,325.9	7,036.9	2,275.0	9,311.9
Expenditure Categories					
	FTE	61.5	61.5	0.0	61.5
	Personal Services	3,146.6	3,457.6	0.0	3,457.6
	Employee Related Expenses	1,103.0	1,344.1	0.0	1,344.1
	Professional and Outside Services	885.1	973.6	0.0	973.6
	Travel In-State	14.5	22.5	0.0	22.5
	Travel Out of State	16.1	29.0	0.0	29.0
	Food	0.0	1.0	0.0	1.0
	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
	Other Operating Expenses	973.1	912.8	2,275.0	3,187.8
	Equipment	175.5	276.3	0.0	276.3
	Capital Outlay	0.0	0.0	0.0	0.0
	Debt Service	0.0	0.0	0.0	0.0
	Cost Allocation	0.0	0.0	0.0	0.0
	Transfers	12.0	20.0	0.0	20.0
Expenditure Categories Total:		6,325.9	7,036.9	2,275.0	9,311.9
Fund Total:		6,325.9	7,036.9	2,275.0	9,311.9

Summary of Expenditure and Budget Request for Selected Funds

Agency: Arizona Medical Board

Fund: ME2038 Medical Examiners Board Fund (Non-Appropriated)

		FY 2019 Actual	FY 2020 Expd. Plan	FY 2021 Fund. Issue	FY 2021 Total Request
Cost Center/Program:					
1	Licensing, Regulation, & Rehabilitation	0.0	0.0	0.0	0.0
		0.0	0.0	0.0	0.0
Expenditure Categories					
	FTE	0.0	0.0	0.0	0.0
	Personal Services	0.0	0.0	0.0	0.0
	Employee Related Expenses	0.0	0.0	0.0	0.0
	Professional and Outside Services	0.0	0.0	0.0	0.0
	Travel In-State	0.0	0.0	0.0	0.0
	Travel Out of State	0.0	0.0	0.0	0.0
	Food	0.0	0.0	0.0	0.0
	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
	Other Operating Expenses	0.0	0.0	0.0	0.0
	Equipment	0.0	0.0	0.0	0.0
	Capital Outlay	0.0	0.0	0.0	0.0
	Debt Service	0.0	0.0	0.0	0.0
	Cost Allocation	0.0	0.0	0.0	0.0
	Transfers	0.0	0.0	0.0	0.0
	Expenditure Categories Total:	0.0	0.0	0.0	0.0
	Fund Total:	0.0	0.0	0.0	0.0

Summary of Expenditure and Budget Request for Selected Funds

Agency: Arizona Medical Board

Fund: ME2038 Medical Examiners Board Fund (Non-Appropriated)

	FY 2019 Actual	FY 2020 Expd. Plan	FY 2021 Fund. Issue	FY 2021 Total Request
Agency Total for Selected Funds	6,325.9	7,036.9	2,275.0	9,311.9

Program Summary of Expenditures and Budget Request

Agency: Arizona Medical Board
 Program: Licensing, Regulation, & Rehabilitation

		FY 2019 Actual	FY 2020 Expd. Plan	FY 2021 Fund. Issue	FY 2021 Total Request
Program Summary					
1-1	Licensing, Regulation, & Rehabilitation	6,171.7	6,871.3	2,275.0	9,146.3
1-2	SLI Employee Performance Incentive Program	154.2	165.6	0.0	165.6
Program Summary Total:		6,325.9	7,036.9	2,275.0	9,311.9
Expenditure Categories					
0000	FTE Positions	61.5	61.5	0.0	61.5
6000	Personal Services	3,146.6	3,457.6	0.0	3,457.6
6100	Employee Related Expenses	1,103.0	1,344.1	0.0	1,344.1
6200	Professional and Outside Services	885.1	973.6	0.0	973.6
6500	Travel In-State	14.5	22.5	0.0	22.5
6600	Travel Out of State	16.1	29.0	0.0	29.0
6700	Food	0.0	1.0	0.0	1.0
6800	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
7000	Other Operating Expenses	973.1	912.8	2,275.0	3,187.8
8000	Equipment	175.5	276.3	0.0	276.3
8100	Capital Outlay	0.0	0.0	0.0	0.0
8600	Debt Service	0.0	0.0	0.0	0.0
9000	Cost Allocation	0.0	0.0	0.0	0.0
9100	Transfers	12.0	20.0	0.0	20.0
Expenditure Categories Total:		6,325.9	7,036.9	2,275.0	9,311.9
Fund Source					
Appropriated Funds					
ME2038-A	Medical Examiners Board Fund (Appropriated)	6,325.9	7,036.9	2,275.0	9,311.9
		6,325.9	7,036.9	2,275.0	9,311.9
Non-Appropriated Funds					
ME2038-N	Medical Examiners Board Fund (Non-Appropriated)	0.0	0.0	0.0	0.0
		0.0	0.0	0.0	0.0
Fund Source Total:		6,325.9	7,036.9	2,275.0	9,311.9

Program Group Summary of Expenditures and Budget Request for Selected Funds

Agency: Arizona Medical Board
Program: Licensing, Regulation, & Rehabilitation

		FY 2019	FY 2020	FY 2021	FY 2021
		Actual	Expd. Plan	Fund. Issue	Total Request
Fund: ME2038-A Medical Examiners Board Fund (Appropriated)					
Program Expenditures					
COST CENTER/PROGRAM BUDGET UNIT					
1-1	Licensing, Regulation, & Rehabilitation	6,171.7	6,871.3	2,275.0	9,146.3
1-2	SLI Employee Performance Incentive Program	154.2	165.6	0.0	165.6
	Total	6,325.9	7,036.9	2,275.0	9,311.9
Appropriated Funding					
Expenditure Categories					
	FTE Positions	61.5	61.5	0.0	61.5
	Personal Services	3,146.6	3,457.6	0.0	3,457.6
	Employee Related Expenses	1,103.0	1,344.1	0.0	1,344.1
	Professional and Outside Services	885.1	973.6	0.0	973.6
	Travel In-State	14.5	22.5	0.0	22.5
	Travel Out of State	16.1	29.0	0.0	29.0
	Food	0.0	1.0	0.0	1.0
	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
	Other Operating Expenses	973.1	912.8	2,275.0	3,187.8
	Equipment	175.5	276.3	0.0	276.3
	Capital Outlay	0.0	0.0	0.0	0.0
	Debt Service	0.0	0.0	0.0	0.0
	Cost Allocation	0.0	0.0	0.0	0.0
	Transfers	12.0	20.0	0.0	20.0
Expenditure Categories Total:		6,325.9	7,036.9	2,275.0	9,311.9
Fund ME2038-A Total:		6,325.9	7,036.9	2,275.0	9,311.9
Program 1 Total:		6,325.9	7,036.9	2,275.0	9,311.9

Program Group Summary of Expenditures and Budget Request for Selected Funds

Agency: Arizona Medical Board
 Program: Licensing, Regulation, & Rehabilitation

		FY 2019	FY 2020	FY 2021	FY 2021
		Actual	Expd. Plan	Fund. Issue	Total Request
Fund:	ME2038-N Medical Examiners Board Fund (Non-Appropriated)				
Program Expenditures					
COST CENTER/PROGRAM BUDGET UNIT					
1-1	Licensing, Regulation, & Rehabilitation	0.0	0.0	0.0	0.0
	Total	0.0	0.0	0.0	0.0
Non-Appropriated Funding					
Expenditure Categories					
	FTE Positions	0.0	0.0	0.0	0.0
	Personal Services	0.0	0.0	0.0	0.0
	Employee Related Expenses	0.0	0.0	0.0	0.0
	Professional and Outside Services	0.0	0.0	0.0	0.0
	Travel In-State	0.0	0.0	0.0	0.0
	Travel Out of State	0.0	0.0	0.0	0.0
	Food	0.0	0.0	0.0	0.0
	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
	Other Operating Expenses	0.0	0.0	0.0	0.0
	Equipment	0.0	0.0	0.0	0.0
	Capital Outlay	0.0	0.0	0.0	0.0
	Debt Service	0.0	0.0	0.0	0.0
	Cost Allocation	0.0	0.0	0.0	0.0
	Transfers	0.0	0.0	0.0	0.0
Expenditure Categories Total:		0.0	0.0	0.0	0.0
Fund ME2038-N Total:		0.0	0.0	0.0	0.0
Program 1 Total:		0.0	0.0	0.0	0.0

Program Budget Unit Summary of Expenditures and Budget Request for All Funds

Agency: Arizona Medical Board
 Program: Licensing, Regulation, & Rehabilitation

Expenditure Categories		FY 2019 Actual	FY 2020 Expd. Plan	FY 2021 Fund. Issue	FY 2021 Total Request
0000	FTE	61.5	61.5	0.0	61.5
6000	Personal Services	3,034.2	3,337.2	0.0	3,337.2
6100	Employee Related Expenses	1,061.2	1,298.9	0.0	1,298.9
6200	Professional and Outside Services	885.1	973.6	0.0	973.6
6500	Travel In-State	14.5	22.5	0.0	22.5
6600	Travel Out of State	16.1	29.0	0.0	29.0
6700	Food	0.0	1.0	0.0	1.0
6800	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
7000	Other Operating Expenses	973.1	912.8	2,275.0	3,187.8
8000	Equipment	175.5	276.3	0.0	276.3
8100	Capital Outlay	0.0	0.0	0.0	0.0
8600	Debt Service	0.0	0.0	0.0	0.0
9000	Cost Allocation	0.0	0.0	0.0	0.0
9100	Transfers	12.0	20.0	0.0	20.0
Expenditure Categories Total:		6,171.7	6,871.3	2,275.0	9,146.3
Fund Source					
Appropriated Funds					
ME2038-A Medical Examiners Board Fund (Appropriated)		6,171.7	6,871.3	2,275.0	9,146.3
		6,171.7	6,871.3	2,275.0	9,146.3
Non-Appropriated Funds					
ME2038-N Medical Examiners Board Fund (Non-Appropriated)		0.0	0.0	0.0	0.0
		0.0	0.0	0.0	0.0
Fund Source Total:		6,171.7	6,871.3	2,275.0	9,146.3

Program Budget Unit Summary of Expenditures and Budget Request for Selected Funds

Agency: Arizona Medical Board

FY 2019	FY 2020	FY 2021	FY 2021
Actual	Expd. Plan	Fund. Issue	Total Request

Program: Licensing, Regulation, & Rehabilitation

Fund: ME2038-A Medical Examiners Board Fund

Appropriated

0000	FTE	61.5	61.5	0.0	61.5
6000	Personal Services	3,034.2	3,337.2	0.0	3,337.2
6100	Employee Related Expenses	1,061.2	1,298.9	0.0	1,298.9
6200	Professional and Outside Services	885.1	973.6	0.0	973.6
6500	Travel In-State	14.5	22.5	0.0	22.5
6600	Travel Out of State	16.1	29.0	0.0	29.0
6700	Food	0.0	1.0	0.0	1.0
6800	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
7000	Other Operating Expenses	973.1	912.8	2,275.0	3,187.8
8000	Equipment	175.5	276.3	0.0	276.3
8100	Capital Outlay	0.0	0.0	0.0	0.0
8600	Debt Service	0.0	0.0	0.0	0.0
9000	Cost Allocation	0.0	0.0	0.0	0.0
9100	Transfers	12.0	20.0	0.0	20.0
Appropriated Total:		6,171.7	6,871.3	2,275.0	9,146.3
Fund Total:		6,171.7	6,871.3	2,275.0	9,146.3
Program Total For Selected Funds:		6,171.7	6,871.3	2,275.0	9,146.3

Program Budget Unit Summary of Expenditures and Budget Request for Selected Funds

Agency:	Arizona Medical Board				
	FY 2019	FY 2020	FY 2021	FY 2021	
	Actual	Expd. Plan	Fund. Issue	Total Request	
Program:	Licensing, Regulation, & Rehabilitation				
Fund:	ME2038-N Medical Examiners Board Fund				
Non-Appropriated					
0000	FTE	0.0	0.0	0.0	0.0
6000	Personal Services	0.0	0.0	0.0	0.0
6100	Employee Related Expenses	0.0	0.0	0.0	0.0
6200	Professional and Outside Services	0.0	0.0	0.0	0.0
6500	Travel In-State	0.0	0.0	0.0	0.0
6600	Travel Out of State	0.0	0.0	0.0	0.0
6700	Food	0.0	0.0	0.0	0.0
6800	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
7000	Other Operating Expenses	0.0	0.0	0.0	0.0
8000	Equipment	0.0	0.0	0.0	0.0
8100	Capital Outlay	0.0	0.0	0.0	0.0
8600	Debt Service	0.0	0.0	0.0	0.0
9000	Cost Allocation	0.0	0.0	0.0	0.0
9100	Transfers	0.0	0.0	0.0	0.0
Non-Appropriated Total:		0.0	0.0	0.0	0.0
Fund Total:		0.0	0.0	0.0	0.0
Program Total For Selected Funds:		0.0	0.0	0.0	0.0

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	Licensing, Regulation, & Rehabilitation

	FY 2019 Actual	FY 2020 Expd. Plan
FTE	61.5	61.5
Expenditure Category Total	61.5	61.5
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	61.5	61.5
	61.5	61.5
Non-Appropriated		
ME2038-N Medical Examiners Board Fund (Non-Appropriated)	0.0	0.0
	0.0	0.0
Fund Source Total	61.5	61.5
<hr/>		
Personal Services	2,976.5	3,257.2
Boards and Commissions	57.7	80.0
Expenditure Category Total	3,034.2	3,337.2
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	3,034.2	3,337.2
	3,034.2	3,337.2
Non-Appropriated		
ME2038-N Medical Examiners Board Fund (Non-Appropriated)	0.0	0.0
	0.0	0.0
Fund Source Total	3,034.2	3,337.2
<hr/>		
Employee Related Expenses	1,061.2	1,298.9
Expenditure Category Total	1,061.2	1,298.9
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	1,061.2	1,298.9
	1,061.2	1,298.9
Non-Appropriated		
ME2038-N Medical Examiners Board Fund (Non-Appropriated)	0.0	0.0
	0.0	0.0
Fund Source Total	1,061.2	1,298.9
<hr/>		
Professional and Outside Services		973.6
External Prof/Outside Serv Budg And Appn	520.0	
External Investment Services	0.0	
Other External Financial Services	0.0	
Attorney General Legal Services	0.0	
External Legal Services	12.5	
External Engineer/Architect Cost - Exp	0.0	
External Engineer/Architect Cost- Cap	0.0	
Other Design	0.0	
Temporary Agency Services	143.5	
Hospital Services	0.0	
Other Medical Services	154.0	
Institutional Care	0.0	
Education And Training	0.0	
Vendor Travel	0.0	
Professional & Outside Services Excluded from Cost Alloca	0.0	
Vendor Travel - Non Reportable	0.0	
External Telecom Consulting Services	0.0	
Costs related to those in custody of the State	0.0	

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	Licensing, Regulation, & Rehabilitation

	FY 2019 Actual	FY 2020 Expd. Plan
Non - Confidential Specialist Fees	0.0	
Confidential Specialist Fees	0.0	
Outside Actuarial Costs	0.0	
Other Professional And Outside Services	55.1	
Expenditure Category Total	885.1	973.6
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	885.1	973.6
Fund Source Total	885.1	973.6
<hr/>		
Travel In-State	14.5	22.5
Expenditure Category Total	14.5	22.5
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	14.5	22.5
Fund Source Total	14.5	22.5
<hr/>		
Travel Out of State	16.1	29.0
Expenditure Category Total	16.1	29.0
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	16.1	29.0
Fund Source Total	16.1	29.0
<hr/>		
Food	0.0	1.0
Expenditure Category Total	0.0	1.0
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	0.0	1.0
Fund Source Total	0.0	1.0
<hr/>		
Aid to Organizations and Individuals	0.0	0.0
Expenditure Category Total	0.0	0.0
<hr/>		
Other Operating Expenses		912.8
Other Operating Expenditures Budg Approp	0.0	
Other Operating Expenditures Excluded from Cost Allocati	0.0	
Risk Management Charges To State Agency	24.6	
Risk Management Deductible - Indemnity	0.0	
Risk Management Deductible - Legal	0.0	
Risk Management Deductible - Medical	0.0	
Risk Management Deductible - Other	0.0	
Gen Liab- Non Physical-Taxable- Self Ins	0.0	
Gross Proceeds Payments To Attorneys	0.0	
General Liability- Non-Taxable- Self Ins	0.0	
Medical Malpractice - Self-Insured	0.0	
Automobile Liability - Self Insured	0.0	
General Property Damage - Self- Insured	0.0	
Automobile Physical Damage-Self Insured	0.0	
Liability Insurance Premiums	0.0	

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	Licensing, Regulation, & Rehabilitation

	FY 2019 Actual	FY 2020 Expd. Plan
Property Insurance Premiums	0.0	
Workers Compensation Benefit Payments	0.0	
Self Insurance - Administrative Fees	0.0	
Self Insurance - Premiums	0.0	
Self Insurance - Claim Payments	0.0	
Self Insurance - Pharmacy Claims	0.0	
Premium Tax On Altcs	0.0	
Other Insurance-Related Charges	0.0	
Internal Service Data Processing	21.6	
Internal Service Data Proc- Pc/Lan	0.0	
External Programming-Mainframe/Legacy	0.0	
External Programming- Pc/Lan/Serv/Web	0.0	
External Data Entry	0.0	
Othr External Data Proc-Mainframe/Legacy	0.0	
Othr External Data Proc-Pc/Lan/Serv/Web	190.0	
Pmt for AFIS Development & Usage	0.0	
Internal Service Telecommunications	0.0	
External Telecom Long Distance-In-State	48.0	
External Telecom Long Distance-Out-State	0.0	
Other External Telecommunication Service	0.0	
Electricity	0.0	
Sanitation Waste Disposal	0.0	
Water	0.0	
Gas And Fuel Oil For Buildings	0.0	
Other Utilities	0.0	
Building Rent Charges To State Agencies	185.6	
Priv Lease To Own Bld Rent Chrgs To Agy	0.0	
Cert Of Part Bld Rent Chrgs To Agy	0.0	
Rental Of Land And Buildings	0.0	
Rental Of Computer Equipment	0.0	
Rental Of Other Machinery And Equipment	0.0	
Miscellaneous Rent	64.0	
Interest On Overdue Payments	0.0	
All Other Interest Payments	0.0	
Internal Acct/Budg/Financial Svcs	2.0	
Other Internal Services	0.1	
Repair And Maintenance - Buildings	0.0	
Repair And Maintenance - Vehicles	0.0	
Repair And Maint - Mainframe And Legacy	4.6	
Repair And Maint-Pc/Lan/Serv/Web	0.0	
Repair And Maintenance - Other Equipment	10.6	
Other Repair And Maintenance	0.0	
Software Support And Maintenance	317.1	
Uniforms	0.0	
Inmate Clothing	0.0	
Security Supplies	0.0	
Office Supplies	21.8	
Computer Supplies	0.1	
Housekeeping Supplies	0.0	
Bedding And Bath Supplies	0.0	
Drugs And Medicine Supplies	0.0	

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	Licensing, Regulation, & Rehabilitation

	FY 2019 Actual	FY 2020 Expd. Plan
Medical Supplies	0.0	
Dental Supplies	0.0	
Automotive And Transportation Fuels	0.0	
Automotive Lubricants And Supplies	0.0	
Rpr And Maint Supplies-Not Auto Or Build	0.0	
Repair And Maintenance Supplies-Building	0.0	
Other Operating Supplies	2.6	
Publications	0.0	
Aggregate Withheld Or Paid Commissions	0.0	
Lottery Prizes	0.0	
Lottery Distribution Costs	0.0	
Material for Further Processing	0.0	
Other Resale Supplies	0.0	
Loss On Sales Of Capital Assets	0.0	
Loss on Sales of Investments	0.0	
Employee Tuition Reimbursement-Graduate	0.0	
Employee Tuition Reimb Under-Grad/Other	3.1	
Conference Registration-Attendance Fees	7.9	
Other Education And Training Costs	14.9	
Advertising	0.7	
Sponsorships	0.0	
Internal Printing	0.1	
External Printing	1.5	
Photography	0.0	
Postage And Delivery	23.6	
Document shredding and Destruction Services	2.0	
Translation and Sign Language Services	0.0	
Distribution To State Universities	0.0	
Other Intrastate Distributions	0.0	
Awards	0.5	
Entertainment And Promotional Items	0.0	
Dues	4.6	
Books- Subscriptions And Publications	7.4	
Costs For Digital Image Or Microfilm	0.0	
Revolving Fund Advances	0.0	
Credit Card Fees Over Approved Limit	0.0	
Relief Bill Expenditures	0.0	
Surplus Property Distr To State Agencies	0.0	
Security Services	10.3	
Judgments - Damages	0.0	
ICA Payments to Claimants Confidential	0.0	
Jdgmnt-Confidential Restitution To Indiv	0.0	
Judgments - Non-Confidential Restitution	0.0	
Judgments - Punitive And Compensatory	0.0	
Pmts Made to Resolve/Disputes/Avoid Costs of Litigation	0.0	
Pmts For Contracted State Inmate Labor	0.0	
Payments To State Inmates	0.0	
Bad Debt Expense	0.0	
Interview Expense	0.0	
Employee Relocations-Nontaxable	0.0	
Employee Relocations-Taxable	0.0	

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	Licensing, Regulation, & Rehabilitation

	FY 2019 Actual	FY 2020 Expd. Plan
Non-Confidential Invest/Legal/Law Enf	0.0	
Conf/Sensitive Invest/Legal/Undercover	0.0	
Fingerprinting, Background Checks, Etc.	0.0	
Other Miscellaneous Operating	3.8	
Expenditure Category Total	973.1	912.8
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	973.1	912.8
Fund Source Total	973.1	912.8
<hr/>		
Current Year Expenditures		276.3
Capital Equipment Budget And Approp	0.0	
Vehicles Capital Purchase	0.0	
Vehicles Capital Leases	0.0	
Furniture Capital Purchase	0.0	
Depreciable Works Of Art & Hist Treas/Coll Capital Purcha	0.0	
Non Depr Works Of Art & Hist Treas/Coll Cap Purchase	0.0	
Furniture Capital Leases	0.0	
Computer Equipment Capital Purchase	0.0	
Computer Equipment Capital Lease	0.0	
Telecommunication Equip-Capital Purchase	0.0	
Telecommunication Equip-Capital Lease	0.0	
Other Equipment Capital Purchase	9.1	
Other Equipment Capital Leases	0.0	
Purchased Or Licensed Software-Website	0.0	
Internally Generated Software-Website	0.0	
Development in Progress	0.0	
Right-Of-Way/Easement/Extraction Rights	0.0	
Oth Int Assets purchased, licensed or internally generate	0.0	
Other intangible assets acquired by capital lease	0.0	
Other Capital Asset Purchases	0.0	
Leasehold Improvement-Capital Purchase	0.0	
Other Capital Asset Leases	0.0	
Non-Capital Equip Budget And Approp	0.0	
Vehicles Non-Capital Purchase	0.0	
Vehicles Non-Capital Leases	0.0	
Furniture Non-Capital Purchase	1.4	
Works Of Art And Hist Treas-Non Capital	0.0	
Furniture Non-Capital Leases	0.0	
Computer Equipment Non-Capital Purchase	47.0	
Computer Equipment Non-Capital Lease	0.0	
Telecomm Equip Non-Capital Purchase	0.0	
Telecomm Equip Non-Capital Leases	0.0	
Other Equipment Non-Capital Purchase	5.4	
Weapons Non-Capital Purchase	0.0	
Other Equipment Non-Capital Lease	0.0	
Purchased Or Licensed Software/Website	112.6	
Internally Generated Software/Website	0.0	
LICENSES AND PERMITS	0.0	
Right-Of-Way/Easement/Extraction Exp	0.0	
Other Intangible Assets - Purchased, Licensed or Internall	0.0	

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	Licensing, Regulation, & Rehabilitation

	FY 2019 Actual	FY 2020 Expd. Plan
Noncapital Software/Web By Capital Lease	0.0	
Other Intangible Assets Acquired by Capital Lease	0.0	
Other Long Lived Tangible Assets to be Expenses	0.0	
Non-Capital Equipment Excluded from Cost Allocation	0.0	
Expenditure Category Total	175.5	276.3
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	175.5	276.3
	175.5	276.3
Fund Source Total	175.5	276.3
<hr/>		
Capital Outlay	0.0	0.0
Expenditure Category Total	0.0	0.0
<hr/>		
Debt Service	0.0	0.0
Expenditure Category Total	0.0	0.0
<hr/>		
Cost Allocation	0.0	0.0
Expenditure Category Total	0.0	0.0
<hr/>		
Transfers	12.0	20.0
Expenditure Category Total	12.0	20.0
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	12.0	20.0
	12.0	20.0
Fund Source Total	12.0	20.0

Employee Retirement Coverage

Retirement System	FTE	Personal Services	Fund#
Arizona State Retirement System	61.5	3,257.2	ME2038-A
Arizona State Retirement System	0.0	0.0	ME2038-N

Combined Regular & Elected Positions At/Above FICA Maximum of \$128,400
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Total FTE	Personal Services	FTE's not eligible for Health, Dental & Life
3.0	431.0	1.3

Program Budget Unit Summary of Expenditures and Budget Request for All Funds

Agency: Arizona Medical Board
 Program: SLI Employee Performance Incentive Program

Expenditure Categories		FY 2019 Actual	FY 2020 Expd. Plan	FY 2021 Fund. Issue	FY 2021 Total Request
0000	FTE	0.0	0.0	0.0	0.0
6000	Personal Services	112.4	120.4	0.0	120.4
6100	Employee Related Expenses	41.8	45.2	0.0	45.2
6200	Professional and Outside Services	0.0	0.0	0.0	0.0
6500	Travel In-State	0.0	0.0	0.0	0.0
6600	Travel Out of State	0.0	0.0	0.0	0.0
6700	Food	0.0	0.0	0.0	0.0
6800	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
7000	Other Operating Expenses	0.0	0.0	0.0	0.0
8000	Equipment	0.0	0.0	0.0	0.0
8100	Capital Outlay	0.0	0.0	0.0	0.0
8600	Debt Service	0.0	0.0	0.0	0.0
9000	Cost Allocation	0.0	0.0	0.0	0.0
9100	Transfers	0.0	0.0	0.0	0.0
Expenditure Categories Total:		154.2	165.6	0.0	165.6
Fund Source					
Appropriated Funds					
ME2038-A Medical Examiners Board Fund (Appropriated)		154.2	165.6	0.0	165.6
Fund Source Total:		154.2	165.6	0.0	165.6

Program Budget Unit Summary of Expenditures and Budget Request for Selected Funds

Agency: Arizona Medical Board				
	FY 2019	FY 2020	FY 2021	FY 2021
	Actual	Expd. Plan	Fund. Issue	Total Request
Program: SLI Employee Performance Incentive Program				
Fund: ME2038-A Medical Examiners Board Fund				
Appropriated				
0000 FTE	0.0	0.0	0.0	0.0
6000 Personal Services	112.4	120.4	0.0	120.4
6100 Employee Related Expenses	41.8	45.2	0.0	45.2
6200 Professional and Outside Services	0.0	0.0	0.0	0.0
6500 Travel In-State	0.0	0.0	0.0	0.0
6600 Travel Out of State	0.0	0.0	0.0	0.0
6700 Food	0.0	0.0	0.0	0.0
6800 Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
7000 Other Operating Expenses	0.0	0.0	0.0	0.0
8000 Equipment	0.0	0.0	0.0	0.0
8100 Capital Outlay	0.0	0.0	0.0	0.0
8600 Debt Service	0.0	0.0	0.0	0.0
9000 Cost Allocation	0.0	0.0	0.0	0.0
9100 Transfers	0.0	0.0	0.0	0.0
Appropriated Total:	154.2	165.6	0.0	165.6
Fund Total:	154.2	165.6	0.0	165.6
Program Total For Selected Funds:	154.2	165.6	0.0	165.6

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	SLI Employee Performance Incentive Program

	FY 2019 Actual	FY 2020 Expd. Plan
FTE	0.0	0.0
Expenditure Category Total	0.0	0.0
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	0.0	0.0
Fund Source Total	0.0	0.0
<hr/>		
Personal Services	112.4	120.4
Boards and Commissions	0.0	0.0
Expenditure Category Total	112.4	120.4
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	112.4	120.4
Fund Source Total	112.4	120.4
<hr/>		
Employee Related Expenses	41.8	45.2
Expenditure Category Total	41.8	45.2
Appropriated		
ME2038-A Medical Examiners Board Fund (Appropriated)	41.8	45.2
Fund Source Total	41.8	45.2
<hr/>		
Professional and Outside Services		0.0
External Prof/Outside Serv Budg And Appn	0.0	
External Investment Services	0.0	
Other External Financial Services	0.0	
Attorney General Legal Services	0.0	
External Legal Services	0.0	
External Engineer/Architect Cost - Exp	0.0	
External Engineer/Architect Cost- Cap	0.0	
Other Design	0.0	
Temporary Agency Services	0.0	
Hospital Services	0.0	
Other Medical Services	0.0	
Institutional Care	0.0	
Education And Training	0.0	
Vendor Travel	0.0	
Professional & Outside Services Excluded from Cost Alloca	0.0	
Vendor Travel - Non Reportable	0.0	
External Telecom Consulting Services	0.0	
Costs related to those in custody of the State	0.0	
Non - Confidential Specialist Fees	0.0	
Confidential Specialist Fees	0.0	
Outside Actuarial Costs	0.0	
Other Professional And Outside Services	0.0	
Expenditure Category Total	0.0	0.0
<hr/>		
Travel In-State	0.0	0.0

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	SLI Employee Performance Incentive Program

	FY 2019 Actual	FY 2020 Expd. Plan
Expenditure Category Total	0.0	0.0
<hr/>		
Travel Out of State	0.0	0.0
Expenditure Category Total	0.0	0.0
<hr/>		
Food	0.0	0.0
Expenditure Category Total	0.0	0.0
<hr/>		
Aid to Organizations and Individuals	0.0	0.0
Expenditure Category Total	0.0	0.0
<hr/>		
Other Operating Expenses		0.0
Other Operating Expenditures Budg Approp	0.0	
Other Operating Expenditures Excluded from Cost Allocati	0.0	
Risk Management Charges To State Agency	0.0	
Risk Management Deductible - Indemnity	0.0	
Risk Management Deductible - Legal	0.0	
Risk Management Deductible - Medical	0.0	
Risk Management Deductible - Other	0.0	
Gen Liab- Non Physical-Taxable- Self Ins	0.0	
Gross Proceeds Payments To Attorneys	0.0	
General Liability- Non-Taxable- Self Ins	0.0	
Medical Malpractice - Self-Insured	0.0	
Automobile Liability - Self Insured	0.0	
General Property Damage - Self- Insured	0.0	
Automobile Physical Damage-Self Insured	0.0	
Liability Insurance Premiums	0.0	
Property Insurance Premiums	0.0	
Workers Compensation Benefit Payments	0.0	
Self Insurance - Administrative Fees	0.0	
Self Insurance - Premiums	0.0	
Self Insurance - Claim Payments	0.0	
Self Insurance - Pharmacy Claims	0.0	
Premium Tax On Altcs	0.0	
Other Insurance-Related Charges	0.0	
Internal Service Data Processing	0.0	
Internal Service Data Proc- Pc/Lan	0.0	
External Programming-Mainframe/Legacy	0.0	
External Programming- Pc/Lan/Serv/Web	0.0	
External Data Entry	0.0	
Othr External Data Proc-Mainframe/Legacy	0.0	
Othr External Data Proc-Pc/Lan/Serv/Web	0.0	
Pmt for AFIS Development & Usage	0.0	
Internal Service Telecommunications	0.0	
External Telecom Long Distance-In-State	0.0	
External Telecom Long Distance-Out-State	0.0	
Other External Telecommunication Service	0.0	
Electricity	0.0	
Sanitation Waste Disposal	0.0	

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	SLI Employee Performance Incentive Program

	FY 2019 Actual	FY 2020 Expd. Plan
Water	0.0	
Gas And Fuel Oil For Buildings	0.0	
Other Utilities	0.0	
Building Rent Charges To State Agencies	0.0	
Priv Lease To Own Bld Rent Chrgs To Agy	0.0	
Cert Of Part Bld Rent Chrgs To Agy	0.0	
Rental Of Land And Buildings	0.0	
Rental Of Computer Equipment	0.0	
Rental Of Other Machinery And Equipment	0.0	
Miscellaneous Rent	0.0	
Interest On Overdue Payments	0.0	
All Other Interest Payments	0.0	
Internal Acct/Budg/Financial Svcs	0.0	
Other Internal Services	0.0	
Repair And Maintenance - Buildings	0.0	
Repair And Maintenance - Vehicles	0.0	
Repair And Maint - Mainframe And Legacy	0.0	
Repair And Maint-Pc/Lan/Serv/Web	0.0	
Repair And Maintenance - Other Equipment	0.0	
Other Repair And Maintenance	0.0	
Software Support And Maintenance	0.0	
Uniforms	0.0	
Inmate Clothing	0.0	
Security Supplies	0.0	
Office Supplies	0.0	
Computer Supplies	0.0	
Housekeeping Supplies	0.0	
Bedding And Bath Supplies	0.0	
Drugs And Medicine Supplies	0.0	
Medical Supplies	0.0	
Dental Supplies	0.0	
Automotive And Transportation Fuels	0.0	
Automotive Lubricants And Supplies	0.0	
Rpr And Maint Supplies-Not Auto Or Build	0.0	
Repair And Maintenance Supplies-Building	0.0	
Other Operating Supplies	0.0	
Publications	0.0	
Aggregate Withheld Or Paid Commissions	0.0	
Lottery Prizes	0.0	
Lottery Distribution Costs	0.0	
Material for Further Processing	0.0	
Other Resale Supplies	0.0	
Loss On Sales Of Capital Assets	0.0	
Loss on Sales of Investments	0.0	
Employee Tuition Reimbursement-Graduate	0.0	
Employee Tuition Reimb Under-Grad/Other	0.0	
Conference Registration-Attendance Fees	0.0	
Other Education And Training Costs	0.0	
Advertising	0.0	
Sponsorships	0.0	
Internal Printing	0.0	

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	SLI Employee Performance Incentive Program

	FY 2019 Actual	FY 2020 Expd. Plan
External Printing	0.0	
Photography	0.0	
Postage And Delivery	0.0	
Document shredding and Destruction Services	0.0	
Translation and Sign Language Services	0.0	
Distribution To State Universities	0.0	
Other Intrastate Distributions	0.0	
Awards	0.0	
Entertainment And Promotional Items	0.0	
Dues	0.0	
Books- Subscriptions And Publications	0.0	
Costs For Digital Image Or Microfilm	0.0	
Revolving Fund Advances	0.0	
Credit Card Fees Over Approved Limit	0.0	
Relief Bill Expenditures	0.0	
Surplus Property Distr To State Agencies	0.0	
Security Services	0.0	
Judgments - Damages	0.0	
ICA Payments to Claimants Confidential	0.0	
Jdgmnt-Confidential Restitution To Indiv	0.0	
Judgments - Non-Confidential Restitution	0.0	
Judgments - Punitive And Compensatory	0.0	
Pmts Made to Resolve/Disputes/Avoid Costs of Litigation	0.0	
Pmts For Contracted State Inmate Labor	0.0	
Payments To State Inmates	0.0	
Bad Debt Expense	0.0	
Interview Expense	0.0	
Employee Relocations-Nontaxable	0.0	
Employee Relocations-Taxable	0.0	
Non-Confidential Invest/Legal/Law Enf	0.0	
Conf/Sensitive Invest/Legal/Undercover	0.0	
Fingerprinting, Background Checks, Etc.	0.0	
Other Miscellaneous Operating	0.0	
Expenditure Category Total	0.0	0.0

Current Year Expenditures		0.0
Capital Equipment Budget And Approp	0.0	
Vehicles Capital Purchase	0.0	
Vehicles Capital Leases	0.0	
Furniture Capital Purchase	0.0	
Depreciable Works Of Art & Hist Treas/Coll Capital Purcha	0.0	
Non Depr Works Of Art & Hist Treas/Coll Cap Purchase	0.0	
Furniture Capital Leases	0.0	
Computer Equipment Capital Purchase	0.0	
Computer Equipment Capital Lease	0.0	
Telecommunication Equip-Capital Purchase	0.0	
Telecommunication Equip-Capital Lease	0.0	
Other Equipment Capital Purchase	0.0	
Other Equipment Capital Leases	0.0	
Purchased Or Licensed Software-Website	0.0	

Program Expenditure Schedule

Agency:	Arizona Medical Board
Program:	SLI Employee Performance Incentive Program

	FY 2019 Actual	FY 2020 Expd. Plan
Internally Generated Software-Website	0.0	
Development in Progress	0.0	
Right-Of-Way/Easement/Extraction Rights	0.0	
Oth Int Assets purchased, licensed or internally generate	0.0	
Other intangible assets acquired by capital lease	0.0	
Other Capital Asset Purchases	0.0	
Leasehold Improvement-Capital Purchase	0.0	
Other Capital Asset Leases	0.0	
Non-Capital Equip Budget And Approp	0.0	
Vehicles Non-Capital Purchase	0.0	
Vehicles Non-Capital Leases	0.0	
Furniture Non-Capital Purchase	0.0	
Works Of Art And Hist Treas-Non Capital	0.0	
Furniture Non-Capital Leases	0.0	
Computer Equipment Non-Capital Purchase	0.0	
Computer Equipment Non-Capital Lease	0.0	
Telecomm Equip Non-Capital Purchase	0.0	
Telecomm Equip Non-Capital Leases	0.0	
Other Equipment Non-Capital Purchase	0.0	
Weapons Non-Capital Purchase	0.0	
Other Equipment Non-Capital Lease	0.0	
Purchased Or Licensed Software/Website	0.0	
Internally Generated Software/Website	0.0	
LICENSES AND PERMITS	0.0	
Right-Of-Way/Easement/Extraction Exp	0.0	
Other Intangible Assets - Purchased, Licensed or Internall	0.0	
Noncapital Software/Web By Capital Lease	0.0	
Other Intangible Assets Acquired by Capital Lease	0.0	
Other Long Lived Tangible Assets to be Expenses	0.0	
Non-Capital Equipment Excluded from Cost Allocation	0.0	
Expenditure Category Total	0.0	0.0
<hr/>		
Capital Outlay	0.0	0.0
Expenditure Category Total	0.0	0.0
<hr/>		
Debt Service	0.0	0.0
Expenditure Category Total	0.0	0.0
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Cost Allocation	0.0	0.0
Expenditure Category Total	0.0	0.0
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Transfers	0.0	0.0
Expenditure Category Total	0.0	0.0

Employee Retirement Coverage

Retirement System	FTE	Personal Services	Fund#
Arizona State Retirement System	0.0	120.4	ME2038-N

Program Expenditure Schedule

Agency: Arizona Medical Board

Program: SLI Employee Performance Incentive Program

<u>FY 2019</u> <u>Actual</u>	<u>FY 2020</u> <u>Expd. Plan</u>
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Administrative Costs

Agency: Arizona Medical Board

Administrative Costs Summary

Common Administrative Area	FY 2021
Personal Services	989.5
ERE	371.1
All Other	0.0
Administrative Costs Total:	1,360.6

Administrative Cost / Total Expenditure Ratio

	Request	Admin %
FY 2021	9,311.9	14.6%