Arizona State Board for Charter Schools

Physical Address:
1616 West Adams Street, Suite 170
Phoenix, AZ 85007

Mailing Address:
P.O. Box 18328
Phoenix, AZ 85009

August 31, 2020

Dear Governor Ducey,

Included in the attached supporting documentation is the Fiscal Year 2022 budget submission for the Arizona State Board for Charter Schools (Charter Board). Included in the Charter Board's submission is a request for additional funds to modernize its IT platform.

The Board currently utilizes the ASBCS Online solution to support its internal operations, to meet the needs of charter holders, and to provide information to the public. The ASBCS Online solution was custom-built for the agency and implemented in 2007 and no longer meets the current needs of the Charter Board, charter holders, or the public. The Charter Board needs a system that enables processes that are more efficient and effective, while also providing improved communication, transparency, accessibility, navigability, and usability for all stakeholders, including Board staff, charter holders, and the public. Therefore, the Charter Board respectfully requests additional funds for this important and necessary modernization initiative. Supporting documentation for this request is included in the budget submission.

The Charter Board's budget submission supports the continuation of its efforts to ensure a high quality charter school system for Arizona's students.

Sincerely,

Ashley Berg
Executive Director
Arizona State Board for Charter Schools

Current Organizational Chart

Ashley Berg
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State of Arizona Budget Request

State Agency

State Board for Charter Schools

A.R.S. Citation: **15-181 to 15-189 and 15-808**

Governor DUCEY:

This and the accompanying budget schedules, statements and explanatory information constitute the operating budget request for this agency for Fiscal Year 2022.

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

Agency Head: Ashley Berg

Title: **Executive Director**

Ashley Berg 8/30/2019

(signature)

Phone: **(602) 364-3091**

Prepared By: Ashley Berg

Email Address: Ashley.Berg@asbcs.az.gov

Date Prepared: **Thursday, August 29, 2019**

Appropriated Funds

	FY 2021 Approp	FY 2022 Fund. Issue	FY 2022 Total Budget
Total Amount Requested:	2,152.1	547.3	2,699.4
General Fund	2,152.1	547.3	2,699.4

Non-Appropriated Funds

	FY 2021 Expd. Plan	FY 2022 Fund. Issue	FY 2022 Total Budget
Total Amount Planned:	85.0	0.0	85.0
Charter AZ Online Instruction Processing Fund	39.5	0.0	39.5
New Charter Application Processing Fund	45.5	0.0	45.5
Total:	2,237.1	547.3	2,784.4

Revenue Schedule

Agency: State Board for Charter Schools

Fund: AA1000 General Fund

AFIS Code	Category of Receipt and Description	FY 2020	FY 2021	FY 2022
4372	PUBLICATIONS AND REPRODUCTIONS	0.3	0.0	0.0
	Fund Total:	0.3	0.0	0.0

Revenue Schedule

Agency: State Board for Charter Schools

Fund: CS2319 Charter AZ Online Instruction Processing Fund

AFIS Code	Category of Receipt and Description	FY 2020	FY 2021	FY 2022
4449	OTHER FEES	42.0	60.0	60.0
	Fund Total:	42.0	60.0	60.0

Revenue Schedule

Agency: State Board for Charter Schools

Fund: CS2568 New Charter Application Processing Fund

AFIS Code	Category of Receipt and Description	FY 2020	FY 2021	FY 2022
4449	OTHER FEES	3.0	72.0	72.0
	Fund Total:	3.0	72.0	72.0

Sources and Uses of Funds

Agency: State Board for Charter Schools

Fund: CS2319 Charter AZ Online Instruction Processing Fund

Cash Flow Summary	Actual FY 2020	Estimate FY 2021	Estimate FY 2022
Balance Forward from Prior Year	3.0	7.9	28.4
Revenue (From Revenue Schedule)	42.0	60.0	60.0
Total Available	45.0	67.9	88.4
Total Appropriated Disbursements	0.0	0.0	0.0
Total Non-Appropriated Disbursements	37.1	39.5	39.5
Balance Forward to Next Year	7.9	28.4	48.9

Non-Appropriated Expenditure

Expenditure Categories	Actual FY 2020	Estimate FY 2021	Estimate FY 2022
Personal Services	0.0	0.0	0.0
Employee Related Expenses	0.0	0.0	0.0
Prof. And Outside Services	37.1	39.5	39.5
Travel - In State	0.0	0.0	0.0
Travel - Out of State	0.0	0.0	0.0
Food	0.0	0.0	0.0
Aid to Organizations and Individuals	0.0	0.0	0.0
Other Operating Expenses	0.0	0.0	0.0
Equipment	0.0	0.0	0.0
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	0.0	0.0	0.0
Expenditure Categories Total:	37.1	39.5	39.5
Cap Transfer due to Fund Balance	0.0	0.0	0.0
Residual Equity Transfer	0.0	0.0	0.0
Prior Commitments or Obligated Expenditures	0.0	0.0	0.0
Non Appropriated 27th Pay Roll	0.0	0.0	0.0
Non-Appropriated Expenditure Total:	37.1	39.5	39.5
Non-Apppropriated FTE:	0.0	0.0	0.0

Fund Description

OSPB: Revenues consist of fees collected from charter schools and are used to process contract amendments necessary for the charter schools to participate in Arizona Online Instruction.

Sources and Uses of Funds

Agency: State Board for Charter Schools

Fund: CS2568 New Charter Application Processing Fund

Cash Flow Summary	Actual FY 2020	Estimate FY 2021	Estimate FY 2022
Balance Forward from Prior Year	87.3	0.0	26.5
Revenue (From Revenue Schedule)	3.0	72.0	72.0
Total Available	90.3	72.0	98.5
Total Appropriated Disbursements	0.0	0.0	0.0
Total Non-Appropriated Disbursements	90.3	45.5	45.5
Balance Forward to Next Year	0.0	26.5	53.0

Non-Appropriated Expenditure

Expenditure Categories	Actual FY 2020	Estimate FY 2021	Estimate FY 2022
Personal Services	0.0	0.0	0.0
Employee Related Expenses	0.0	0.0	0.0
Prof. And Outside Services	90.3	45.5	45.5
Travel - In State	0.0	0.0	0.0
Travel - Out of State	0.0	0.0	0.0
Food	0.0	0.0	0.0
Aid to Organizations and Individuals	0.0	0.0	0.0
Other Operating Expenses	0.0	0.0	0.0
Equipment	0.0	0.0	0.0
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	0.0	0.0	0.0
Expenditure Categories Total:	90.3	45.5	45.5
Cap Transfer due to Fund Balance	0.0	0.0	0.0
Residual Equity Transfer	0.0	0.0	0.0
Prior Commitments or Obligated Expenditures	0.0	0.0	0.0
Non Appropriated 27th Pay Roll	0.0	0.0	0.0
Non-Appropriated Expenditure Total:	90.3	45.5	45.5
Non-Apppropriated FTE:	0.0	0.0	0.0

Fund Description

OSPB: Revenues consist of fees assessed for the processing of new charter applications. Monies are used for contracted services to review and evaluate new applications.

Funding Issues List

Agency: **State Board for Charter Schools**

Priority	Funding Issue Title	FY 2022 Total FTE	Total Amount	GeneralFund	Other Aprop. Funds	Non-App Funds
1	IT Platform Modernization	0.0	547.3	547.3	0.0	0.0
	Total:	0.0	547.3	547.3	0.0	0.0
	Decision Package Total:	0.0	547.3	547.3	0.0	0.0

Funding Issue Detail

Agency:	**State Board for Charter Schools**

Issue:	**1**	**IT Platform Modernization**

Program:		**State Board for Charter Schools**	**Calculated ERE:**	**$0.00**
Fund:	**AA1000-A**	**General Fund (Appropriated)**	**Uniform Allowance:**	**$0.00**

Expenditure Categories	**FY 2022**
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	0.0
Equipment	547.3
Capital Outlay	0.0
Debt Services	0.0
Cost Allocation	0.0
Transfers	0.0
Program / Fund Total:	547.3

Arizona State Board for Charter Schools

Decision Package

IT Platform Modernization

10 August 2020

MEMORANDUM FROM EXECUTIVE DIRECTOR

Arizona State Board for Charter Schools
P.O. Box 18328, Phoenix, Arizona 85005
Phone: (602) 364-3085
Website: asbcs.az.gov
Facebook: www.facebook.com/asbcsaz
Newsletter: https://asbcs.az.gov/news-event

Date: August 10th, 2020

From: Ashley Berg, Executive Director, Arizona State Board of Charter Schools (ASBCS)

Re: IT Platform Modernization – Budget Request for FY2022

By September 1st, 2020, the Agency is required to submit a budget request for additional appropriation for Fiscal Year (FY) 2022 if funding in excess of FY2021's appropriation is necessary. The Agency has been considering a complete modernization of its IT Platform and has engaged the services of MSS Business Transformation Advisory (MSSBTA) to evaluate its current system, identify requirements for a new system, develop a modernization roadmap, conduct market research, identify potential vendors, solicit cost estimates, and perform a cost-benefit analysis. This work is captured in this Decision Package.

The Board currently utilizes the ASBCS Online solution to support its internal operations, to meet the needs of the charter holders, and to provide information to the public. The ASBCS Online solution was custom-built for the agency and implemented in 2007 and no longer meets the current needs of ASBCS, Charter Holders, or the Public.

The Board is in search of a system that enables processes that are more efficient and effective, while also providing improved communication, transparency, accessibility, navigability, and usability for all stakeholders, including Board staff, charter holders, and the public. To this end, the Board has partnered with MSS Business Transformation Advisory (MSSBTA) to conduct a Needs Assessment and Evaluation of the current ASBCS online platform and a Business Case/Budget Justification for a new online solution.

The replacement solution will enable ASBCS to effectively meet its strategic goals:

- Goal 1: Approve quality applications and grant charters to qualified applicants.
- Goal 2: Increase the quality of the Board's portfolio of charter schools by helping monitor academic performance and fiscal and contractual compliance.
- Goal 3: Enable the Board's mission in providing quality educational choices.

Throughout the duration of this project, Board staff and MSSBTA ensured the Governor's Office of Education, Arizona Office of Strategic Planning and Budgeting (OSPB), and Arizona Strategic Enterprise Technology (ASET) were updated continually on the status of the project and that the Board followed processes as recommended. Additionally, Board staff and MSSBTA spoke with many public and charter stakeholders to gather feedback on what is needed in a new system to address their needs. With the combined input of Board staff, MSSBTA, charter stakeholders, and other state agencies on what the system

should include and the requirements needed, MSSBTA did a thorough market evaluation of available systems and platforms and received non-binding estimates for different online solutions.

This market evaluation informed the Agency's budget request with data points from five potential vendors. Each vendor provided a self-evaluation and a 5-year total cost estimate. The Consultant also set up demos and provided a third-party perspective of each of the Vendor's current capacity to deliver against the Agency's needs. Based on this analysis, the Consultant collaborated with Agency Staff to build a total 5-Year cost estimate which is reflected in the total 5-Year budget request. The total 5-Year budget request for this effort is $1,757,250.00 which includes anticipated software implementation costs, 3rd party oversight costs, annual maintenance costs from the vendor, and a buffer for uncertainty.

Description	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Software and annual maintenance costs	$300,000	$275,000	$275,000	$275,000	$275,000	1,400,000
3rd Party Oversight Costs	$197,500	$0	$0	$0	$0	$197,500
Buffer for Uncertainty (10%)	$49,750	$27,500	$27,500	$27,500	$27,500	$159,750
	$547,250	**$302,500**	**$302,500**	**$302,500**	**$302,500**	**$1,757,250**

The Board respectfully requests appropriation for this important and necessary modernization initiative, more specifically, the Board requests $547,250 in additional general appropriation for FY2022 and then an additional $302,500 each year thereafter.

Sincerely,

Ashley Berg

Executive Director
Arizona State Board for Charter Schools

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EXECUTIVE SUMMARY

PROBLEM DESCRIPTION

The Board currently utilizes the ASBCS Online solution to support its internal operations, to meet the needs of the charter holders, and to provide information to the public. The ASBCS Online solution was custom-built for the agency and implemented in 2007 and does not meet the current needs of ASBCS, Charter Holders, or the Public.

PROPOSED SOLUTION

Ultimately, ASBCS plans to overhaul or replace its current online system in order to meet ASBCS, Charter Holder, and Public needs. ASBCS is looking for a system that provides better functionality, means of communication, transparency, accessibility, navigability, and usability for ASBCS staff, Charter Holders, and Public users.

NEEDS ANALYSIS SUMMARY

ASBCS engaged MSS Business Transformation Advisory (MSSBTA) to conduct a Needs Analysis and Evaluation of its current platform. The Consultant developed a Business Requirements Document by engaging stakeholders including members of the Public, ASBCS Staff, Charter Holders, and other State Agencies. The Consultant captured and mapped 13 processes and 171 requirements that a replacement system would need to address. The Consultant also developed a modernization roadmap to guide the Agency as it moves forward in the process.

GAP ANALYSIS AND IMPACT SUMMARY

Of the 171 Agency requirements identified in the Business Requirements Document, 128 of the requirements were prioritized by Agency Staff as “Must Have”. The current system “fully met” only 16 of these 128 “Must Have” requirements (12.5%). The 122 remaining “Must Have” requirements were either only “partially met” or “not met” by ASBCS Online. Of these 122 requirements, 26 were identified as having a *High Impact* and 79 were identified as having a *Medium Impact*. High Impact was defined as a gap that: 1) creates a legal or regulatory risk, 2) creates a compliance issue with Board Rules, 3) creates a significant inefficiency or time burden on a large percentage of Staff or other stakeholders. To cope with the current system’s limitations, Agency Staff have developed a significant number of workarounds and employ parallel systems that create extra steps and staff inefficiencies. A ground-up conservative estimate of time wasted due to these workarounds was calculated to be at least 3,150 hours of waste annually. This translates to 1.5 full time equivalent (FTE) staff members; with a current Staff size of 14, this is over 10% waste.

More importantly, there are qualitative considerations that must be heavily weighted in making the decision to modernize. These factors are outlined in detail and include:

• Charter Accountability Issues • Transparency Issues • Complaints Responsiveness (Safety & Legal considerations) • Portfolio Compliance Issues	• Increased Operating Costs for Schools • Growing Risk of Catastrophic System Failure • Information Accuracy Issues • School Choice for Parents

INDUSTRY & MARKET RESEARCH SUMMARY

ASBCS further engaged MSSBTA to conduct industry and market research to better understand what options might be available and how much a modernization initiative might cost. Major findings included:

- Texas and Arizona are the largest Charter School Authorizers in the country (portfolio > 550 schools). After Arizona and Texas, there is a significant drop-off in Authorizer size (down to LA Unified School District with 244 schools). There are only 9 total Authorizers in the country with more than 100 schools in their portfolios.
- There are two vendors that currently offer software specifically for the Charter Authorizer Market: 1) Epicenter and 2) Charter-Tools. Both of these software vendors target the bottom tier of Authorizers (those with 15-20 schools).
- The larger Authorizers typically either have a custom solution or choose Epicenter as their governance platform. Like Arizona, Texas has a rapidly aging custom solution. Epicenter's largest customer is SUNY with about 200 schools.

In addition to looking at solutions made specifically for Charter Authorizers, the Consultant identified some other potential Vendors that have existing solutions that could be configured to ASBCS's needs. Five Vendors agreed to participate in this effort. For each, the Consultant set up demos for ASBCS Staff and requested that they respond with a self-evaluation against the requirements and a non-binding 5-year Total Cost of Ownership (TCO) cost estimate. The 5-year TCO cost estimates are summarized here:

Vendor	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Epicenter	$300,000.00	$275,000.00	$275,000.00	$275,000.00	$275,000.00	**$1,400,000.00**
Thoughtspan	$134,000.00	$24,000.00	$24,720.00	$25,462.00	$26,225.00	**$234,407.00**
Charter-Tools	$482,400.00	$496,800.00	$511,200.00	$526,500.00	$541,800.00	**$2,558,700.00**
Cloud Synapse	$1,090,250.00	$148,850.00	$154,000.00	$154,000.00	$179,000.00	**$1,726,100.00**
MST Solutions	$437,070.40	$92,070.40	$92,070.40	$92,070.40	$92,070.40	**$805,352.00**

During the Demo and evaluation process, the solutions of three of these Vendors appeared best positioned in the near-term to deliver against Agency needs: 1) Thoughtspan, 2) MST Solutions, and 3) Epicenter.

OPTIONS ANALYSIS SUMMARY

The State's options include: 1) *Continued Use of ASBCS Online;* 2) A *"Many tools" Approach*; 3) *Building a Custom Solution, and* 4) *Investing in an Already Built System*. The first three options each present a variety of issues further outlined in this document. By *Investing in an Already Built System*, the Agency will best position itself to meet both its current and anticipated future needs.

Based on the analysis of Costs (and Risks) of continued use of ASBCS Online along with the analysis of options and Vendor provided cost estimates, the Agency and the MSSBTA Consultant believes there is significant justification for moving forward with a replacement solution and developing an RFP for the coming budget cycle.

APPROPRIATION REQUESTED

Considering the cost estimates provided by the Vendors and the analysis of the pros and cons of each of the identified Vendors, the Consultant recommends using the 5-year TCO cost estimate provided by Epicenter as the baseline estimate ($1,400,000.0). In addition to this cost baseline, the Consultant recommends including additional money for Vendor Selection, 3rd Party oversight, project management, and data migration assistance. MSSBTA has provided a cost estimate of $197,500.00 for this effort. Finally, it is important to budget for uncertainty. The Consultant recommends a 10% project buffer ($159,750.00) to account for the unknown and unexpected. The total appropriation requested is $1,757,250.00. More specifically, the Board requests $547,250 in additional general appropriation for FY2022 and then an additional $302,500 thereafter.

Description	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Software and annual maintenance costs	$300,000	$275,000	$275,000	$275,000	$275,000	1,400,000
3rd Party Oversight Costs	$197,500	$0	$0	$0	$0	$197,500
Buffer for Uncertainty (10%)	$49,750	$27,500	$27,500	$27,500	$27,500	$159,750
	$547,250	**$302,500**	**$302,500**	**$302,500**	**$302,500**	**$1,757,250**

SECTION A: AGENCY REQUIREMENTS DOCUMENTATION

This section explores Agency Requirements. It incorporates the Business Requirements Document developed during the Needs Assessment and Online Platform Evaluation Project.

BUSINESS REQUIREMENTS DOCUMENT (BRD)

Arizona State Board for Charter Schools

Online Platform Replacement

Business Requirements

Version 1.0

19 June 2020

MSS Business Transformation Advisory

MSS Business Transformation Advisory
7250 N. 16th Street, Suite 310
Phoenix, AZ 85020
602-387-2100
www.mssbta.com

Introduction

The Arizona State Board for Charter Schools (ASBCS), created in 1994 through legislation, is a charter authorizer responsible for overseeing public charter schools that operate under a contract with the Board (also refers to ASBCS). The Board currently oversees approximately 550 charter schools and is the largest charter school authorizer in Arizona and one of the nation's largest independent state authorizers. The Board's stated mission is to "Improve public education in Arizona by sponsoring charter schools that provide quality educational choices".

The Board currently utilizes the *ASBCS Online* solution to support its internal operations, to meet the needs of the charter holders, and to provide information to the public. The *ASBCS Online* solution was custom-built for the agency and implemented in 2007. It is unable to meet the current needs of ASBCS, Charter Holders, or the Public.

The Board is in search of a system that enables processes that are more efficient and effective, while also providing improved communication, transparency, accessibility, navigability, and usability for all stakeholders, including Staff, Charter holders, and the Public.

The replacement solution will enable ASBCS to effectively meet its strategic goals:

- **Goal 1**: Approve quality applications and grant charters to qualified applicants.
- **Goal 2**: Increase the quality of the Board's portfolio of charter schools by helping monitor academic performance and fiscal and contractual compliance.
- **Goal 3**: Enable the Board's mission in providing quality educational choices.

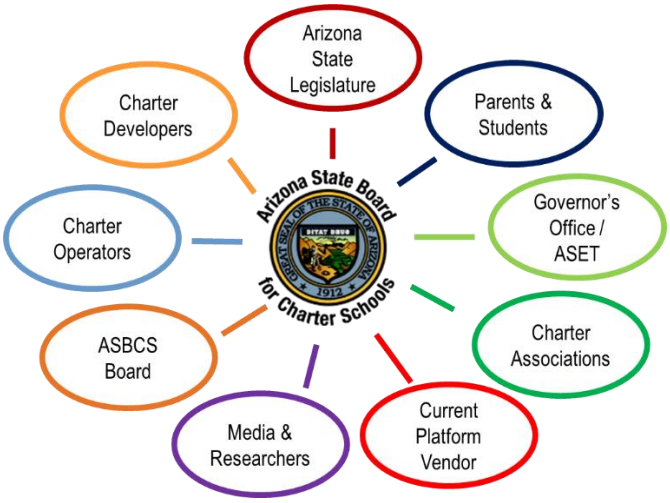
The purpose of this document is to record stakeholder validated business requirements accurately and unambiguously, in a format that is easily consumable for future analysis, design, and development activities. It provides the foundation by which the Board will assess the suitability of potential replacement solutions.

Requirements Gathering Process

This section explains the framework used to gather requirements for the new online platform.

Stakeholders

There are several groups of users (see illustration below), who are directly or indirectly impacted by the implementation of a new online solution. Various elicitation techniques were employed to ensure comprehensive requirements collection, validation, and prioritization.



While each stakeholder is unique in their needs, the critical stakeholders are:

- **ASBCS Staff & Board**, who are tasked with ensuring the Board functions as detailed in the Statutes, Rules, Policies, and Frameworks established by the Arizona State legislature and its own board members.
- **Charter Holders (Operators/Developers) & Charter Schools**, who need to ensure that they are compliant with the terms of their charter contract and the Board's financial, operational, and academic performance frameworks.
- **Public**, who should be able to search for the best charter schools that fit their needs, and have access to all information that pertains to a charter contract and the Board's oversight, responsibilities, and decisions as they pertain to each charter.

The requirements presented in this document are comprehensive and cover the needs of all stakeholders, including the three described above.

Elicitation Techniques Employed

Perspective	Stakeholder Group	Elicitation Technique
Project Sponsor	Project Sponsor	Structured Interview
ASBCS Staff	Complaints Management	Structured Interview, Document Review
	Audits	Structured Interview, Document Review
	New Charter and Replication Applications	Structured Interview, Document Review
	Renewals, Interval Reviews, Site Visits	Structured Interview, Document Review
	Academic Interventions	Structured Interview, Document Review
	Amendments	Structured Interview, Document Review
	All ASBCS Staff	Staff Survey
Charter Holders	Large charter operator	Structured Interview
	Medium charter operator	Structured Interview
	Small charter operator	Structured Interview
Public & Legislative	Charter School Association	Structured Interview
	ASBCS Board President	Structured Interview
	Lobbyist, Previous Board President	Structured Interview
Other Agencies	Arizona State Retirement System (ASRS)	Structured Interview
	Governor's Office of Strategic Planning & Budgeting (OSPB)	Structured Interview
	Arizona Department of Education (ADE)	Structured Interview
	ADOA-ASET	Structured Interview
	Office of the State Treasurer	Structured Interview

Business Requirements

This section presents the requirements collected and defines the terms used to categorize and prioritize them.

Definitions

Requirement Category

Requirement Type	Description
Business Requirements	• Statements of the goals, objectives, or needs of the enterprise • Focus on the needs of the organization, not individual stakeholders
Stakeholder Requirements	• Needs of a stakeholder or class of stakeholders • Serve as a bridge between business requirements and the functional and non-functional requirements
Functional Requirements	• Expected capabilities, features, and operations of the system
Non-Functional Requirements	• Describe qualities that the system must have, or conditions under which the solution must remain effective • Usually include requirements related to: • Look & Feel, Usability, Capacity, Speed, Security, Availability, Maintainability & Support • Often represent constraints on the ultimate solution • Less negotiable than functional requirements
Transition Requirements	• Capabilities that the solution must have, to facilitate transition from the current state to a future state • Will not be needed once the transition is complete

Requirement Priority

Requirements have been grouped into 3 priority levels, based on each requirement's relative importance to project success. The 3 priority levels are:

- "Must Have" – vital function
- "Should Have" – important, but solution can function with work-arounds
- "Nice to Have" – will be included if budget allows

Core Business Processes

The replacement platform must operationalize, in the most effective manner, the 13 primary business processes listed below, that the Board staff conducts in the course of their daily job responsibilities. Process maps that depict the actions of individual stakeholders in each process are included in Appendix A.

1. New Charter Application
2. Amendment
3. Interval Review
4. Renewal
5. ASR Site Visit
6. Targeted Site Visit
7. Charter Replication
8. Annual Audit
9. Financial Intervention
10. Academic Intervention
11. Corrective Action Plan
12. Complaints Management
13. Operational Noncompliance

Stakeholder, Functional, Non-Functional and Transition Requirements

In addition to the core business processes above, the replacement solution must also fulfill the requirements as captured in the Excel spreadsheet in Appendix B.

Other considerations

While most of the following requirements are included in the sections above, the replacement system should meet the following key requirements.

- ✓ Enhanced Transparency of the charter portfolio, charter accountability, and charter information
- ✓ A user-friendly interface and navigation (minimize clicks)
- ✓ Effective communication tools for all users
- ✓ Easier accessibility for all users
- ✓ Ability for Board staff to run needed reports
- ✓ Better search tool for public users
- ✓ Ability to track staff calendars and schedule charter holders for scheduled reviews and renewals based upon start date of operation
- ✓ Provide timely automatic alerts to ASBCS users and charter holders
- ✓ Ability to track general compliance and follow-up, and alert for problems (late submissions, missing data, cumulative problems/complaints)
- ✓ Ability to adjust and add to the workflows as needed

APPENDIX A – PROCESS MAPS

Arizona State Board for Charter Schools

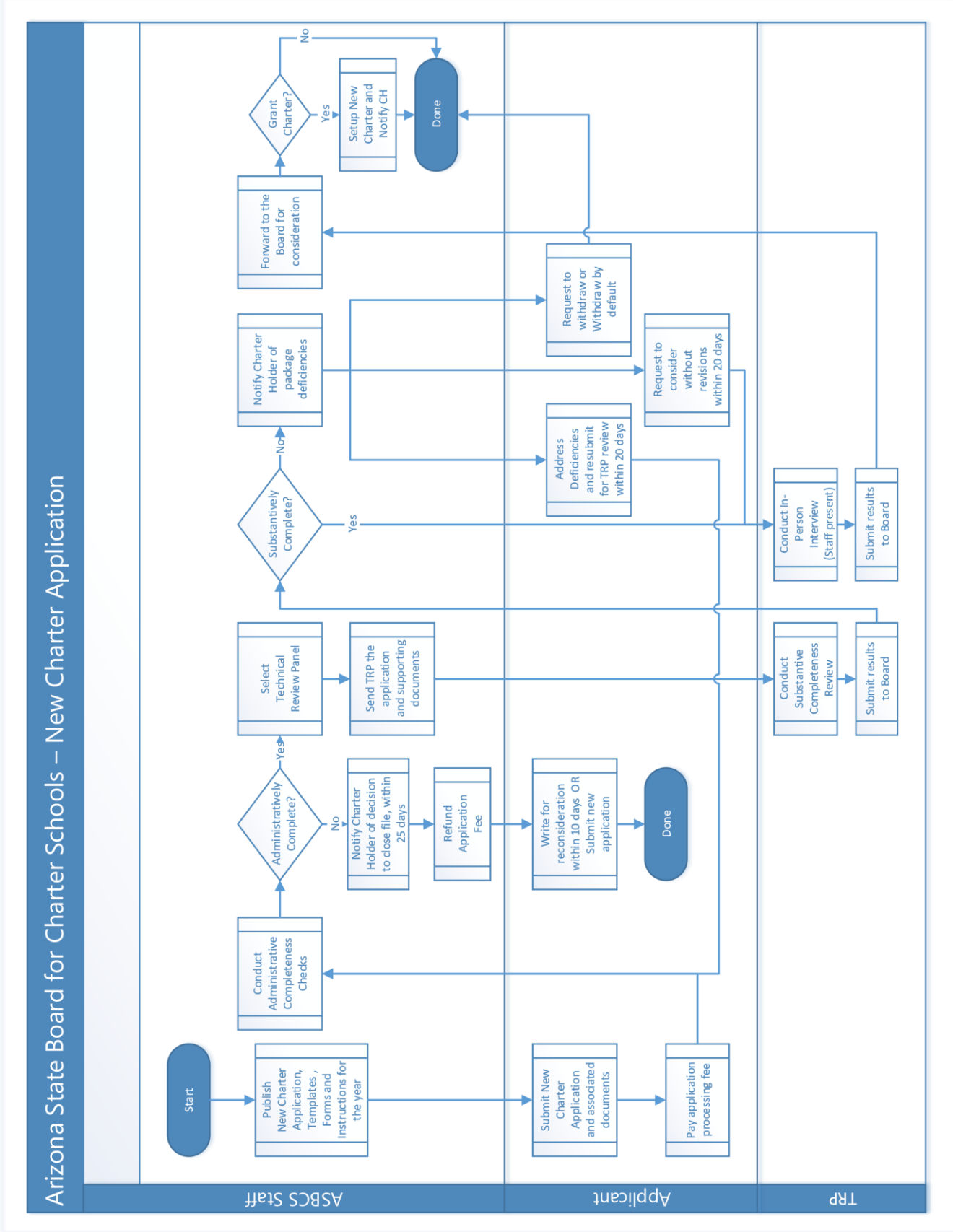
Online Platform Replacement

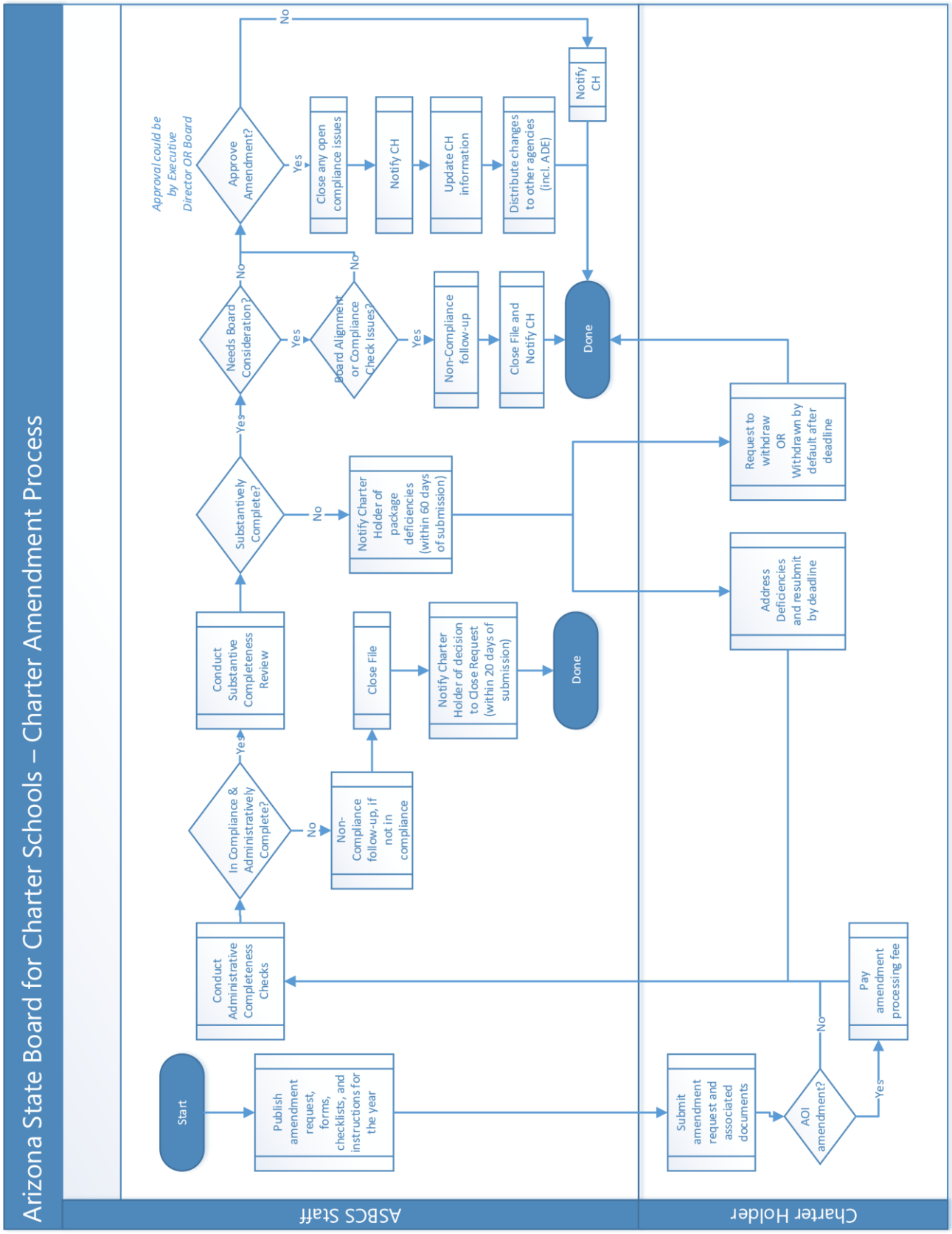
Business Requirements

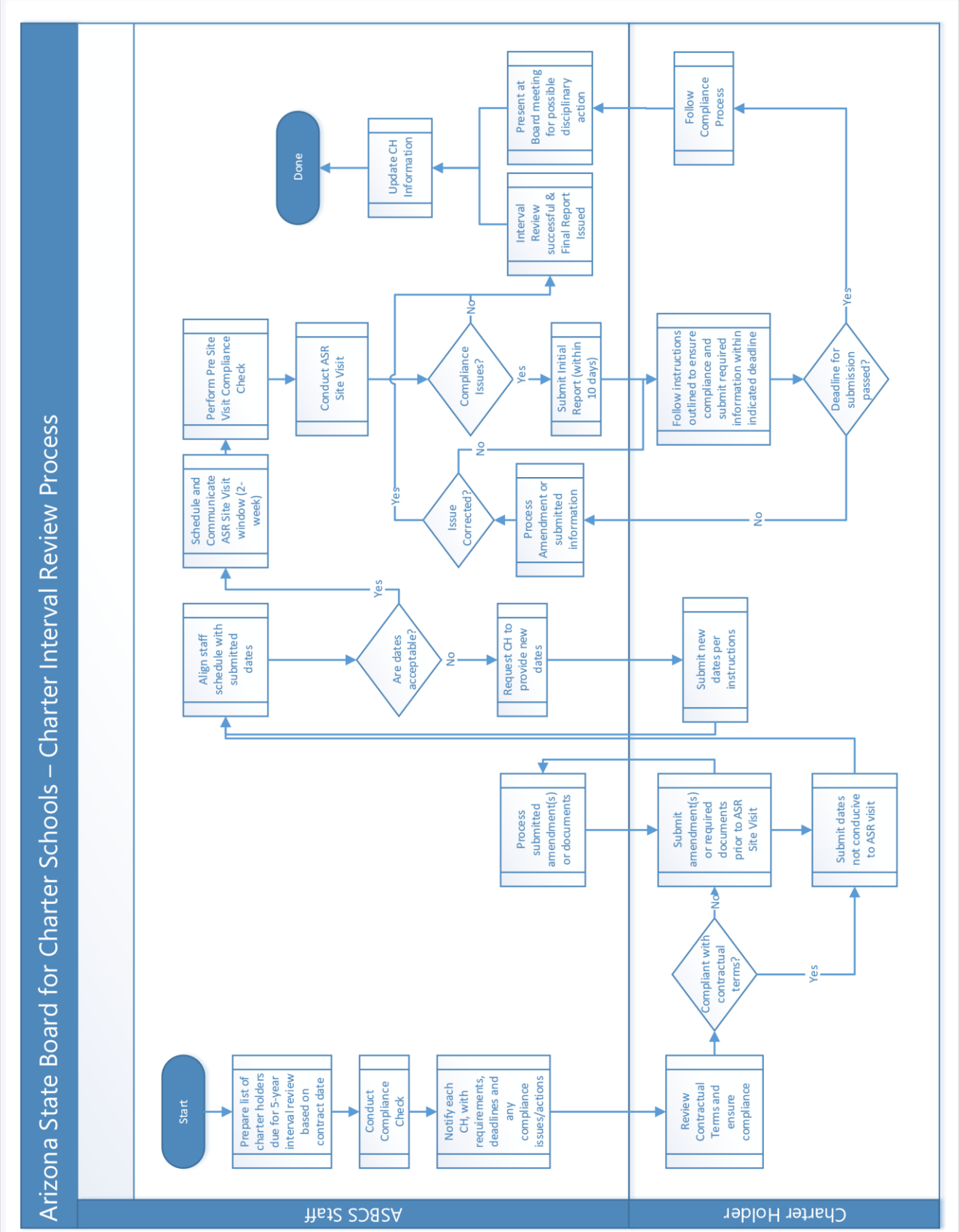
Appendix A: Core Business Process Maps

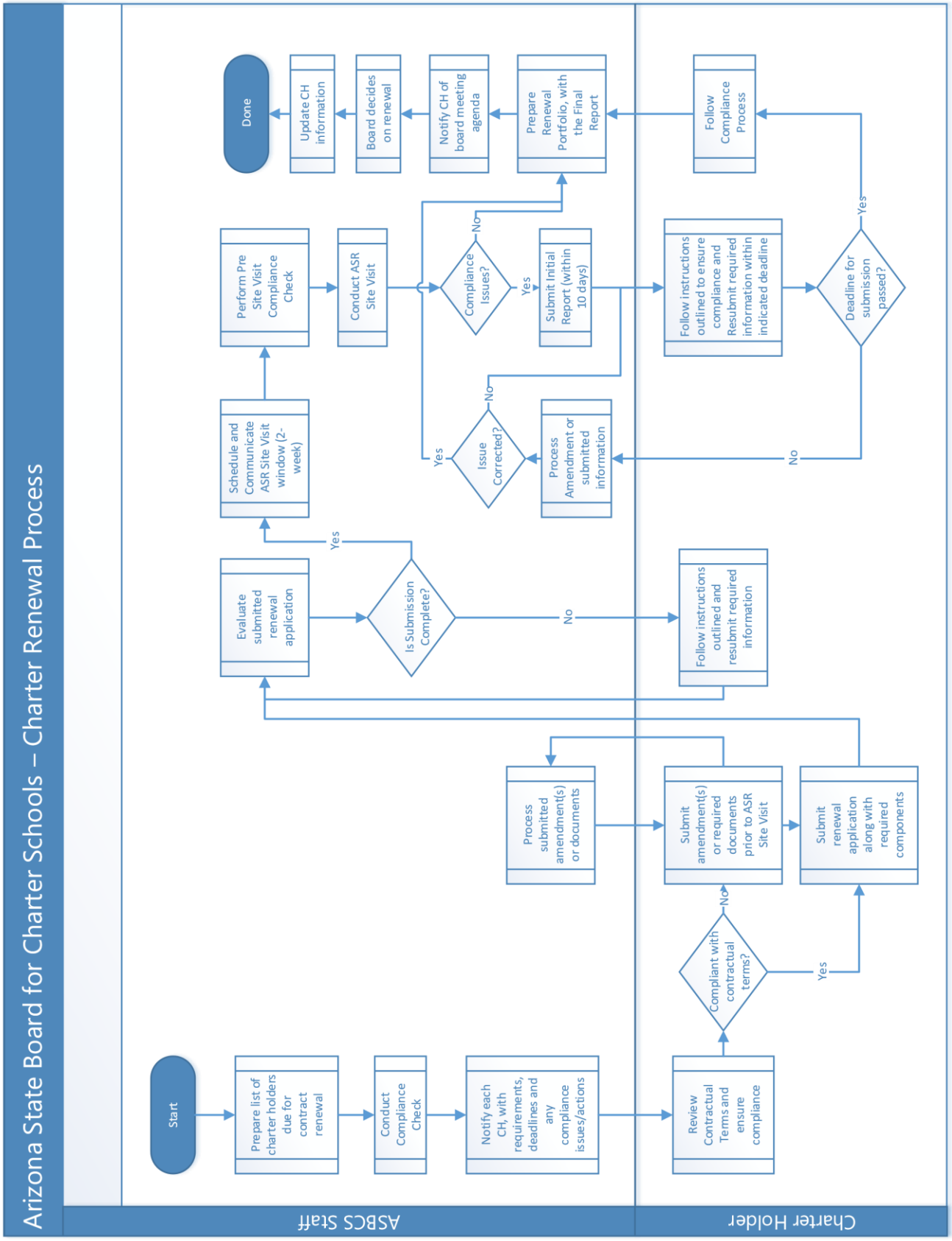
Version 1.0

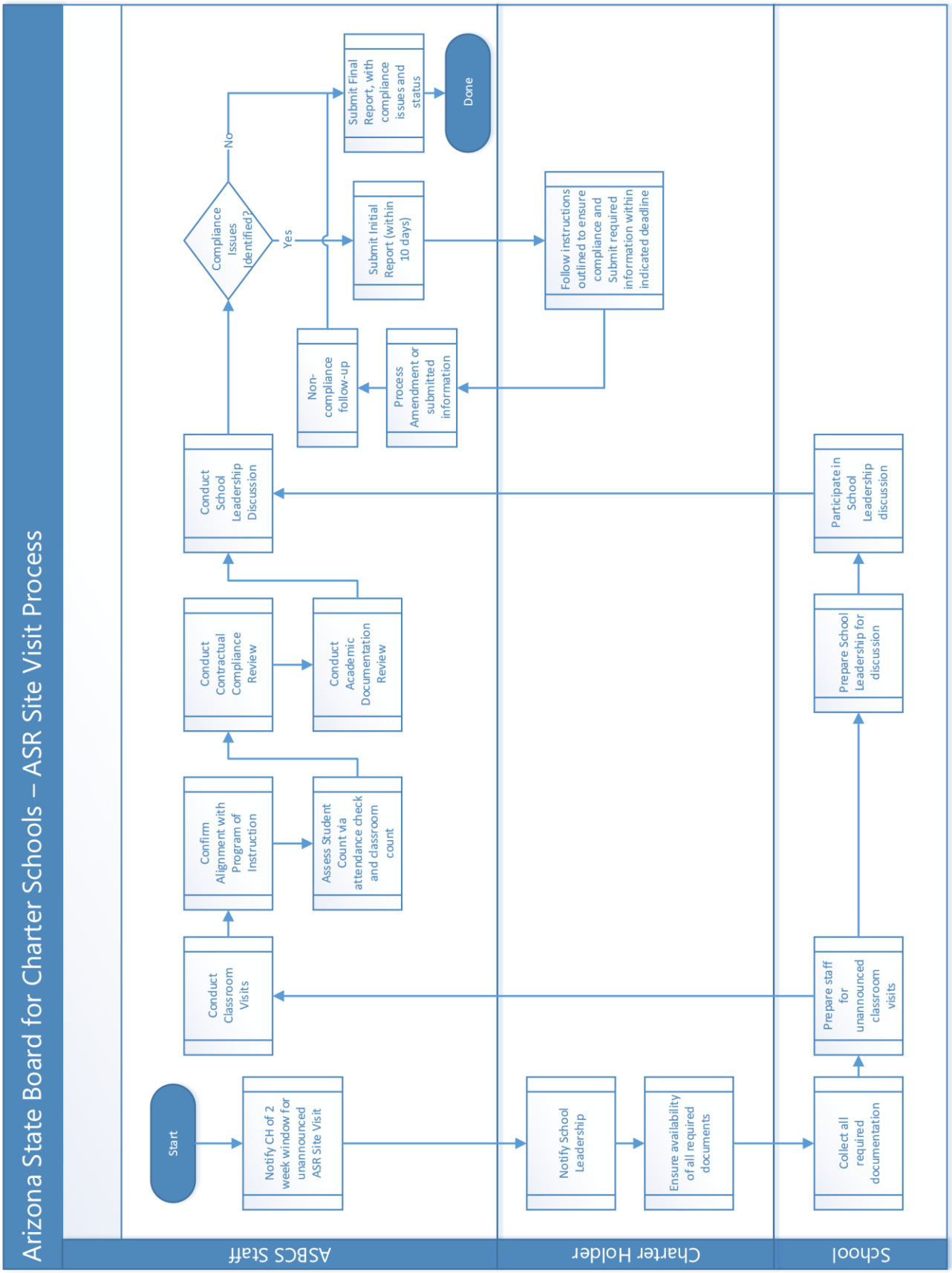
19 June 2020

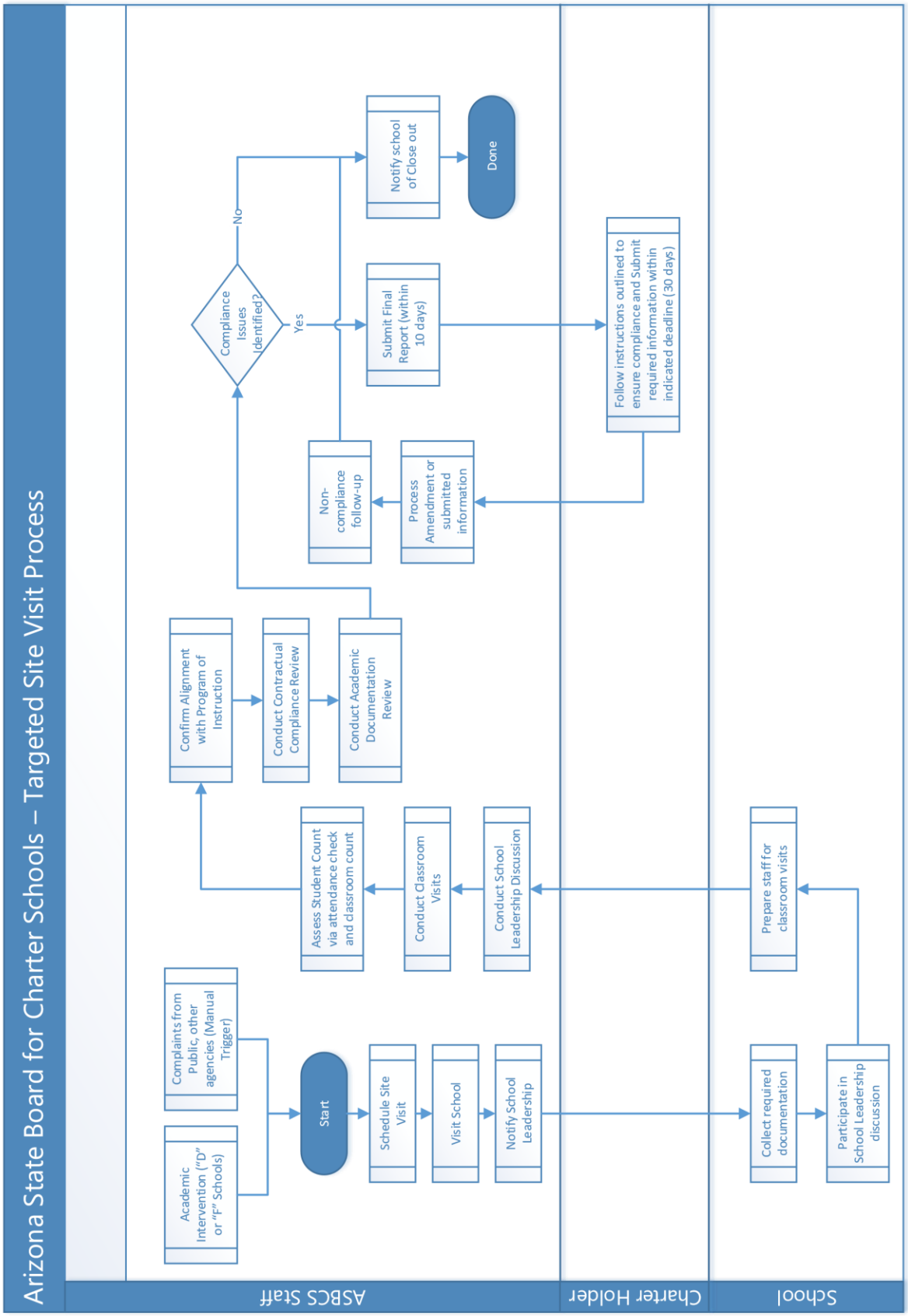

Arizona State Board for Charter Schools – New Charter Application
ASBCS Staff
Applicant
TRP
Start
Publish New Charter Application, Templates , Forms and Instructions for the year
Conduct Administrative Completeness Checks
Administratively Complete?
Yes
No
Notify Charter Holder of decision to close file, within 25 days
Refund Application Fee
Select Technical Review Panel
Send TRP the application and supporting documents
Substantively Complete?
No
Yes
Notify Charter Holder of package deficiencies
Forward to the Board for consideration
Grant Charter?
Yes
No
Setup New Charter and Notify CH
Done
Submit New Charter Application and associated documents
Pay application processing fee
Write for reconsideration within 10 days OR Submit new application
Done
Request to withdraw or Withdraw by default
Address Deficiencies and resubmit for TRP review within 20 days
Request to consider without revisions within 20 days
Conduct Substantive Completeness Review
Submit results to Board
Conduct In-Person Interview (Staff present)
Submit results to Board

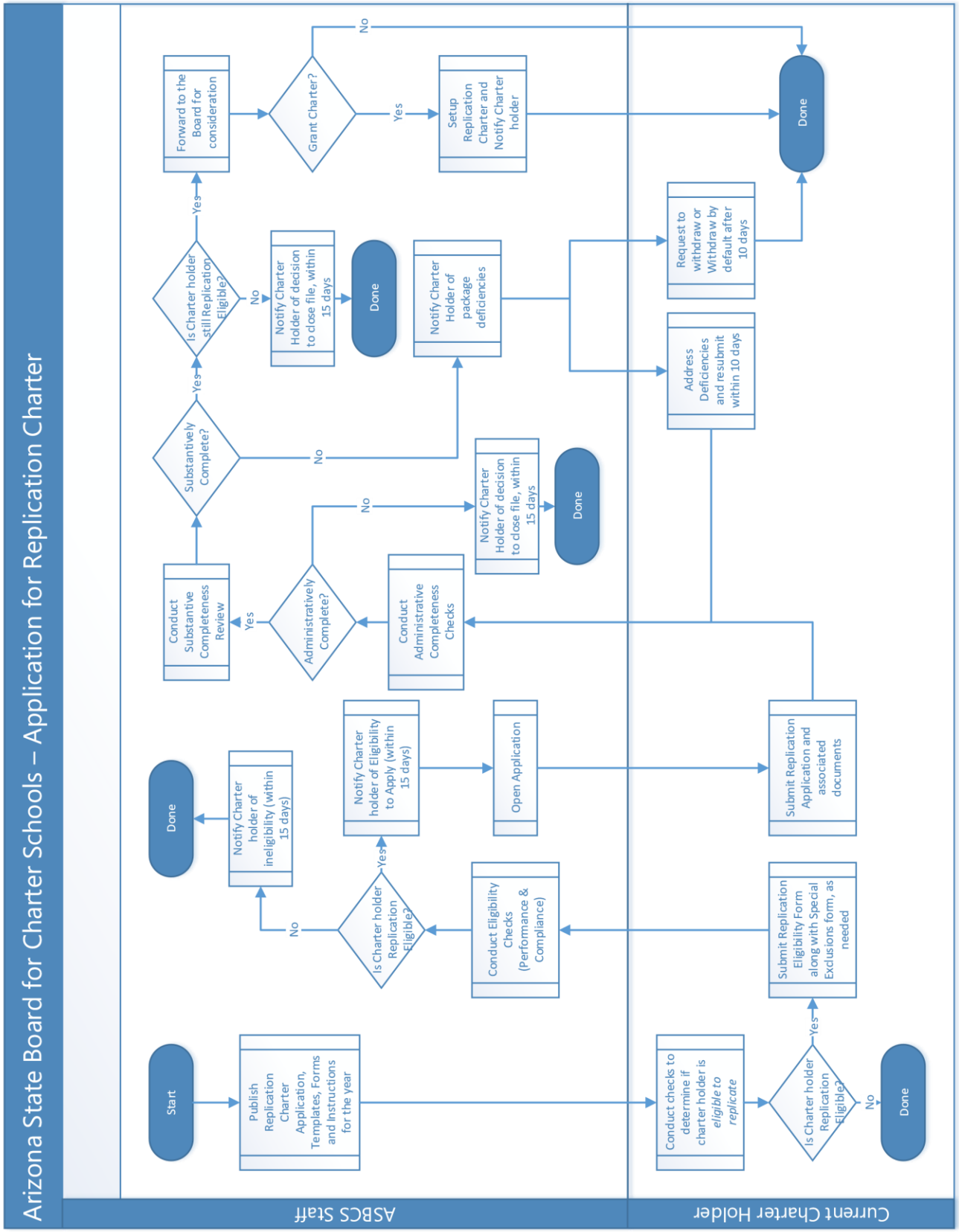

Arizona State Board for Charter Schools – Charter Amendment Process
ASBCS Staff
Charter Holder
Start
Publish amendment request, forms, checklists, and instructions for the year
Conduct Administrative Completeness Checks
In Compliance & Administratively Complete?
Yes
No
Non-Compliance follow-up, if not in compliance
Close File
Notify Charter Holder of decision to Close Request (within 20 days of submission)
Done
Conduct Substantive Completeness Review
Substantively Complete?
Yes
No
Notify Charter Holder of package deficiencies (within 60 days of submission)
Needs Board Consideration?
Yes
No
Board Alignment or Compliance Check Issues?
Yes
No
Non-Compliance follow-up
Close File and Notify CH
Approval could be by Executive Director OR Board
Approve Amendment?
Yes
No
Close any open compliance issues
Notify CH
Update CH information
Distribute changes to other agencies (incl. ADE)
Notify CH
Submit amendment request and associated documents
AOI amendment?
Yes
No
Pay amendment processing fee
Address Deficiencies and resubmit by deadline
Request to withdraw OR Withdrawn by default after deadline

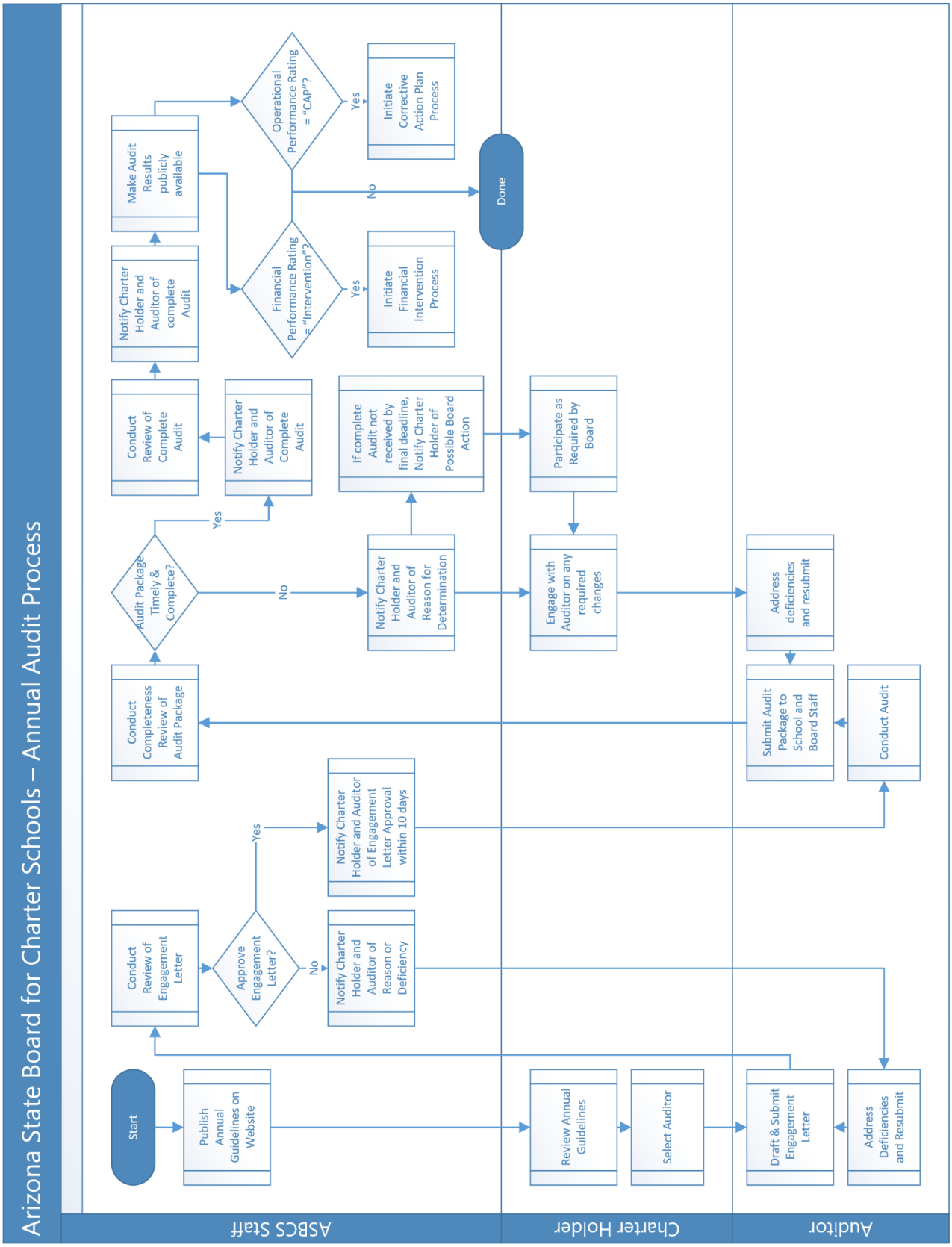

Arizona State Board for Charter Schools – Charter Interval Review Process
ASBCS Staff
Charter Holder
Start
Prepare list of charter holders due for 5-year interval review based on contract date
Conduct Compliance Check
Notify each CH, with requirements, deadlines and any compliance issues/actions
Review Contractual Terms and ensure compliance
Compliant with contractual terms?
No
Yes
Submit amendment(s) or required documents prior to ASR Site Visit
Submit dates not conducive to ASR visit
Align staff schedule with submitted dates
Are dates acceptable?
Yes
No
Request CH to provide new dates
Submit new dates per instructions
Schedule and Communicate ASR Site Visit window (2-week)
Perform Pre Site Visit Compliance Check
Conduct ASR Site Visit
Compliance Issues?
No
Yes
Submit Initial Report (within 10 days)
Follow instructions outlined to ensure compliance and submit required information within indicated deadline
Deadline for submission passed?
Yes
No
Process Amendment or submitted information
Issue Corrected?
Yes
No
Process submitted amendment(s) or documents
Interval Review successful & Final Report Issued
Present at Board meeting for possible disciplinary action
Follow Compliance Process
Update CH Information
Done

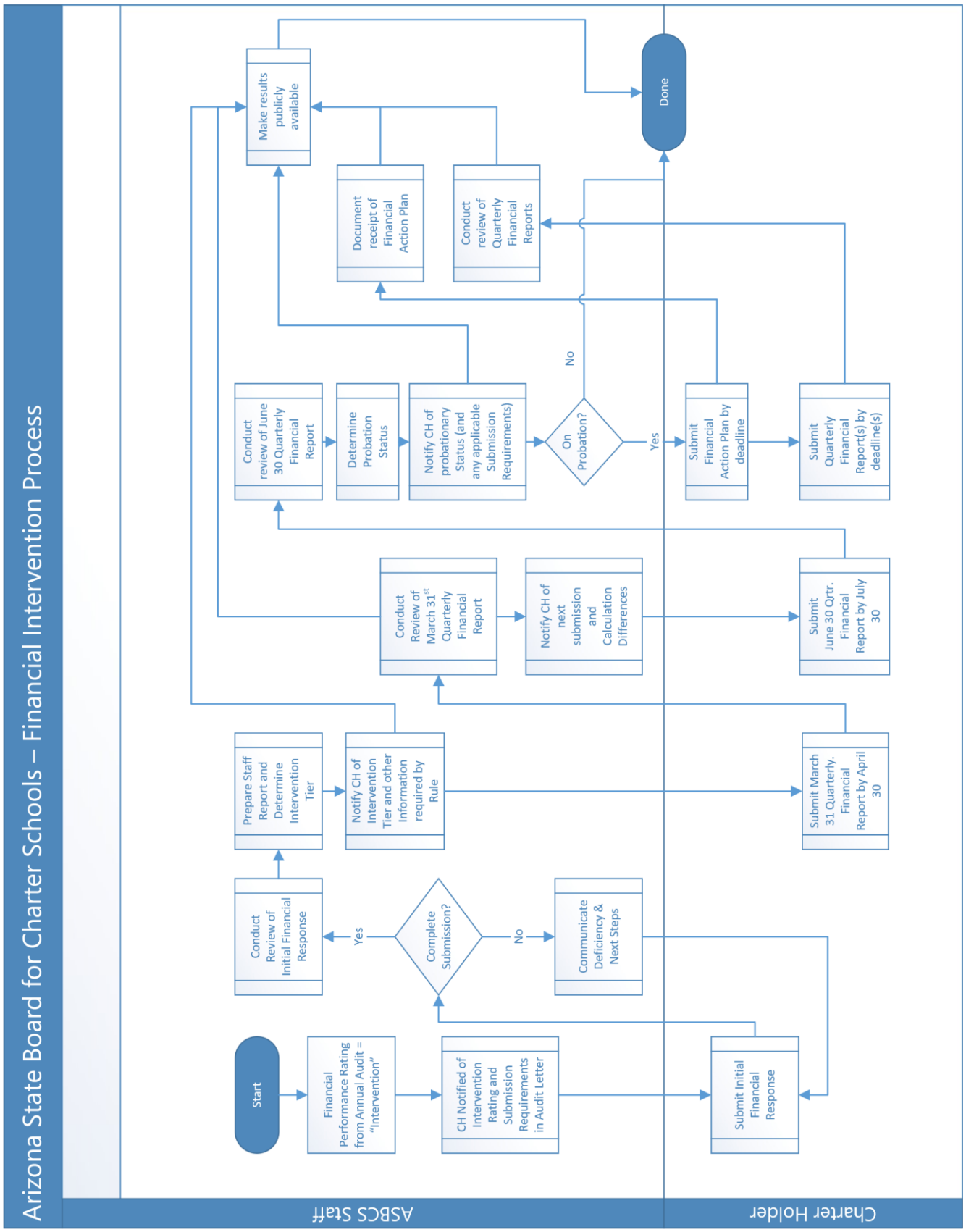

Arizona State Board for Charter Schools – Charter Renewal Process
ASBCS Staff
Charter Holder
Start
Prepare list of charter holders due for contract renewal
Conduct Compliance Check
Notify each CH, with requirements, deadlines and any compliance issues/actions
Review Contractual Terms and ensure compliance
Compliant with contractual terms?
No
Yes
Submit amendment(s) or required documents prior to ASR Site Visit
Submit renewal application along with required components
Process submitted amendment(s) or documents
Evaluate submitted renewal application
Is Submission Complete?
Yes
No
Schedule and Communicate ASR Site Visit window (2-week)
Follow instructions outlined and resubmit required information
Perform Pre Site Visit Compliance Check
Conduct ASR Site Visit
Compliance Issues?
No
Yes
Submit Initial Report (within 10 days)
Issue Corrected?
No
Yes
Process Amendment or submitted information
Follow instructions outlined to ensure compliance and Resubmit required information within indicated deadline
Deadline for submission passed?
Yes
No
Follow Compliance Process
Prepare Renewal Portfolio, with the Final Report
Notify CH of board meeting agenda
Board decides on renewal
Update CH information
Done

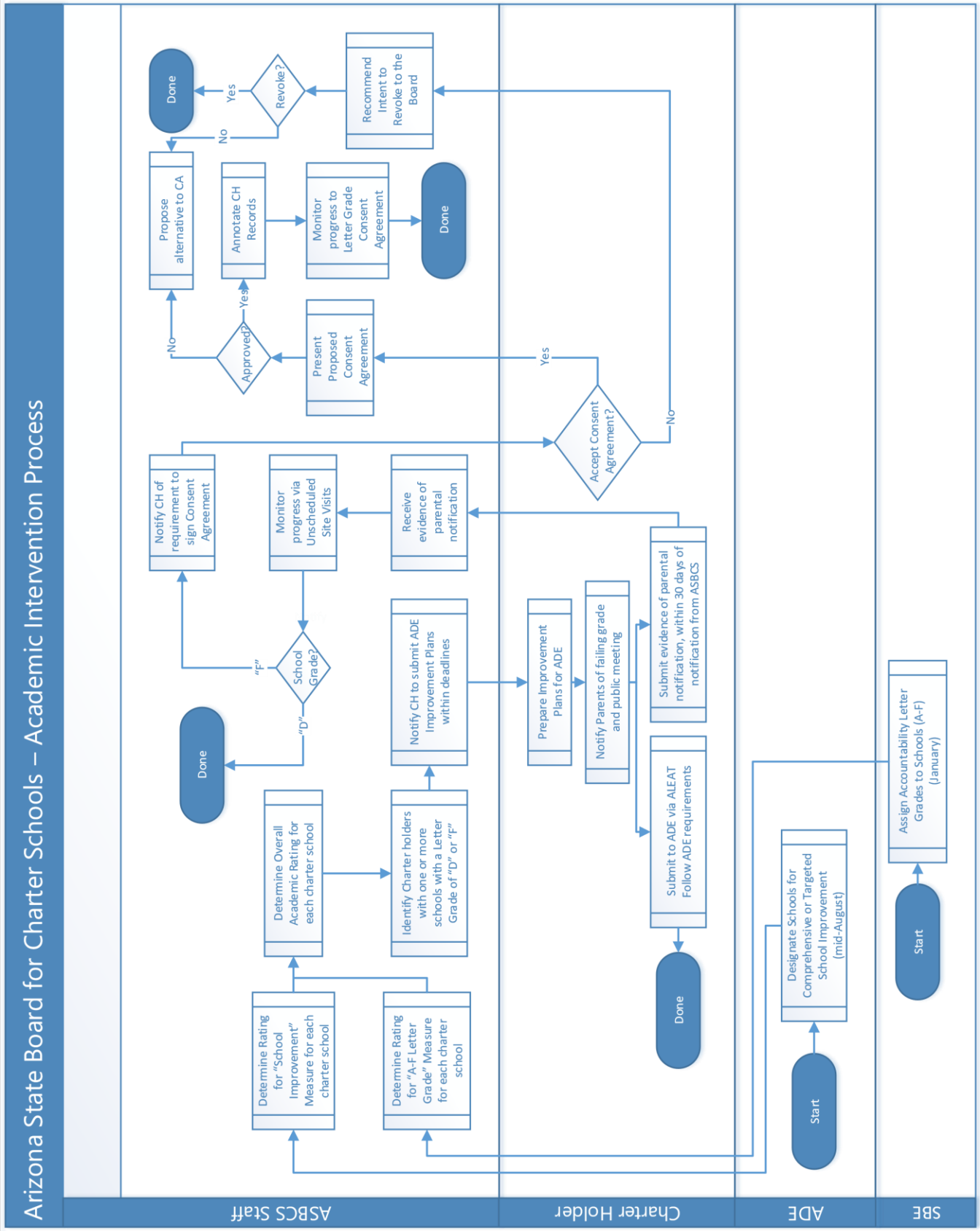

Arizona State Board for Charter Schools – ASR Site Visit Process
ASBCS Staff
Charter Holder
School
Start
Notify CH of 2 week window for unannounced ASR Site Visit
Notify School Leadership
Ensure availability of all required documents
Collect all required documentation
Prepare staff for unannounced classroom visits
Prepare School Leadership for discussion
Participate in School Leadership discussion
Conduct Classroom Visits
Confirm Alignment with Program of Instruction
Assess Student Count via attendance check and classroom count
Conduct Contractual Compliance Review
Conduct Academic Documentation Review
Conduct School Leadership Discussion
Compliance Issues Identified?
No
Yes
Submit Final Report, with compliance issues and status
Done
Submit Initial Report (within 10 days)
Follow instructions outlined to ensure compliance and Submit required information within indicated deadline
Non-compliance follow-up
Process Amendment or submitted information

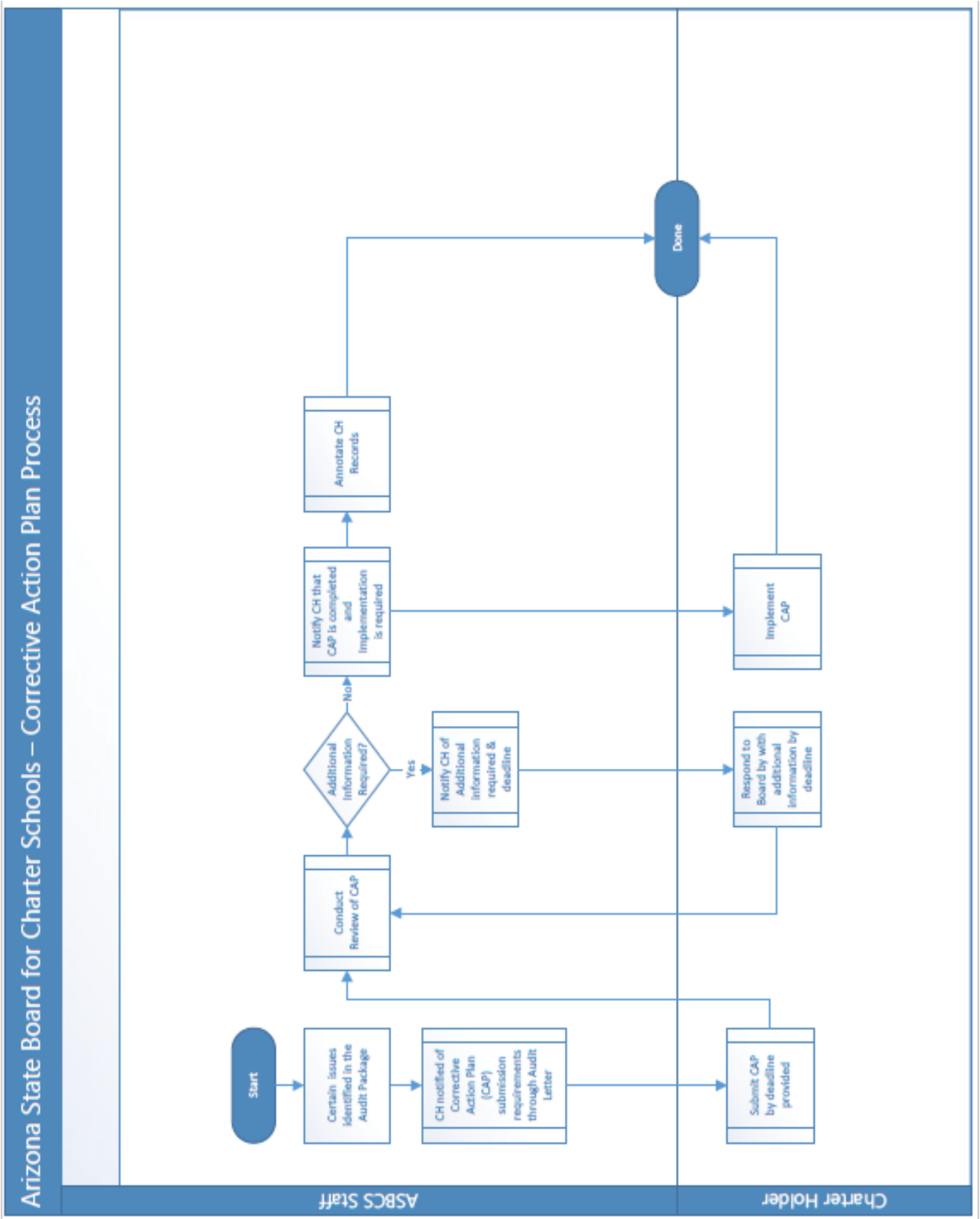

Arizona State Board for Charter Schools – Targeted Site Visit Process
ASBCS Staff
Charter Holder
School
Academic Intervention ("D" or "F" Schools)
Complaints from Public, other agencies (Manual Trigger)
Start
Schedule Site Visit
Visit School
Notify School Leadership
Assess Student Count via attendance check and classroom count
Conduct Classroom Visits
Conduct School Leadership Discussion
Confirm Alignment with Program of Instruction
Conduct Contractual Compliance Review
Conduct Academic Documentation Review
Non-compliance follow-up
Process Amendment or submitted information
Compliance Issues Identified?
Yes
No
Submit Final Report (within 10 days)
Notify school of Close out
Done
Follow instructions outlined to ensure compliance and Submit required information within indicated deadline (30 days)
Collect required documentation
Participate in School Leadership discussion
Prepare staff for classroom visits

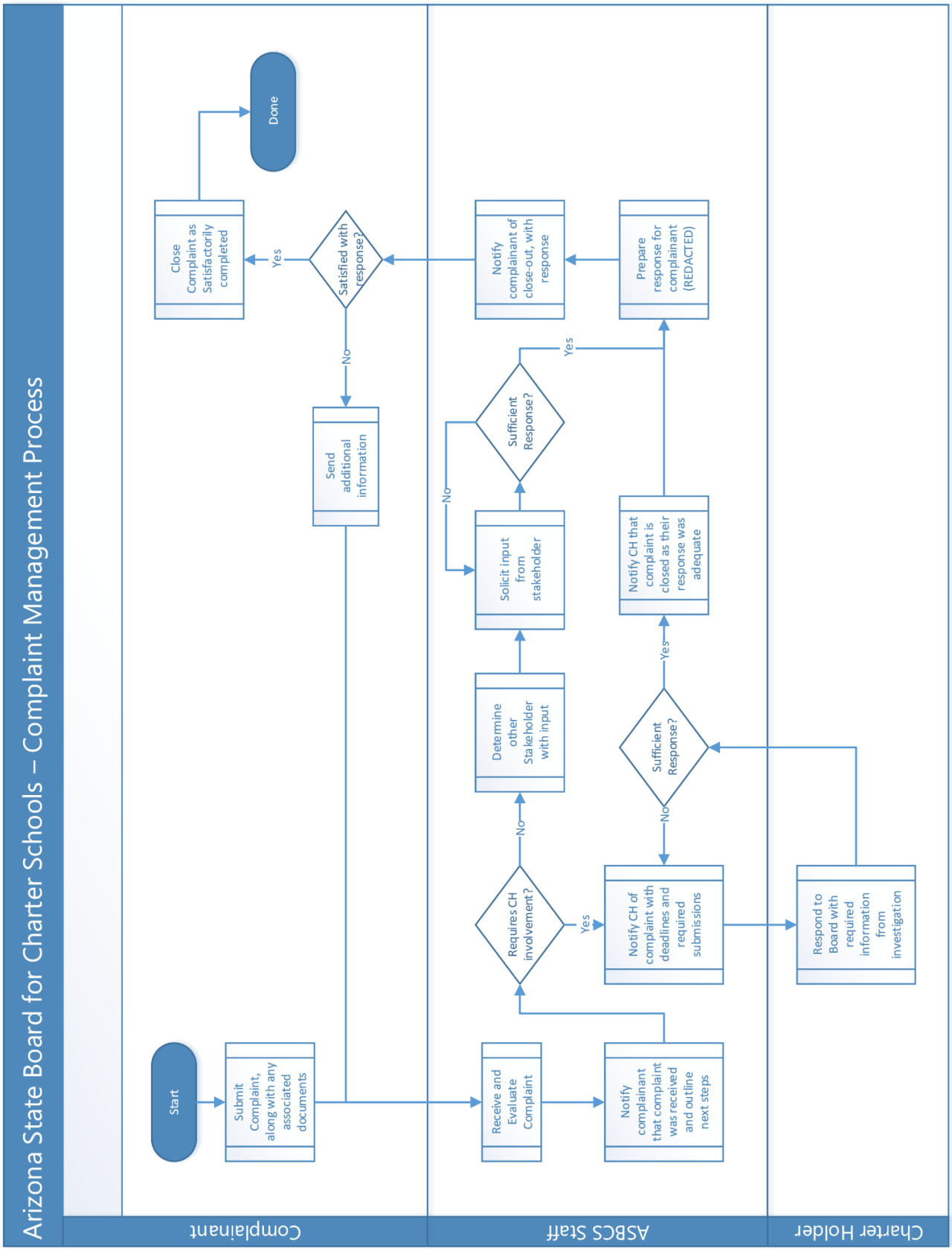

Arizona State Board for Charter Schools – Application for Replication Charter
ASBCS Staff
Current Charter Holder
Start
Publish Replication Charter Application, Templates, Forms and Instructions for the year
Conduct checks to determine if charter holder is *eligible to replicate*
Is Charter holder Replication Eligible?
No
Done
Yes
Submit Replication Eligibility Form along with Special Exclusions form, as needed
Conduct Eligibility Checks (Performance & Compliance)
Is Charter holder Replication Eligible?
No
Notify Charter holder of ineligibility (within 15 days)
Done
Yes
Notify Charter holder of Eligibility to Apply (within 15 days)
Open Application
Submit Replication Application and associated documents
Conduct Administrative Completeness Checks
Administratively Complete?
No
Notify Charter Holder of decision to close file, within 15 days
Done
Yes
Conduct Substantive Completeness Review
Substantively Complete?
No
Notify Charter Holder of package deficiencies
Address Deficiencies and resubmit within 10 days
Request to withdraw or Withdraw by default after 10 days
Done
Yes
Is Charter holder still Replication Eligible?
No
Notify Charter Holder of decision to close file, within 15 days
Done
Yes
Forward to the Board for consideration
Grant Charter?
No
Yes
Setup Replication Charter and Notify Charter holder
Done

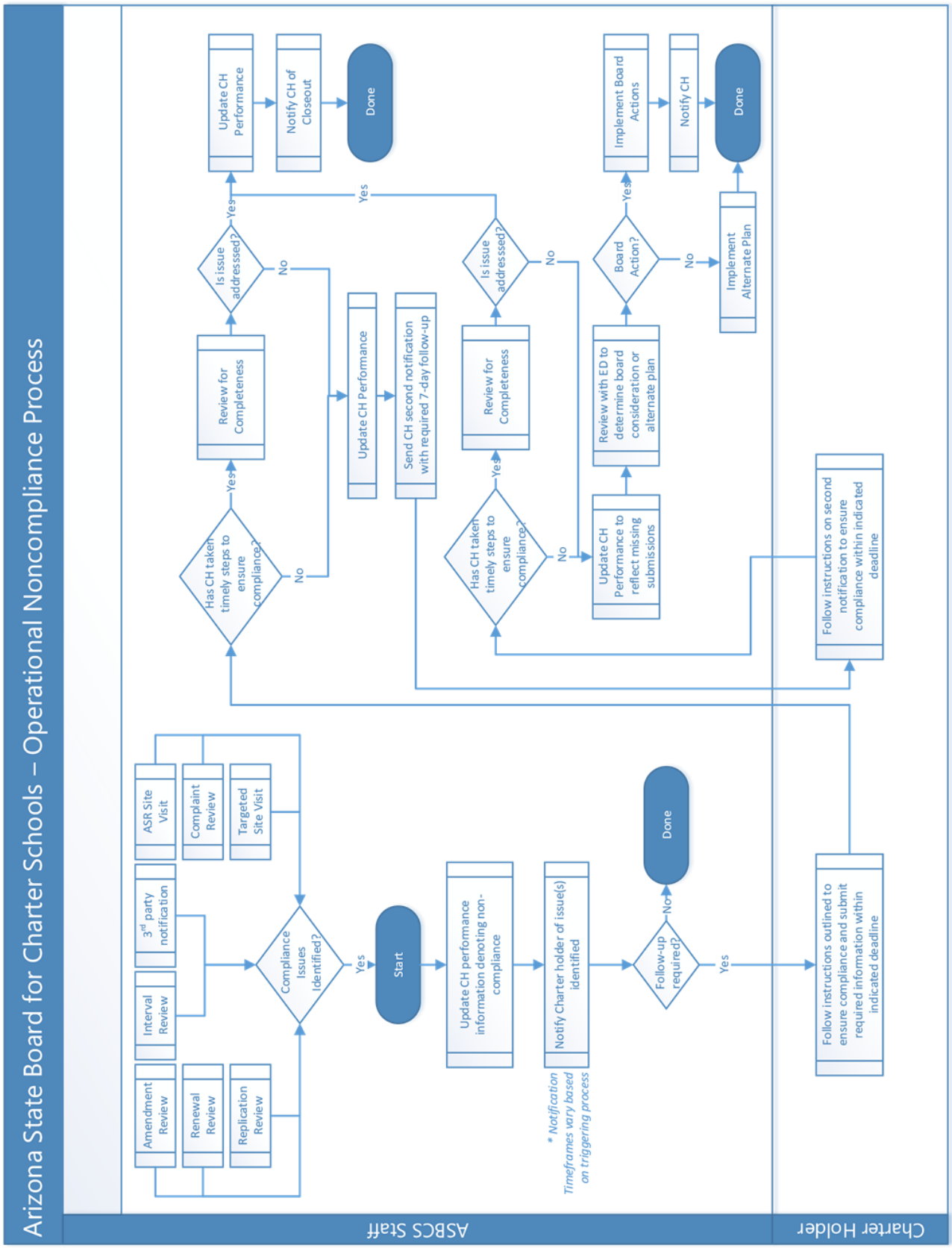

Arizona State Board for Charter Schools – Annual Audit Process
ASBCS Staff
Charter Holder
Auditor
Start
Publish Annual Guidelines on Website
Review Annual Guidelines
Select Auditor
Draft & Submit Engagement Letter
Address Deficiencies and Resubmit
Conduct Review of Engagement Letter
Approve Engagement Letter?
Yes
No
Notify Charter Holder and Auditor of Engagement Letter Approval within 10 days
Notify Charter Holder and Auditor of Reason or Deficiency
Conduct Completeness Review of Audit Package
Audit Package Timely & Complete?
Yes
No
Notify Charter Holder and Auditor of Complete Audit
Notify Charter Holder and Auditor of Reason for Determination
If complete Audit not received by final deadline, Notify Charter Holder of Possible Board Action
Engage with Auditor on any required changes
Participate as Required by Board
Address deficiencies and resubmit
Submit Audit Package to School and Board Staff
Conduct Audit
Conduct Review of Complete Audit
Notify Charter Holder and Auditor of complete Audit
Make Audit Results publicly available
Financial Performance Rating = "Intervention"?
Yes
No
Initiate Financial Intervention Process
Operational Performance Rating = "CAP"?
Yes
No
Initiate Corrective Action Plan Process
Done


Arizona State Board for Charter Schools – Financial Intervention Process
ASBCS Staff
Charter Holder
Start
Financial Performance Rating from Annual Audit = "Intervention"
CH Notified of Intervention Rating and Submission Requirements in Audit Letter
Submit Initial Financial Response
Complete Submission?
Yes
No
Communicate Deficiency & Next Steps
Conduct Review of Initial Financial Response
Prepare Staff Report and Determine Intervention Tier
Notify CH of Intervention Tier and other Information required by Rule
Submit March 31 Quarterly. Financial Report by April 30
Conduct Review of March 31st Quarterly Financial Report
Notify CH of next submission and Calculation Differences
Submit June 30 Qrtr. Financial Report by July 30
Conduct review of June 30 Quarterly Financial Report
Determine Probation Status
Notify CH of probationary Status (and any applicable Submission Requirements)
On Probation?
No
Yes
Submit Financial Action Plan by deadline
Submit Quarterly Financial Report(s) by deadline(s)
Document receipt of Financial Action Plan
Conduct review of Quarterly Financial Reports
Make results publicly available
Done


Arizona State Board for Charter Schools – Academic Intervention Process
ASBCS Staff
Charter Holder
ADE
SBE
Start
Assign Accountability Letter Grades to Schools (A-F) (January)
Start
Designate Schools for Comprehensive or Targeted School Improvement (mid-August)
Submit to ADE via ALEAT Follow ADE requirements
Done
Submit evidence of parental notification, within 30 days of notification from ASBCS
Notify Parents of failing grade and public meeting
Prepare Improvement Plans for ADE
Accept Consent Agreement?
Yes
No
Recommend Intent to Revoke to the Board
Revoke?
Yes
No
Done
Present Proposed Consent Agreement
Approved?
Yes
No
Annotate CH Records
Monitor progress to Letter Grade Consent Agreement
Done
Propose alternative to CA
Notify CH to submit ADE Improvement Plans within deadlines
Receive evidence of parental notification
Monitor progress via Unscheduled Site Visits
Notify CH of requirement to sign Consent Agreement
Identify Charter holders with one or more schools with a Letter Grade of "D" or "F"
Determine Overall Academic Rating for each charter school
Determine Rating for "A-F Letter Grade" Measure for each charter school
Determine Rating for "School Improvement" Measure for each charter school
School Grade?
"D"
"F"
Done


Arizona State Board for Charter Schools – Corrective Action Plan Process
ASBCS Staff
Charter Holder
Start
Certain issues identified in the Audit Package
CH notified of Corrective Action Plan (CAP) submission requirements through Audit Letter
Submit CAP by deadline provided
Conduct Review of CAP
Additional Information Required?
Yes
Notify CH of Additional information required & deadline
Respond to Board by with additional information by deadline
No
Notify CH that CAP is completed and Implementation is required
Implement CAP
Annotate CH Records
Done


Arizona State Board for Charter Schools – Complaint Management Process
Complainant
ASBCS Staff
Charter Holder
Start
Submit Complaint, along with any associated documents
Receive and Evaluate Complaint
Notify complainant that complaint was received and outline next steps
Requires CH involvement?
Yes
No
Determine other Stakeholder with input
Solicit input from stakeholder
Sufficient Response?
Yes
No
Notify complainant of close-out, with response
Satisfied with response?
Yes
No
Close Complaint as Satisfactorily completed
Done
Send additional information
Notify CH of complaint with deadlines and required submissions
Sufficient Response?
No
Yes
Notify CH that complaint is closed as their response was adequate
Prepare response for complainant (REDACTED)
Respond to Board with required information from investigation


Arizona State Board for Charter Schools – Operational Noncompliance Process
ASBCS Staff
Charter Holder
Amendment Review
Renewal Review
Replication Review
Interval Review
3rd party notification
ASR Site Visit
Complaint Review
Targeted Site Visit
Compliance Issues Identified?
Yes
Start
Update CH performance information denoting non-compliance
Notify Charter holder of issue(s) identified
* Notification Timeframes vary based on triggering process
Follow-up required?
No
Done
Yes
Follow instructions outlined to ensure compliance and submit required information within indicated deadline
Has CH taken timely steps to ensure compliance?
Yes
No
Review for Completeness
Is issue addresssed?
Yes
No
Update CH Performance
Notify CH of Closeout
Done
Update CH Performance
Send CH second notification with required 7-day follow-up
Has CH taken timely steps to ensure compliance?
Yes
No
Review for Completeness
Is issue addresssed?
Yes
No
Update CH Performance to reflect missing submissions
Review with ED to determine board consideration or alternate plan
Board Action?
Yes
No
Implement Board Actions
Notify CH
Done
Implement Alternate Plan
Follow instructions on second notification to ensure compliance within indicated deadline

APPENDIX B – BUSINESS REQUIREMENTS, PRIORITIZATION, CLASSIFICATION

#	Description	Category	Priority
1	From the Public Portal, the system will have a clear and simple interface. The public portal will be easy to navigate and access public information. The most common information need is to search for a school and find out information about a school and their performance under the Board as outlined by statute, rule, and policy (location, student count, diversity, program of instruction, academic performance, financial performance, operational performance, ownership, affiliations, complaint statistics, whether a Charter Holder is within and Intervention Process, or any issues that might impact a school's ability to operate in the future, etc).	Business Requirement	Must Have
2	From the Staff Portal, the system will allow Board Staff to manage all required applications related processes and workflows in one system: 1) New Charter Applications, 2) Amendments, 3) Renewals, 4) Interval Reviews, and 5) Site Visits. The system will facilitate communications between Applicants, Board Staff, and other Stakeholders all within the System. The system will provide for tracking of application status, be intuitive, and easy to navigate. Each of these processes are outlined in Rule.	Business Requirement	Must Have
3	From the Staff Portal, the system will facilitate the annual audit process. Arizona Revised Statutes (A.R.S.) §§ 15-183(E)(6) and 15-914 require all charter schools to have an annual audit. Pursuant to A.R.S. § 15-914, charter school audits must be conducted in accordance with Government Auditing Standards. The system will facilitate the annual audit process that consists of the following high level steps: 1) The Board develops and publishes annual guidelines; 2) Charter Holder contracts with an auditor; 3) Auditor sends an Engagement Letter; 4) Board Staff reviews and approves the Letter; 5) The auditor conducts the Audit and submits the Audit Package; 6) Board staff determines audit completeness; and 7) Board staff reviews the audit, notifies charter holder of submission requirements and makes the review results public. A.A.C. R7-5-504.	Business Requirement	Must Have
4	The system will incorporate a communication tool and house all communication in order to encourage Staff and Charter Holders to be official in their communications. The system will also maintain communications indefinitely to avoid losing history when Staff changes. Each communication potentially is a legal document or a document that must be maintained due to the Board's retention policy or pursuant to Arizona's retention policies as applicable.	Business Requirement	Must Have
5	From the Public Portal, the complaints management process, as outlined in Rule and Board policy, will be clearly defined for all public users. The public user interface for submitting complaints and receiving updates on complaints will be highly intuitive and transparent to public users.	Business Requirement	Must Have
6	From the Public Portal, the system will ensure equity to all users. It will be ADA compliant. The Board is required to maintain ADA compliance. It will have Spanish and other language translation capability and be friendly to Google Translate.	Business Requirement	Must Have
7	From the Public Portal, the system will allow Applicants and Charter Holders to create an account. Once registered, they will gain access to a Charter Holder Portal to communicate with Board Staff, access non-public information, and manage submissions, workflows, and processes. The System will require the designation of a Charter Representative to a natural person.	Functional Requirement	Must Have
8	From the Public Portal, the system will allow public users an avenue to obtain help in finding or accessing public information (e.g. provide e-mail links and phone numbers).	Stakeholder Requirement	Nice to Have
9	From the Public Portal, the system will allow a public user to view and download whether a school is currently in compliance with its charter contract and other compliance measures outlined in Rule and Board policy, such as, the results of its most recent audit, its academic performance, its operational performance, and its financial performance.	Stakeholder Requirement	Must Have
10	From the Public Portal, the system will incorporate 'side by side' school comparison that will allow public users to compare schools by a set of commonly searched fields.	Stakeholder Requirement	Nice to Have
11	The public portal will be easy to navigate and access public information. Valuable information from a lobbyist perspective is aggregate information on charters and their performance with its charter contract and other compliance measures outlined in Rule and Board policy (e.g. number of active schools, funding received, academic performance, operational performance, financial performance, performance by region, diversity statistics, etc).	Stakeholder Requirement	Should Have

12	From the Charter Holder Portal, the system will enable New Charter Applicants to engage with ASBCS staff throughout the new charter application process as outlined in Rule and Board policy.	Stakeholder Requirement	Should Have
13	From the Charter Holder Portal, the system will be highly intuitive from the perspective of Charter Holders with many schools and the perspective of a Charter Holder with a single school. The portal will allow the Charter Holder to see and drill down to all relevant information the Board is tracking or actions that the Charter Representative needs to take. Due dates and urgent actions needed will be obvious, transparent, and highly visible to assist in ensuring compliance as outlined in Statute and Rule.	Stakeholder Requirement	Must Have
14	From the Charter Holder Portal, the system will support an 'easy-to-use' complaints management process as outlined in Rule and Board policy.	Stakeholder Requirement	Must Have
15	From the Charter Holder Portal, the data for Charter Holder operational performance as outlined in Rule and Board policy will be clearly indicated in an easy to understand format.	Stakeholder Requirement	Must Have
16	From the Charter Holder Portal, any required Charter Holder submissions as required by Rule, Board policy, and the charter's contract will be easy to upload and intuitive.	Stakeholder Requirement	Must Have
17	From the Staff Portal, the system will allow a Staff Member with the appropriate privileges to locally build forms, create, and modify workflows and checklists, and create and modify templates. The system will allow Board Staff to easily make modifications to workflows, processes, checklists, forms, and templates locally without IT or vendor support. Modifications are needed regularly for the Board to stay compliant with changes in Education regulations at the state and federal level.	Stakeholder Requirement	Must Have
18	From the Staff Portal, the system's communication tool will allow Staff Members to communicate with other stakeholders who do not have an account or access to a portal.	Stakeholder Requirement	Nice to Have
19	From the Staff Portal, the system will allow Board Staff to locally generate reports that have rolled up performance and informational data for all charter schools. Examples of reports might include how many schools are being managed, how many complaints were processed, # of students in the system, total financial support awarded by the state, etc. The Board has reports required pursuant to statute, required by other state agencies, and are often requested in public records requests.	Stakeholder Requirement	Must Have
20	From the Staff Portal, the system will allow a Board Staff Member with the appropriate privileges to provide limited access to contractors and assign limited privileges. For example, Board Staff often engages with contract personnel to review new applications. The system will allow Board Staff to provide these contractors access to the back-end functionality with limited privileges.	Stakeholder Requirement	Nice to Have
21	The System will integrate with the Arizona Department of Education (ADE) EOS system via the EOS API to read a specified set of fields. As an example, the system will read the ADE system and populate the Charter Holder's average daily membership data (ADM) used to determine a Charter Holder's performance on the financial framework's Average Daily Membership measure. This requirement helps to ensure accuracy of information between agencies.	Stakeholder Requirement	Nice to Have
22	For all users in all portals, the system will display operational performance data for Charter Holders and Schools. The system will display aggregate performance and incorporate drill down capability to specific operational performance data for charter schools. Staff will also be able to select which data is displayed in the public view (make public information visible and keep private information private).	Stakeholder Requirement	Must Have
23	For all users in all portals, a user will be able to export operational performance data into a spreadsheet	Stakeholder Requirement	Should Have
24	The system will allow Charter Holders to receive copies of official e-mails in their own e-mail inboxes outside the system.	Stakeholder Requirement	Nice to Have
25	From the Staff Portal, the system will allow Staff members to send either mass (a specified set of Charter Holders) or individual (a specific Charter Holder) e-mail notifications related to required submissions pursuant to Statute, Rule, or Board policy, or other required activities.	Stakeholder Requirement	Must Have
26	From the Staff Portal, the system will allow Board Staff to solicit and collect information (surveys or similar functionality) from Charter Holders within the System. Information will be collected, housed and maintained in the system to ensure the documentation/communication is appropriately maintained pursuant to records retention requirements.	Functional Requirement	Must Have

27	From the Charter Holder Portal, Application instructions for New Charter Applications, Amendments, Renewals, etc as outlined in Rule and Board policy will be readily accessible and easy to understand without having to toggle between pages or tabs.	Functional Requirement	Must Have
28	From the Charter Holder Portal, the system will facilitate any fingerprint card verification requirements (statutory requirements) by requiring Charter Holders and Applicants to enter fingerprint card reference numbers in a form (along with identifying information such as the individual's name) on certain applications.	Functional Requirement	Must Have
29	From the Charter Holder Portal, the system will facilitate any e-signature requirements pursuant to law for Applicant and Charter Holder submissions.	Functional Requirement	Must Have
30	From the Charter Holder Portal, the system will accept electronic payments (e-check, credit, and debit card payments) for submissions that require payments. The payment portal will be secure and compliant with all applicable governmental rules and regulations regarding electronic payments.	Functional Requirement	Should Have
31	From the Staff Portal, the system will allow Board Staff to attach documents and make internal notes to the Charter Holder's account. For example, if a Staff Member has a meeting regarding a specific School, the Staff Member can attach meeting notes to the Charter Holder's account information for internal purposes. Another example is if one of ADE's departments conducts an Audit of a specific school, Board Staff can attach documents regarding this Audit to the Charter Holder's Account information. Board staff will have options to make these documents viewable through the Charter Holder's portal or the Public portal.	Functional Requirement	Must Have
32	In the Charter Holder Portal, the system will allow for the Charter Representative to provide individuals within its employ access to the Charter Holder account and assign some account privileges. Examples of privileges might include access to the communication, viewing performance data, uploading documents, etc. The Charter Representative will retain certain privileges that may not be delegated (e.g. hit the 'submit' button).	Functional Requirement	Should Have
33	From the Charter Holder Portal, the system will include clickable phone links to talk to someone when an Applicant or Charter Holder has technical questions.	Functional Requirement	Nice to Have
34	From the Charter Holder Portal, the system will include communication tracking with Board Staff. Communication may be a legal document and must be maintained pursuant to record retention policies.	Functional Requirement	Must Have
35	From the Charter Holder Portal, the system will provide clear process steps through all stages of the application as required in Rule or Board policy. The system will provide clear status indications and clearly identify any application deficiencies or needed revisions.	Functional Requirement	Must Have
36	From the Charter Holder portal, any submitted complaints pursuant to Rule or Board policy will have a clear status indication along with any required actions or follow-up by the Charter Holder. The system will provide closure to the Charter Holder and identify what actions if any the Board will be taking.	Functional Requirement	Must Have
37	From the Charter Holder Portal, the portal will allow operators with many schools a view to filter schools (e.g. active, closed, planned but not open) and clearly flag any required actions or activities.	Functional Requirement	Must Have
38	From the Charter Holder Portal, the system will provide an intuitive, logical, and dynamic interface based on where the Charter is in its life cycle. (e.g. if a charter is approved and active, amendments should be front and center.) Priority items should jump out at the Charter Holder.	Functional Requirement	Should Have
39	From the Charter Holder Portal, all communications within the system need to flag a specific school (e.g. Amendment communications need to flag which school and which amendment to ensure the record retention is complete and accurate pursuant to retention requirements.)	Functional Requirement	Must Have
40	From the Public Portal, the system will allow public users to pull an overview or profile of the charter regarding the school's operations, performance, and compliance. (e.g. it has this many schools, who runs it, this is the performance, etc.)	Functional Requirement	Must Have
41	From the Charter Holder Portal, the system will allow Charter Holders to access and download previously submitted documents and form information in pdf format.	Functional Requirement	Must Have
42	From the Public Portal, the system will provide multiple options to organize and display public information through charts, graphs, and tables.	Functional Requirement	Must Have
43	From the Public Portal, the system will make it easy to export information in an easily consumable format (e.g. pdf, spreadsheets, etc.)	Functional Requirement	Should Have

44	From the Public Portal, when viewing a specific school, the system will incorporate links to any board minutes or board decisions for that school.	Functional Requirement	Nice to Have
45	From the Public Portal, school search functionality will include search and filter capability by: 1) location (zip code, map search), 2) performance (academic, financial, operational), 3) affiliated schools, 4) CTDS#, and 5) Entity #. (CTDS# and Entity# are numbers assigned by the Arizona Department of Education)	Functional Requirement	Must Have
46	From the Public Portal, school search functionality will include additional search and filter capability by: 1) programming (sports, music, etc.), 2) diversity statistics, 3) STEM schools	Functional Requirement	Should Have
47	From the Public Portal, the system will incorporate a sophisticated school search function that will allow public users to search by combinations of attributes (such as: How many charters managed by Basis or EdKey, in a certain zip code, with student enrollment > X, with Performance Issues?)	Functional Requirement	Must Have
48	From the Public Portal, the system will provide for user configurable dashboards.	Functional Requirement	Nice to Have
49	From the Charter Holder Portal, the system will incorporate 'form fill' functionality for often used fields in various submissions required under Rule or Board Policy (e.g. Charter Holder Name, etc.) to eliminate redundant data entry.	Functional Requirement	Must Have
50	From the Public Portal, the system will allow complaints, pursuant to Rule or Board policy, to be submitted without having to create a log-in or account.	Functional Requirement	Should Have
51	From the Public Portal, the system will retain the ability to access Board Agendas and Board Meeting results.	Functional Requirement	Should Have
52	From the Public Portal, the system will be able to search current and past Board Agendas for specific schools.	Functional Requirement	Must Have
53	From the Public Portal, the system will allow any individual from the public to submit a complaint, pursuant to Rule or Board policy, via a form. This form will have multiple fields including: "Name [free text -short]", "Complaint Category [with drop down options]", "Complaint Description [free text-long]", "Date of transgression [date field]". Other fields may be designated at a later time. The system will allow a designated staff member with the appropriate privileges to modify this form should changes be required.	Functional Requirement	Must Have
54	The system will automatically notify the individual making the complaint, pursuant to Rule or Board policy that the complaint was received and is being processed.	Functional Requirement	Must Have
55	From the Staff Portal, the system will automatically notify a designated staff member when a new complaint arrives to ensure timeframes outlined in Rule and Board policy are met and safety concerns are addressed quickly.	Functional Requirement	Must Have
56	From the Staff Portal, the system will allow a Board Staff Member to view, sort, and filter all complaints, submitted pursuant to Rule or Board policy, in the system by reference number, charter holder, school name, date received, date initial alert sent, complaint type [drop down], complaint status [drop down], and date response due. Other fields may be designated at a later time.	Functional Requirement	Must Have
57	From the Staff Portal, the system will have a view that will allow the designated staff member to see a history of complaints, submitted pursuant to Rule or Board policy, for a given Charter Holder. This view will incorporate multiple fields including: Charter Holder, School Name, Complaint Reference Number, Complaint Category, Complaint Status, Date Complaint was received, Response Due Date [if due date is assigned], and Date Complaint was closed (if applicable). Additional fields may be required. The Staff Member will be able to view, sort, or filter by any of these fields. This view will also incorporate drill-down capability to see the history of a given complaint by clicking on the complaint reference number.	Functional Requirement	Must Have
58	From the Staff Portal, the system will allow a Staff Member to color code complaints, submitted pursuant to Rule or Board policy, by severity of complaint.	Functional Requirement	Should Have
59	The system will automatically assign a reference number to a complaint, submitted pursuant to Rule or Board policy, when it is initially submitted.	Functional Requirement	Should Have
60	From the Staff Portal, the system will allow a Staff Member to search for a complaint, submitted pursuant to Rule or Board policy, by its reference number.	Functional Requirement	Should Have
61	From the Charter Holder Portal, the system will allow the Charter Holder to search for a complaint, submitted pursuant to Rule or Board policy, by its reference number.	Functional Requirement	Should Have
62	From the Staff Portal, the system will incorporate a complaints management workflow with branches for the designated staff member to manage the complaint through various stages of the complaint lifecycle pursuant to Board policy.	Functional Requirement	Nice to Have

63	From the Staff Portal, a staff member with the appropriate privileges will be able to modify the complaints management workflow should future changes be required pursuant to changes to rule or Board policy.	Functional Requirement	Must Have
64	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the system will allow a designated staff member to communicate via an integrated e-mail system to both the individual making the complaint and the associated Charter Holder.	Functional Requirement	Must Have
65	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the staff member will be able to view, sort, and filter any communication regarding complaints by complaint reference number.	Functional Requirement	Should Have
66	From the Charter Holder Portal, for complaints submitted pursuant to Rule or Board policy, the system will have a view that will allow the Charter Holder to see a history of complaints for its Schools. This view will incorporate multiple fields including: School Name, Complaint Reference Number, Complaint Category, Complaint Status, Date Complaint was received, Response Due Date [if due date is assigned], and Date Complaint was closed (if applicable). Additional fields may be required. The Charter Holder will be able to view, sort, or filter by any of these fields. This view will also incorporate drill-down capability to see the history of a given complaint by clicking on the complaint reference number.	Functional Requirement	Must Have
67	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the system will allow a Staff Member to manually redact a complaint description in any communications with the Charter Holder.	Functional Requirement	Must Have
68	From the Staff Portal, the system will provide for an automatic redaction capability that a designated Staff Member can toggle on and off. This automatic redaction capability will mask any information that makes the complainant or a specific student personally identifiable. Redaction of certain information is required pursuant to federal and state law.	Functional Requirement	Should Have
69	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the system will allow a designated staff member to assign a due date for a Charter Holder to respond to a specific complaint.	Functional Requirement	Must Have
70	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, a staff member will be able to select a communication template and associate a specific complaint. The template will then auto-populate designated fields within the letter. The staff member will then be allowed to make modifications to the letter prior to hitting "Send".	Functional Requirement	Must Have
71	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the system will allow a designated staff member to escalate or refer specific complaints to a supervisor or other staff member.	Functional Requirement	Should Have
72	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the system will allow a Staff member to query the system and generate a variety of reports (e.g. "All Open Complaints", "Complaint History for Charter Holder 'xx' ", "Complaint History for School 'xx' " "Communication History for Complaint Reference Number 'xx' ", "Charter Holders up for interval review", etc.). These reports will be available for export to Spreadsheets or pdf format.	Functional Requirement	Must Have
73	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the system will track (and allow Staff to view) Staff Performance Management Metrics such as Complaint Cycle Times, Complaint WIP, Response Times,	Functional Requirement	Must Have
74	For open complaints submitted pursuant to Rule or Board policy, the system will facilitate automatic e-mail communications to both those who submitted complaints and the Charter Holders. (e.g. every 5 days, it will generate a "Hang in there. We are still investigating your complaint" message)	Functional Requirement	Nice to Have
75	From the Charter Holder Portal, the system will allow Charter Holders to be able to upload documentation regarding a specific complaint. The charter holder will be able to send communications regarding complaints submitted pursuant to Rule or Board policy to Board Staff within the Charter Holder's Portal.	Functional Requirement	Must Have
76	From the Staff Portal, the system will notify a designated Staff Member when new documentation is uploaded to the system and will provide a date/time stamp for tracking. This will ensure Board staff will adhere to timeframes outlined in Rule and Board policy.	Functional Requirement	Must Have
77	For complaints submitted pursuant to Rule or Board policy, the system will allow Complainants to withdraw their complaint. When a withdrawal request is received, a Staff member with the appropriate privileges will be able to remove the complaint.	Functional Requirement	Must Have

78	For complaints submitted pursuant to Rule or Board policy, the system will allow Complainants to withdraw their complaint but will require the Complainant to include a reason to withdraw.	Functional Requirement	Should Have
79	From the Staff Portal, the system will allow a Staff Member who receives a complaint by phone to enter the same complaint information through the Staff portal as a public user would enter through the Public Portal. The system will allow both staff-entered complaints and user-submitted complaints to be captured and tracked to maintain compliance to Rule and Board policy.	Functional Requirement	Nice to Have
80	For complaints submitted pursuant to Rule or Board policy, from the Staff Portal, the system will allow a Staff Member with the appropriate privileges to make specific complaints private and not viewable through the Public or Charter Holder portal.	Functional Requirement	Must Have
81	From the Staff Portal, the system will allow a Staff Member with the appropriate privileges the capability to turn on/off the ability to continue uploading documents after a complaint is closed and while it is processing pursuant to Rule and Board policy.	Functional Requirement	Must Have
82	From the Charter Holder Portal, the system will allow Applicants and Charter Holders to upload individual items as they are completed for various submissions required by Statute, Rule or Board policy (e.g. on new applications: the Education Plan, the Operational Plan, the Business Plan, etc.). The system will allow a Staff Member with the appropriate privileges to change this checklist globally when changes are required by statute or Board rules. Additionally, the system will allow a Staff Member with the appropriate privileges to make changes to this checklist locally for a specific Charter Holder if required. A checklist item for 'other' documents will be incorporated into the system.	Functional Requirement	Must Have
83	From the Staff Portal, submitted items for various applications as required by statute, Rule, or Board Policy, will become viewable and approvable by Board Staff immediately. Once approved, these items will be marked 'approved' and 'locked' (no longer removable) . For other items submitted, items shall be marked 'pending review'. A date stamp shall be attached to uploaded items. For those items that Board Staff rejects as incomplete or insufficient pursuant to Rule or Board policy, these items will be flagged accordingly on the checklist. The system will allow Staff to communicate rejection reasons and any required follow-up for specific items within the system. When required, the system will allow the Applicant to submit subsequent iterations of required documents as required in Rule or Board policy.	Functional Requirement	Must Have
84	From the Staff Portal, the system will auto-populate certain required information (required in statute, Rule, or Board policy) or fields within letter templates when paired with an Applicant or Charter Holder (e.g. Charter Holder name).	Functional Requirement	Must Have
85	From the Staff Portal, the system will allow a Staff Member with the appropriate privileges to make public certain reports (e.g. Charter Holder's interval review, Site Visit Report, etc.). The system will also allow Board staff to mask these reports should conditions mandate to ensure compliance with state and federal law.	Functional Requirement	Should Have
86	From the Staff Portal, the system will allow Staff to query the system and create global reports. For example, each year Staff is required to submit a "Governor's Report" that includes items such as number of applications submitted, number of applications approved, number of active schools, number of students, financial performance, etc.	Functional Requirement	Must Have
87	The system will accommodate file submission for file sizes that are often very large (e.g. interval reviews) and the system will allow these files to be uploaded.	Functional Requirement	Must Have
88	From the Staff Portal, the system will allow Board Staff to communicate with the Charter Holder regarding renewals and interval reviews as required in Rule and Board policy. These communications shall be tracked and stored indefinitely by the system pursuant to the Board's record retention policy.	Functional Requirement	Must Have
89	From the Charter Holder Portal, the system will allow Charter Holders to communicate with Board Staff regarding renewals and interval reviews as required in Rule and Board policy. These communications shall be tracked and stored indefinitely by the system pursuant to the Board's record retention policy.	Functional Requirement	Must Have
90	From the Staff Portal, the system will allow Board Staff to link Board Actions, as required pursuant to statute, Rule, or Board policy, to specific Charter Holders and Schools. For example, if the Board approves a new charter application, the system will allow Board Staff to link this approval (board minutes) and become viewable within the Charter Holder Portal and Public Portal.	Functional Requirement	Should Have

91	Currently, Board Staff receives a spreadsheet from ADE and the "superadmin" uploads average daily membership (ADM) data into the system. If integration with ADE EOS system is not possible (or cost prohibitive), the system should be able to read the data from this spreadsheet and auto-populate the applicable fields. If integration is not possible, the system will allow Board staff to edit the ADM to reflect subsequent ADM revisions made by ADE.	Functional Requirement	Must Have
92	From the Public Portal, the system will allow public users to generate a School "report card" that shows financial, operational, and performance data.	Functional Requirement	Must Have
93	From all portals, the system will allow users to view aggregate performance information for a specific school and drill-down capability to view specific performance issues.	Functional Requirement	Must Have
94	The system will allow training videos and infographics to be supported on the public portal. These training videos and infographics will change from time to time so the system will allow Staff to locally make these changes.	Functional Requirement	Should Have
95	From the Staff Portal, the system will allow Staff to manage the Site Visit process pursuant to Rule and Board policy. It will house the various Site Visit Checklists and allow Staff to record results and upload documents related to a Site Visit. This information will be accessible through both the Staff Portal and the Charter Holder Portal.	Functional Requirement	Should Have
96	From the Charter Holder Portal, the system will allow the Charter Holder to upload additional documentation should it receive a D / F grade and will further allow Board Staff to administer the D / F school process as required and outlined by statute, Rule, and Board policy.	Functional Requirement	Must Have
97	From the Staff Portal, the system will allow Board Staff to administer the D / F school process as required and outlined by statute, Rule, and Board policy, if a Charter Holder receives a D / F grade.	Functional Requirement	Must Have
98	From the Public Portal, the system will allow a public user to view contact information to the specific school and a link to the school's website.	Functional Requirement	Nice to Have
99	The system will receive, process, and update itself when an automatic notification is received from ASRS that a Charter Holder is in non-compliance status pursuant to Rule and Board policy with ASRS. Currently, staff must manually update the system.	Functional Requirement	Nice to Have
100	The system will generate an automatic notification to selected individuals from other State Agencies (ADE, ASRS, etc.) when a new charter school is approved, a charter school is dissolved, or when a charter holder files an amendment or other trigger event that impacts the agency's work (non-compliance, name changes, governing body changes, grades serviced, # of schools, corporation changed, etc.).	Functional Requirement	Must Have
101	The system will allow Board Staff to upload and store documents from ADE (typically Audit findings from one of its departments).	Functional Requirement	Must Have
102	From the Staff Portal, the system will allow for a Staff member with the appropriate privileges to make local modifications to the audit process, as required in Rule and Board policy, and workflows should changes be required in the future.	Functional Requirement	Must Have
103	For audits required in Rule, from the Staff Portal, the system will provide tracking functionality that will allow Board Staff and Charter Holders to view current status and the associated audit process step for audits that are in progress.	Functional Requirement	Must Have
104	For audits required in Rule, from the Staff Portal, a Staff member with the appropriate privileges will be able to enter data, send notifications, and otherwise undertake or manage steps in the audit process. All other staff will have view permissions.	Functional Requirement	Must Have
105	From the Staff Portal, the system will allow Staff Members to 'cut and paste' language that is stored within the system or from other applications into the templates and letters. All letter and communications formatting will be easy and user-friendly. The system will allow for the Board's Logo and Header information to imprint on official communications like letters.	Functional Requirement	Must Have
106	With regard to audits required in Rule, from the Staff Portal, the system will allow Board Staff to set up and send periodic automatic notifications to Charter Holders of upcoming audit requirements with links to guidelines and due date requirements. The system will provide for tracking of these notifications and provide a time / date stamp for tracking and compliance monitoring.	Functional Requirement	Nice to Have
107	For audits required in Rule, from the Staff Portal, the system will allow for, track, and store communication between Board Staff, the Charter Holder, and the Auditor regarding approval/disapproval of the Engagement Letter. The system will allow Board Staff to create checklists for these types of internal processes.	Functional Requirement	Must Have

108	Staff is required to approve an engagement letter between Auditor and Charter School (charter holder chooses who to engage). Staff reviews and approves. A.A.C. R7-5-504(B)	Functional Requirement	Must Have
109	The system will allow for the Auditor to submit the Engagement Letter (EL), as required in Rule, via an upload form within an Auditor Portal. Upon upload, the system will provide a notification to a designated Staff Member and will provide a date stamp to track Board staff's time for processing. The upload form will include a dropdown of all active CH and their CTDS numbers (this will continue to be the option even as ELs are approved - sometimes CH change auditors), allow for one document to be uploaded, may allow for auditor to apply one EL to multiple CH (e.g., Edkey), require the auditor to enter the audit fee, allow auditor to see log of ELs submitted to the Board, allow for auditor to resubmit or withdraw and resubmit; allow staff to edit audit fee; allow staff to make "final" EL publicly available (rather than all ELs submitted).	Functional Requirement	Must Have
110	From the Staff Portal, the system will allow Board Staff to conduct a "Completeness Review" of submitted Audit Packages within the System. Board staff ensures each audit reporting package ("audit") includes all the required components. A.A.C. R7-5-504(C)-(E). The system will allow Board Staff to create checklists for these types of internal processes.	Functional Requirement	Must Have
111	From the Staff Portal, the System will facilitate, track, and store communications between the Board Staff and the Charter Holder and Auditor regarding whether an audit package is complete or incomplete A.A.C. R7-5-504(C). The System will facilitate communications regarding any additional information needed and/or missing audit information.	Functional Requirement	Must Have
112	For audits required in Rule, from the Staff Portal, the system will allow Board staff to enter findings and other issues identified in the audit and track the type (e.g., material weakness, questionnaire comment) and whether the finding/issue is repeated from the last audit.	Functional Requirement	Must Have
113	From the Staff Portal, the system will allow Board staff to track whether a corrective action plan (CAP) is required pursuant to Rule and Board policy. Appendix B of the operational framework identifies the issues that require a charter holder to submit a CAP. Generally, charter holders are given 30 calendar days to submit the initial CAP, except for fingerprinting issues where 10 business days are given. Most CAPs are completed after the initial submission, or, at most, one subsequent submission.	Functional Requirement	Must Have
114	From the Staff Portal, the system will allow Staff to measure and report Charter Holder financial performance using six measures. These six measures are: 1) Going concern, 2) Default, 3) Unrestricted Days Liquidity, 4) Adjusted Net Income, 5) Lease Adjusted Debt Service Coverage Ratio, and 6) Average Daily Membership. The annual statutorily required audits conducted by independent certified public accountants and the average daily membership ("ADM") calculations completed by the Arizona Department of Education ("Department") using student attendance data submitted to the Department by the charter holder provide the information necessary to determine a charter holder's performance on the Financial Performance Framework's ("financial framework") six measures.	Functional Requirement	Must Have
115	From the Staff Portal, the system will allow Staff to make an adjustment to ADM. Under certain specified circumstances (e.g., reduced grade levels served, closed school), the financial framework, in Rule and Board policy, requires Board staff to adjust the ADM used when calculating performance on the Average Daily Membership measure. The system will allow Board staff to keep the original data and use an adjusted value for one or more fiscal years considered in the calculation. The system will allow Board staff to enter a brief explanation if adjusted ADM is used.	Functional Requirement	Must Have
116	For the Average Daily Membership measure, the system will be able to perform basic calculations and compare the results against look-up tables for determination of whether the Charter Holder's performance is within or outside of Board expectations. The required financial calculations and performance levels are outlined in the Financial Performance Framework on the ASBCS website (requirements in Rule and Board policy). A Staff member with appropriate privileges will be able to make local modifications to the look-up table.	Functional Requirement	Must Have

117	The system will be able to compare the results for the six measures in the Financial Performance Framework (requirements in Rule and Board policy) against a look-up table for determination of whether the Charter Holder's overall financial performance is within or outside of Board expectations. The performance levels (i.e., Good Standing, Adequate Standing, Intervention) are outlined in the Financial Performance Framework on the ASBCS website. A Staff member with appropriate privileges will be able to make local modifications to the look-up table.	Functional Requirement	Must Have
118	From the Staff Portal, a separate process and workflow will be applicable when a Charter Holder is required to submit a CAP pursuant to Rule or Board policy.	Functional Requirement	Must Have
119	From the Staff Portal, the System will provide for tracking, compliance, and recording of activity and communications relating to a Corrective Action Plan (CAP) pursuant to Rule or Board policy.	Functional Requirement	Must Have
120	From the Charter Holder Portal, the system will allow for the Charter Holder to submit its initial CAP and any additional information subsequently required (requirements in Rule and Board policy) via an upload. Upon upload, the system will provide a notification to a designated Staff Member, a date stamp, and will track Board staff's time for processing. The upload form will allow for multiple documents to be uploaded each time a submission is made, allow Charter Holder to see log of submissions, allow CH to resubmit or withdraw and resubmit. These submissions will not be made publicly available through the system.	Functional Requirement	Must Have
121	From the Staff and Charter Holder Portals, the System will facilitate, track, and store communications between the Charter Holder and Board Staff regarding any corrective actions that are required (requirements in Rule and Board policy) resulting from the Annual Audit Review. After the initial audit review letter is released, only the CAP completion letter will be made publicly available through the system. (The Charter Holder should be able to see/view all CAP-related communications.)	Functional Requirement	Must Have
122	From the Staff Portal, the system will allow Board staff to document "Staff's Report on Initial Financial Response" (requirements in Rule and Board policy). The system will allow staff to complete the report through the system. The system report will use a standard template/form and pull in standard language, but also allow staff to edit or add additional language.	Functional Requirement	Must Have
123	From the Staff Portal, the system will allow Staff to track Student Count Visits (required in Board policy) and enter results. For each charter holder in Intervention Tier 1, Board Staff will perform a Student Count Visit for each school run by the Charter Holder.	Functional Requirement	Must Have
124	From the Staff Portal, the system will allow Staff to document results from the March 31 quarterly report and facilitate the notification sent to the Charter Holder. The notification will identify future quarterly report requirements/deadlines and any calculation differences (requirements in Rule and Board policy). This letter must be sent within 30 calendar days after Board receives the March 31 quarterly report (if March 31 report submitted separately from Initial Financial Response).	Functional Requirement	Must Have
125	From the Staff Portal, the System will allow Board Staff to flag Charter Holders that receive an Intervention rating with a Probation Status of either "Not on Probation" or "On Probation". Using information from the June 30 Quarterly Financial Report and the Board's complaint and audit CAP processes, as well as any submissions required to be made by the charter holder pursuant to A.A.C. R7-5-501(C), Board staff will determine the charter holder's Probation Status.	Functional Requirement	Must Have
126	From the Staff Portal, the system will allow Staff to notify Charter Holder of the following: a) the Charter Holder's probation status, and b) if determined to be "On Probation, submission requirements and deadlines. This is done after reviewing the June 30 Quarterly Financial Report. Requirements in Rule and Board policy.	Functional Requirement	Must Have
127	From the Charter Holder Portal, the system will allow for the Charter Holder to make submissions for a Financial Action Plan and Quarterly reports when a Charter Holder is identified as "On Probation" (requirements in Rule and Board policy). The system will allow for the Charter Holder to submit each submission via an upload form. Upon upload, the system will provide a notification to a designated Staff Member, will provide a "date stamp", and will track Board staff's time for processing.	Functional Requirement	Must Have
128	From the Staff Portal, the system will allow Board staff to document receipt of the Financial Action Plan and review of the subsequent quarterly report and send a notification to the Charter Holder pursuant to Rule and Board policy. The notification will identify future quarterly report requirements/deadlines and any calculation differences. This letter must be sent within 30 calendar days after Board receives the quarterly report.	Functional Requirement	Must Have

129	From the Staff Portal, the system will allow Board staff to notify the Charter Holder of any failure to timely submit a Financial Action Plan or subsequent Quarterly reports. In accordance with A.A.C. R7-5-402(N), if a charter holder fails to submit or fails to submit timely the Financial Action Plan or subsequent Quarterly Financial Reports, the system will allow Board staff to notify Charter Holder of failure and to publicly note the failure in its operational performance. The system will include a template for this letter. The system will store the letter and make it publicly available.	Functional Requirement	Must Have
130	The system will allow two audit cycles as required by law to be active at one time (at least for part of the year).	Functional Requirement	Must Have
131	From the Staff Portal, the system will allow Staff to view year over year audit performance information. Audits are required in Rule.	Functional Requirement	Must Have
132	To provide historical context, the system will allow all users the ability to view at least 3 years of financial audit performance information from all portals. Audits are required in Rule.	Functional Requirement	Must Have
133	The system will allow all users the ability to easily access the Board's financial and operational framework for reference when viewing a Charter Holder's audit performance information.	Functional Requirement	Should Have
134	The system will allow a Staff Member to query the system and create audit related reports. Some examples include: 1) audit corrective action plans by issue or charter holder and fiscal year, 2) charter holders and their audit firms by year, 3) financial performance information including measure ratings, summary ratings, intervention tier, and probation status, 4) detailed financial performance information by fiscal year; 5) intervention process status, 6) engagement letter and audit completeness processing cycle times, and 7) audit fees by fiscal year for ADE (if audit fee reporting into the system is included in final system).	Functional Requirement	Must Have
135	From the Staff Portal, the system will facilitate the first year and second-year financial reviews and visits, including Board staff communications, Charter Holder submissions and Board staff reports. Requirements in Rule and Board policy.	Functional Requirement	Must Have
136	From the Staff Portal, for form letters and email communications, the system will allow Board staff to automatically populate certain fields within the letter (e.g., charter holder name, charter representative name, date something was received).	Functional Requirement	Must Have
137	From the Staff Portal, the system will allow Staff to view submitted documents from the Annual Audit and make determinations of completeness against one or more internal checklists. Staff is required to review each Audit submitted to the Board and determine whether it is complete. A.A.C. R7-5-504(C)-(D)	Functional Requirement	Must Have
138	From the Public Portal, the system will allow for an Auditor to create an account and subsequently gain access an Auditor's Portal.	Functional Requirement	Must Have
139	From the Auditor Portal, the system will allow for an Auditor to submit an Audit (typically a large file or set of files) electronically via an upload form. The upload form will include dropdown of auditor's clients and those CH not assigned an auditor, allow for multiple documents to be uploaded with system identified options/display names (e.g., audit, financial statements, compliance questionnaire), allow auditor to see log of submissions to the Board, allow for auditor to resubmit or withdraw and resubmit; allow staff to make "final" upload(s) publicly available (rather than all documents submitted).	Functional Requirement	Must Have
140	From the Staff Portal, the system will facilitate Board Staff's review of the Audit, including tracking findings, determining whether a corrective action plan (CAP) is required, financial data entry, determining a Charter Holder's financial performance, and notifying the Charter Holder of the Audit review results. A.A.C. R7-5-504(F)-(I)	Functional Requirement	Must Have
141	From the Staff Portal, the system will allow Board staff to determine when financial performance is made available to the charter representative(s) and the public. Once made available, Board staff will be able to mask certain information while any questions/issues are being addressed with the Charter Holder/Auditor.	Functional Requirement	Must Have
142	From the Staff Portal, the system will allow Board Staff to report any audit issues required by the operational framework. Currently, audit issues are captured through the operational framework's audit-specific measure (Measure 2a) or through one of the operational framework's other measures. Requirements in Rule and Board policy.	Functional Requirement	Must Have
143	From the Staff Portal, the system will allow Board Staff to generate the letter sent to the Charter Holder following the audit's review as required by Rule. The letter generated by the system will include additional language based on whether a CAP is required, and the type of CAP required, whether repeated findings were identified, and the Charter Holder's overall financial performance. Currently, there are 7 base letter templates and	Functional Requirement	Must Have

	language specific to most of the CAP issues identified in Appendix B of the operational framework.		
144	From the Charter Holder Portal, the system will allow a Charter Representative to add a brief explanation after a Charter Holder's financial performance becomes publicly available. If added, the description will display to all users. This applies to Charter Holders that receive "Good Standing," "Adequate Standing" or "Intervention" ratings.	Functional Requirement	Must Have
145	When a Charter Holder receives an "Intervention" rating, a separate process and workflow will be enabled. The system will allow for this additional workflow and additional communications between the Charter Holder and the Board when a Charter Holder is in Intervention. Requirements in Rule and Board policy.	Functional Requirement	Must Have
146	From the Staff Portal, the system will allow Board Staff to facilitate the financial intervention process and workflow, including Charter Holder submissions, Staff notifications to the Charter Holder and the report prepared by Staff. The system will allow Staff to enter certain information from Charter Holder submissions to determine Charter Holder's performance at each quarter-end in the fiscal year following the audit fiscal year. The system will enable staff to make financial performance information and related documentation available in an easily accessible and understandable location. Requirements in Rule and Board policy.	Functional Requirement	Must Have
147	From the Charter Holder Portal, the system will allow for a Charter Holder that receives an Intervention Rating to make each submission via an upload form. Upon upload, the system will provide a notification to a designated Staff Member, a date stamp, and will track Board staff's time for processing. Each charter holder that receives an Intervention Rating must submit to the Board an Initial Financial Response, Quarterly Financial Reports and a June 30 Quarterly Financial Report (collectively “improvement plans”). The upload form will allow for multiple documents to be uploaded with system identified options (e.g., Initial Financial Response, September 30 Quarterly Financial Report), allow Charter Holder to see log of submissions, allow CH to resubmit or withdraw and resubmit, allow staff to make "final" document publicly available (rather than all submissions). Requirements in Rule and Board policy. Alternative - Have upload functionality require CH to submit each item on the financial intervention submission checklist separately and system PDF submissions into one document that will display.	Functional Requirement	Must Have
148	From the Staff Portal, the system will facilitate Staff's communication with Charter Holders regarding incomplete Intervention submissions. Requirements in Rule and Board policy. The system will allow Board Staff to select from a checklist of missing items. The letter generated by the system will include standard language as well as language specific to the items checked. The system will store the notification and make it publicly available.	Functional Requirement	Must Have
149	From the Staff Portal, the system will include a letter template for Staff to communicate a Charter Holder's failure to submit timely a required Initial Financial Response, required Quarterly Financial Report or June 30 Quarterly Financial Report. In accordance with A.A.C. R7-5-509(K), if a charter holder fails to timely submit these documents, Board staff will notify Charter Holder of failure and to publicly note the failure in its operational performance measures.	Functional Requirement	Must Have
150	From the Staff Portal, the system will allow Staff, after reviewing the Initial Financial Response, to notify Charter Holder of the following: a) Charter Holder's intervention tier (Tier 1 or Tier 2), b) future quarterly report requirements and deadlines, c) availability of Staff's Report, and d) any calculation differences. This letter must be sent within 30 calendar days after Board receives Initial Financial Response. [A.A.C. R7-5-509(E)]	Functional Requirement	Must Have
151	From the Auditor Portal, at the time an audit package, as required in Rule, is uploaded, the system will allow entry of data in a set of numeric fields regarding financial performance of the Charter Holder. The system will be able to perform basic financial calculations and compare the results against a look-up table for determination of whether the financial performance is within or outside of Board guidelines. It will then automatically flag any performance issues in the Charter Holder's respective financial dashboard(s). The required financial calculations are outlined in the Financial Performance Framework on the ASBCS website.	Functional Requirement	Should Have

152	The Board's Operational framework, as required in Rule and Board policy, includes 3 indicators (or categories): 1) Implementation of the Education Program, 2) Financial and Operational Reporting and Compliance, and 3) Additional obligations. Within each of these indicators, there are a set of measures that take the form of questions (e.g. Is the Charter Holder maintaining a safe environment consistent with state and local standards?). For each measure, the board will apply one of three ratings: 1) Meets Standard, 2) Does Not Meet Standard, and 3) Falls far below Standard. The system will facilitate reporting within the Staff, Charter Holder, and Public Portals against this Operational Framework.	Functional Requirement	Must Have
153	The system will allow Board Staff to query the system and create custom reports as required by state law, Rule, or another agency. The system will allow these reports to be downloaded into a spreadsheet. Some examples include: 1) charter holders and their e-mail addresses, 2) contract and review dates, 3) new schools and closed schools by fiscal year, 4) new charters and closed charters by fiscal year, 5) charters by corporation type (e.g. nonprofit), 6) current schools and charters, 7) summary report of overall operational ratings by year, 8) detailed operational performance information by year, and 9) list of charters and whether they have received a procurement or USFRCS exception.	Functional Requirement	Must Have
154	For the other five measures of the financial framework, as outlined in Board policy, (excepting ADM), the system will allow Board staff to enter data in a set of numeric fields related to the financial performance of the Charter Holder. The system will be able to perform basic financial calculations and compare the results against look-up table for determination of whether each individual measure's performance is within or outside of Board expectations. The required financial calculations and performance levels are outlined in the Financial Performance Framework on the ASBCS website. A Staff member with appropriate privileges will be able to make local modifications to the look-up table.	Functional Requirement	Must Have
155	From the Staff Portal, the system will allow Staff to purge certain data in accordance with the Board's record retention schedule. The system will also allow Staff to maintain/retain all information identified in accordance with the Board's retention schedule.	Functional Requirement	Must Have
156	From the Staff Portal, the system will allow Board staff with the proper permission to deactivate/reactivate an auditor's account created under Requirement 145. (Deactivation generally would occur if the auditor does not meet the mandatory audit firm qualifications.)	Functional Requirement	Must Have
157	From the Staff Portal, the system will allow Board staff to document for each audit cycle whether the auditor meets the mandatory qualifications as outlined in Board policy.	Functional Requirement	Must Have
158	From the Auditor Portal, the system will allow the auditor to upload its peer review report, as required in Rule, into the system. Functionality should allow for multiple uploads. (NOTE: Peer reviews are good for three years, so this would not occur annually, but as needed.)	Functional Requirement	Should Have
159	From the Staff Portal, the system will allow Board staff to track certain information regarding the peer review. A.A.C. R7-5-504(B)(1)(d)	Functional Requirement	Must Have
160	From the Staff Portal, the system will allow Board staff to send notifications to an auditor regarding its peer review report.	Functional Requirement	Should Have
161	From the Staff Portal, the system will allow Board staff to query the system to determine which engagement letters were approved prior to the Board's audit guidelines being issued. For engagement letters approved prior to the Board's audit guidelines being issued, the auditor must complete one addendum that covers all engagement letters previously approved by the Board. Requirements outlined in Rule and Board policy.	Functional Requirement	Must Have
162	From the Auditor Portal, the system will include an engagement letter addendum form for the auditor to complete and submit. In lieu of an online form, the auditor could upload its addendum into the system through the Auditor Portal. Requirements outlined in Rule and Board policy.	Functional Requirement	Should Have
163	From the Staff Portal, the system will allow Board staff to notify the auditor that an engagement letter addendum is required and identify the charter holders' engagement letters that will be covered by the addendum. Requirements outlined in Rule and Board policy.	Functional Requirement	Should Have
164	The platform and website will have a seamless interaction (ideally, it's one system, not two).	Nonfunctional Requirement	Must Have
165	The system will meet ASET strategic guidelines ("Cloud First" and "Configurable Software Platform").	Nonfunctional Requirement	Must Have

166	All user interfaces will be browser agnostic.	Nonfunctional Requirement	Must Have
167	The system will fulfill all ASET published data privacy and security guidelines (security spreadsheet is viewable on ASET's web page).	Nonfunctional Requirement	Must Have
168	From the Charter Holder Portal, the system will provide intuitive access to information and submissions (e.g. 3 clicks to get what you want).	Nonfunctional Requirement	Must Have
169	System communications will be 'spam-proof'.	Nonfunctional Requirement	Must Have
170	The 'clock' within the system needs to stay accurate. (e.g. If an amendment revision is submitted timely, ASBCS needs to stay 'on the clock') to ensure compliance with timelines outlined in Rule and Board policy.	Nonfunctional Requirement	Must Have
171	The system must be able to allow for migration and cutover of historical data from the current system. For example, all information from the "Audit records" in the current system - ASBCS Online (all fiscal years) - will be transferred over to and stored in the new system.	Transition Requirement	Must Have

SECTION B: GAP ANALYSIS & IMPACT STUDY

The MSSBTA Consultant worked with ASBCS Staff to understand and articulate the gaps between the current Solution and the Agency needs identified in the previous section. At the beginning of the engagement MSSBTA conducted a Staff survey. Second, after the requirements were developed, the Consultant conducted a detailed Gap Analysis comparing all the requirements identified against the current solution and marked them "Fully Met", "Partially Met", or "Not Met". The consultant then documented the impact of those requirements that were only "Partially Met" or "Not Met" within the current system. This section details those findings.

GAP ANALYSIS & IMPACT SUMMARY

The Consultant deployed a Staff Survey to identify core functions and perceived gaps and shortcomings of the existing system. Some of the major findings from the Staff Survey include:

- The core functions that a System needs to perform include: 1) Workflow and Task Tracking, 2) Information Management and Reporting, and 3) Communications
- The top pain points with the existing system is that it does not effectively facilitate: 1) Workflow and Task Tracking, 2) Communications, and 3) Information Management and Reporting
- For these same three areas, Staff has developed multiple system workarounds to perform their required duties and responsibilities which results in significant waste and inefficiencies
- IT Support challenges include: 1) issues with timing and workflow, 2) associated costs, 3) communication with the vendor, and 4) unintended consequences from system changes
- Top customer complaints include: 1) a poor user interface, 2) charters and members of the public can't find information (or information is inaccurate), and 3) document uploads are difficult
- If the system worked as well as it could, it would: 1) provide intuitive access to information for the public, 2) intuitive processes and workflows for Staff and Schools, and 3) effectively manage communications between public and private stakeholders
- Processes that must be automated in a new system include: 1) automated workflows and tracking, 2) integrated forms, templates, letters, and surveys, 3) automated notifications and communications, 4) automated reports and dashboards, and 5) inter-agency integrations

There were 171 total requirements identified in the Business Requirements Document. Each of these requirements were prioritized as "Must Have", "Should Have", and "Nice to Have". These requirements were then compared to the current solution (ASBCS online) and evaluated as "Fully Met", "Partially Met", "Not Met", or Transition requirements. From this detailed gap analysis, the following table shows the number of requirements that fell into each of these categories.

	Must Have	Should Have	Nice to Have	Total
Fully Met	16	0	1	**17**
Partially Met	66	6	3	**75**
Not Met	45	22	11	**78**
Transition	1	0	0	**1**
Total	**128**	**28**	**15**	**171**

From this table, **16 of the 128 (12.5%) of the Agency's "Must Have" requirements are met in the current solution.**

The Consultant also conducted an analysis of the impact of the current solution of only partially or not meeting the identified requirements. Agency Staff was asked to rank the impact by the following scale:

- **High Impact:** Creates a legal or regulatory risk; or, Creates a compliance issue with Board Rules; or Creates a significant inefficiency or time burden on a large percentage of Staff or other stakeholders
- **Medium Impact:** Creates a moderate inefficiency (increased time burden for a few individuals)
- **Low Impact:** Creates a minor inconvenience for a small population of stakeholders

The following table shows the results of this impact analysis.

	High Impact	Medium Impact	Low or No Impact	Transition	Total
Must Have	26	79	22	1	128
Should Have	2	13	13	0	28
Nice to Have	0	6	9	0	15

There were 26 **High Impact** “Must Have” Requirements that are either “Not Met” or “Partially Met” with the current system. These 26 requirements along with a description of the impact are captured in the following table:

#	**Requirement Description**	**Impact Description**
1	From the Public Portal, the system will have a clear and simple interface. The public portal will be easy to navigate and access public information. The most common information need is to search for a school and find out information about a school and their performance under the Board as outlined by statute, rule, and policy (location, student count, diversity, program of instruction, academic performance, financial performance, operational performance, ownership, affiliations, complaint statistics, whether a Charter Holder is within and Intervention Process, or any issues that might impact a school's ability to operate in the future, etc).	Current system is awkward and not intuitive. Public stakeholders can't easily find information. Agency transparency is often questioned.
2	From the Staff Portal, the system will allow Board Staff to manage all required applications related processes and workflows in one system: 1) New Charter Applications, 2) Amendments, 3) Renewals, 4) Interval Reviews, and 5) Site Visits. The system will facilitate communications between Applicants, Board Staff, and other Stakeholders all within the System. The system will provide for tracking of application status, be intuitive, and easy to navigate. Each of these processes are outlined in Rule.	Current system limitations necessitate the creation of workarounds for Staff. Much of the work and processes are performed outside the system and then Staff circles back and uploads required documents later. Multiple Excel tracker spreadsheets are used to manage workflows. These work-arounds result in significant waste and inefficiencies of staff time and make the processes more prone to human error. For Charter Holders the disjointed processes create confusion.
3	From the Staff Portal, the system will facilitate the annual audit process. Arizona Revised Statutes (A.R.S.) §§ 15-183(E)(6) and 15-914 require all charter schools to have an annual audit. Pursuant to A.R.S. § 15-914, charter school audits must be conducted in accordance with Government Auditing Standards. The system will facilitate the annual audit process that consists of the following high level steps: 1) The Board develops and publishes annual guidelines; 2) Charter Holder contracts with an auditor; 3) Auditor sends an Engagement Letter; 4) Board Staff reviews and approves the Letter; 5) The auditor conducts the Audit and submits the Audit Package; 6) Board staff determines audit completeness; and 7) Board staff reviews the audit, notifies charter holder of submission requirements and makes the review results public. A.A.C. R7-5-504.	The current system was recently overhauled to better accommodate the annual audit process. This overhaul was a major undertaking and the limitations of the current system still cause much of the work to be performed outside of the system. Inefficiencies and increased time burden on staff. Unnecessary maintenance expense.

4	The system will incorporate a communication tool and house all communication in order to encourage Staff and Charter Holders to be official in their communications. The system will also maintain communications indefinitely to avoid losing history when Staff changes. Each communication potentially is a legal document or a document that must be maintained due to the Board's retention policy or pursuant to Arizona's retention policies as applicable.	The current system has limited internal communication ability. A significant portion of communications are done through G-mail. These communications are later uploaded to the system. Inefficiencies and increased time burden on staff.
5	From the Public Portal, the complaints management process, as outlined in Rule and Board policy, will be clearly defined for all public users. The public user interface for submitting complaints and receiving updates on complaints will be highly intuitive and transparent to public users.	The current system has limited complaints management functionality. The bulk of the complaints management process is conducted and managed outside the system using G-mail and an Excel "tracker". There is a form that public users can fill out, but what happens after that isn't at all clear. Lack of visibility and transparency for the public.
6	From the Public Portal, the system will ensure equity to all users. It will be ADA compliant. The Board is required to maintain ADA compliance. It will have Spanish and other language translation capability and be friendly to Google Translate.	The current system does not create equity for all public users. It also potentially creates liability for the Board.
14	From the Charter Holder Portal, the system will support an 'easy-to-use' complaints management process as outlined in Rule and Board policy.	Due to the limitations of the current system, the complaints management process is currently tracked and managed outside the system using e-mail communication. Without having an easy-to-use complaints system, charters question the validity of the complaint process. This is concerning from a legal standpoint when Staff is required to substantiate a complaint. There cannot be any question about how the complaint was handled. There is also potential confusion and increased time burden for Operators.
15	From the Charter Holder Portal, the data for Charter Holder operational performance as outlined in Rule and Board policy will be clearly indicated in an easy to understand format.	Currently, operational performance is displayed in a static Operational dashboard. This display is awkward to negotiate and only updated upon certain actions taken by staff. It is important for transparency of ALL stakeholders, and is one of the most cumbersome processes for Staff. Potential confusion for charter holders and inefficiencies and increased time burden on staff.
17	From the Staff Portal, the system will allow a Staff Member with the appropriate privileges to locally build forms, create, and modify workflows and checklists, and create and modify templates. The system will allow Board Staff to easily make modifications to workflows, processes, checklists, forms, and templates locally without IT or vendor support. Modifications are needed regularly for the Board to stay compliant with changes in Education regulations at the state and federal level.	The current system does not allow Staff to make changes locally. All changes to workflows and checklists, forms, templates, etc must go through the vendor. This is a root cause issue why so many current workarounds exist. Inefficiencies and increased time burden on staff.
25	From the Staff Portal, the system will allow Staff members to send either mass (a specified set of Charter Holders) or individual (a specific Charter Holder) e-mail notifications related to required submissions pursuant to Statute, Rule, or Board policy, or other required activities.	The current system has no capabilities to solicit or track information within the system. Fixing this could increase charter holder compliance and improve performance of the portfolio. Also, it would reduce the inefficiencies and time burden on staff.
27	From the Charter Holder Portal, Application instructions for New Charter Applications, Amendments, Renewals, etc as outlined in Rule and Board policy will be readily accessible and easy to understand without having to toggle between pages or tabs.	Currently, most instructions are posted on the ASBCS website; however, some instructions are in the platform (hard coded). There are some conflicts between these instructions so Staff must inform applicants and Charter Holders which instructions to use. Applicants and Charter Holders then must go back and forth between tabs and various web pages as they are filling out the forms. The hard coded instructions are near impossible to update (even for the vendor). This creates confusion and multiple re-submission requirements for charter holders increasing their time burden. It also creates inefficiencies and increased time burden on staff.

55	From the Staff Portal, the system will automatically notify a designated staff member when a new complaint arrives to ensure timeframes outlined in Rule and Board policy are met and safety concerns are addressed quickly.	There is currently no way for Staff to know when a new complaint is submitted to the system other than to conduct a daily scan of all complaints that have been submitted through the online form. It is very easy to miss new complaints which could have significant consequences. Inefficiencies and increased time burden on staff.
63	From the Staff Portal, a staff member with the appropriate privileges will be able to modify the complaints management workflow should future changes be required pursuant to changes to rule or Board policy.	To make any changes to the system, Staff must get the Vendor involved. The system currently manages workflows via 'tabs' which is ineffective. Inefficiencies and increased time burden on staff.
67	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the system will allow a Staff Member to manually redact a complaint description in any communications with the Charter Holder.	The current system allows Staff to manually redact information from within templates; however, it is glitchy. It is not a certainty what will come out of the system. Errors could be made which could expose information that should have been redacted. Inefficiencies and increased time burden on staff.
69	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the system will allow a designated staff member to assign a due date for a Charter Holder to respond to a specific complaint.	Currently, Staff manages the complaints process and due date responses outside the system through an excel tracker and spreadsheet. The Staff member communicates due dates via G-mail. This can create inconsistent communication and lack of transparency in the process if the deadline is not clear. Inefficiencies and increased time burden on staff.
70	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the system will track (and allow Staff to view) Staff Performance Management Metrics such as Complaint Cycle Times, Complaint WIP, Response Times,	The existing system does have templates; however, they are hard-coded and cannot be easily modified locally. Additionally, changing one template sometimes has an unintended chain reaction on other templates which again consumes Staff or Vendor time to correct. Few fields are automatically populated and "cut and paste" errors and formatting issues are rampant. This causes communications to appear unprofessional and can potentially result in loss of confidence in the Agency's professionalism and capabilities. Inefficiencies and increased time burden on staff.
73	From the Staff Portal, for complaints submitted pursuant to Rule or Board policy, the system will track (and allow Staff to view) Staff Performance Management Metrics such as Complaint Cycle Times, Complaint WIP, Response Times,	Currently staff performance data must be collected from various Excel trackers, etc. This makes collecting metrics and managing staff performance much more difficult. Inefficiencies and increased time burden on staff.
75	From the Charter Holder Portal, the system will allow Charter Holders to be able to upload documentation regarding a specific complaint. The charter holder will be able to send communications regarding complaints submitted pursuant to Rule or Board policy to Board Staff within the Charter Holder's Portal.	Most communication regarding complaints is currently conducted by e-mail. Some, but not all, is later recorded in the system. All communication needs to be in the system and tracked to ensure validity and transparency in the system. Inefficiencies and increased time burden on staff.
76	From the Staff Portal, the system will notify a designated Staff Member when new documentation is uploaded to the system and will provide a date/time stamp for tracking. This will ensure Board staff will adhere to timeframes outlined in Rule and Board policy.	The system must be constantly monitored as there are limited notification capabilities. It is easy to miss things that are uploaded; as a work around, Staff often instructs Charter Holders and Applicants to submit via e-mail. Inefficiencies and increased time burden on staff.
88	From the Staff Portal, the system will allow Board Staff to communicate with the Charter Holder regarding renewals and interval reviews as required in Rule and Board policy. These communications shall be tracked and stored indefinitely by the system pursuant to the Board's record retention policy.	The limitations of the system result in a significant portion of communications regarding renewals and interval reviews to be managed outside the system. These communications are later uploaded to the appropriate record by Staff. This impacts about 1/5 of the portfolio every year so the time burden is significantly increased. Inefficiencies and increased time burden on staff.
164	The platform and website will have a seamless interaction (ideally it's one system, not two).	Currently, there is a highly disjointed association between the existing website and ASBCS online. This often creates significant confusion for public members and charter holders. There are multiple links back and forth with explanations and interpretation guidelines. Inefficiencies and increased time burden on staff.

165	The system will meet ASET strategic guidelines ("Cloud First" and "Configurable Software Platform").	The current software is not user configurable. Compliance with State guidelines
166	All user interfaces will be browser agnostic.	The current software is written in a language that is no longer in common use; it is difficult to find coders that can make changes, even within the current vendor.
167	The system will fullfill all ASET published data privacy and security guidelines (security spreadsheet is viewable on ASET's web page).	The current platform is likely at risk for data privacy breaches.
168	From the Charter Holder Portal, the system will provide intuitive access to information and submissions (e.g. 3 clicks to get what you want).	The current platform is not user friendly for any user. It is difficult to find information and not intuitive to use. This results in complaints about transparency even when the required information is actually available to the public.
170	The 'clock' within the system needs to stay accurate. (e.g. If an amendment revision is submitted timely, ASBCS needs to stay 'on the clock') to ensure compliance with timelines outlined in Rule and Board policy.	Most processes are tracked and managed outside the system in excel tracking spreadsheet. Dates are tracked in the spreadsheet and then manually input into associated communications. These trackers are prone to human error and data entry mistakes. Dates are hard to track (or impossible) within the current system.

STAFF SURVEY RESULTS

As part of the Needs Assessment and Online Platform Evaluation Project, MSSBTA conducted a Staff Survey. The results of this Staff Survey are provided in this section.

Online Platform Evaluation and Needs Assessment

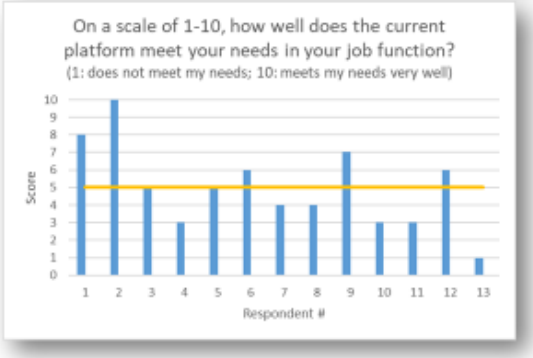
Survey Results
Detailed Review

June 12, 2020

MSS

Staff Survey Summary

- Survey Active: 06/01 thru 06/04
- 13 surveys sent, 13 received
- Time investment from staff
  - Average: 42 minutes
  - Range: 11 minutes to 155 minutes
- 18 questions total
  - 6 demographic, job function questions
  - 12 open ended questions to elicit pain points and requirements



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What job functions do you need the system to help you perform?

1. Workflow Management / Task Tracking
   - "Track information (e.g. receipt of engagement letter, receipt of audit, results of audit review, corrective action plan, intervention requirements)"
   - "Manage new charter applications and amendments" "Manage which charters have submissions requirements"
   - "Process an amendment or perform compliance requests" "Tracking, reviewing, evaluating, and approving amendments"
   - "Tracking, communicating about, and keeping records related to site visits and other compliance related situations"
   - "Tracking and communicating charter compliance"
   - "Understand when new complaints are submitted, status of complaints, and end-to-end complaint management"
   - "Almost everything"
2. Information Management / Reporting
   - "Regularly pull information from the system" "Reviewing charter holder information"
   - "Create financial dashboards" "Operational dashboard markings" "Post information to dashboards" "Update information regarding Charter performance"
   - "Store information" "Post communications and reports in DMS" "Uploading and housing charter information" "Make changes / updates to charter holder information"
   - "Generating reports to indicate which charters are involved in certain processes (site visits, intervals, renewals)" "Answer calls regarding contact information for open charters" "Generating reports and responding to inquiries"
3. Communications
   - "Communications to charter holders."
   - "Creating and sending notifications"
   - "Manage correspondence between board and school regarding complaints"

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What are your personal top 3 pain points with the existing platform?

1. Workflow Management / Task Tracking
   - "Tracking of Tasks" "System cannot be used to track tasks"
   - "Not intuitive to the task or process" "Lots of extra steps" "Extra unnecessary steps wastes time."
   - "Multiple tasks automatically generated by system, but difficult to close. Sorting through tasks wastes hours."
   - "Having multiple tabs open to match School Names to person requesting"
   - "Not intuitive. Especially with dates, deadlines, automation, and task tracking"
   - "Does not notify when a new complaint is submitted. Easy to miss."
2. Communications
   - "Communication / Letter Templates are not consistent or easy to update" "Formatting is atrocious"
   - "Cannot send additional correspondence" "G-mail to communicate."
3. Information Management / Reporting
   - "It is not easy to pull information from the existing system" "Finding information is difficult for all stakeholders"
   - "When creating reports, system does not populate accurately. End up creating outside spreadsheets."
   - "Navigation is impossible" "Not intuitive or user-friendly"
4. Support
   - "System is not easily updated. Need to get Synapse involved. When changes occur, have unintended consequences"
   - "Occasionally, functions don't work" "Glitches frequently"

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What types of work-arounds have you or your organization developed to deal with the inadequacies of the current platform?

1. Workflow Management / Task Tracking Work-Arounds
   - "Trackers galore!" "Tracking everything manually on multiple spreadsheets" "We have trackers for every process so that we don't lose sight of what needs to be on our radar (New Charter, Replication, Amendments, 30-day compliance, individual tasks, etc.)"
   - "Pages-long process documents that should only be a sentence long." "Have a few "how-to" guides for navigating different requests."
   - "Due date management in Excel"
2. Information Management Work-Arounds
   - "Reaching out to Synapse to run queries from the system to get the information we need"
   - "Creating additional tabs or pages to make information easier to locate."
   - "Conduct audits of the reports that we run through the system because information queried is inaccurate."
   - "Updating links on our website to get public where they need to be." "Accessing system as Rep to remedy issues."
3. Communications Work-Arounds
   - "Letter templates are created outside of the system to copy into the system when needed"
   - "Creating documents outside of the system to copy and paste for formatting, creating a link to specific areas (such as the financial dashboard, which is not accessed the same way the academic and operational performance dashboards are) so I can access it easier"
   - "Work off of three systems simultaneously: the online platform, Gmail, and then save those communications to DMS"
   - "It is easier to have the information sent to me and for me to upload it into the system, then it is to work with uploads submitted by charters."
   - "Using Gmail for the bulk of communication, and then upload communications into the Document Management System"

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When you do have a problem or IT support need for the current platform, what challenges have you had in getting your problem addressed?

1. Timing & Workflow
   - "The need to submit a ticket to Synapse and then waiting to see if they can make the change and how much it will cost."
   - "After putting in a request for help in finding information, the time to find out that it is only accessible to certain people without any clarification on the platform." "I have to email another staff member to make a request to the existing company to look into the issue or fix the bug. "
   - "The system for submitting needed changes or issues is only accessed by certain people. Although I've recently been given access, I haven't been trained, so I don't know how to use it.
2. Costs
   - "It costs money to fix any major issue, so they don't" "It can be slow and very expensive when changes are needed."
   - "Not knowing if it is something that can be fixed within the budget."
   - "Every change costs money, so we typically try to find a work around instead of making changes."
   - "For a small agency and completely being general fund appropriated we do not have much flexibility with our budget therefore some projects/changes that we want/need to do just cost too much. "
3. Communication with Vendor
   - "It takes time to communicate to them through their IT language in order to describe what functions we are requesting."
   - "If an issue exists, we have to generate screen shots and explain the issue, send it along to an online person we can't really speak to, and communicate through an unwieldy chat function that generates a lot of back and forth. Then, the changes eventually get made (which sometimes is very quick and other times takes forever)."
4. Unintended Consequences
   - "The main issue is that usually getting a problem fixed creates additional issues or it is just more difficult to resolve than had anticipated.

MSS

What are the top customer complaints with the current platform?

1. Poor User Interface
   - "It is not user-friendly." "It is cumbersome to use" "Not visually pleasing or easy to read" "The platform looks and functions like an antiquated system"
   - "Not intuitive" "It is not intuitive, and requires a lot of time working with it to fully understand how to use it" "Creates a confusing customer experience"
   - "Just generally hard to use and navigate." "Too hard to navigate through." "Parent's have a hard time navigating" "Impossible to navigate"
   - "The log in and password function trips up a lot of people (again, too many steps)"
   - "Does not have an inviting first page that represents who we are and what information a public user has access to"
   - Not notifying them of upcoming deadlines and document requirements.
   - It does not integrate with other systems we use (Gmail, Google, ASBCS website)
   - "Necessary to open an excessive amount of tabs and backtracking. "
2. Can't Find Information (or information is inaccurate)
   - "The public does not find it transparent." "Unless you know what you are looking for and where it is housed, you won't find it." "Information that should be easily accessible is buried and hard to access." "Difficult to find information" "Hard to find information" "Can't find information."
   - "Some information is completely outdated" "Outdated information" "In some cases, enough information or the right information is not available."
   - "It doesn't work and the due dates in letters are incorrect (coding)."
3. Document Uploads are Difficult
   - "Too many steps to upload individual documents" "Too many (confusing) steps to access and review documents uploaded by board staff" \
   - "Links frequently seem to not work for uploading of docs."
   - "Some areas allow for multiple document uploads, others do not. This limits what/how they can submit"
   - "Instructions inside the system (for amendments specifically) often do not align with the instructions provided by Board staff (because changing the system costs money, so we just tell them to ignore the instructions in the system, but it confuses people)"

MSS

Is there anything the platform does well?

1. Houses Needed Information
   - "The current platform does provide needed information." "It houses information that we need."
   - "Storing and maintaining information. It holds basic charter information in one place, and that component is easily accessible by staff."
   - "Other agencies in other states that do the work we do have been satisfied with the amount of information a public user has available for their own research. "
2. Audit Review Process
   - "It took a lot of time to get it there, but the audit review process functions well. I think the new financial dashboard/intervention page work well."
   - "Access to audits and financial related information is also readily available for those doing research."
3. Linking School Websites
   - "The links created to connect each individual school's website to their performance dashboards on the online platform work correctly."
4. Search Functionality on Charter Holder's Tab
   - "The search function on the Charter holders tab has made it really easy to navigate between searches when not having much information on a particular school. Some people call and may only know the first name for a school or the general function, and the online platform search function makes it easy for me to view any schools that may fall into that category, rather than having to have the complete detail."
5. Maintenance Costs
   - "The only positive I can think of is that it is relatively cheap to maintain. "
6. Limited Reporting
   - "The reports it can generate are usually very helpful."

MSS

At minimum, what functions does a replacement platform need to be able to perform? [1 of 2]

1. Enable Schools and Public Users to Easily Navigate, Access Public Information, and Interact with Staff
   - "Easy to use and find information when needed." "User friendly for all users." "Some form of intuitiveness"
   - "Allow for easy navigation of the platform" ." "Easy to navigate for the public and charter holders" "It needs to be easy to navigate and display information"
   - "We don't want them to be surprised by what we are asking from them."
2. Enable Staff to Better Manage Processes & Workflows, Access Information, and Manage Compliance
   - "Ability to manage amendments, new charter apps, replications, and complaints. Ability for charters to submit applications, and for staff to review and provide a determination." "Easily navigate and locate information necessary to complete a process."
   - "Ability for staff to make changes to workflows when needed due to changes in laws or processes." "easy to update and make changes"
   - "Monitor operational and financial performance for all schools and create graphs/tables that are simple to track the performance and compliance status of each school for all users" "Assess and monitor academic, financial, and operational performance for all schools"
   - "Streamline compliance and workflow for all users to minimize the time spent on additional paperwork or communications to boost efficiency"
   - "Automate recurring activities such as new charter applications, monitoring schools on interval time frames, producing annual dashboards"
3. Enable Staff to Manage all Communications within the Platform
   - "Communication to charters is easy and is easily maintained/stored on the system." "Ability for communication related to processes to be housed within the system, and in a place related to the process."
   - "Send additional correspondence."
   - "Strengthen communications and transparency with public users and our schools."

MSS

At minimum, what functions does a replacement platform need to be able to perform? [2 of 2]

4. Enable Staff to Better Manage, Store, and Access Required Documents and other Charter Information
   - "Document storing, An easily accessible document management system and charter dashboards." "Easy to use storage of documents and records"
   - "Manage documents and reporting to support the high volume of content we produce" "Run reports."
   - "Automate accurate reports based on information entered into the platform to quickly respond to information requests"
   - "Manage all information of a school/its charter in one area, that would also include all email communications"
5. Other
   - "It should have better connectivity with our front-end platform that is navigated to the public. When parents or educators want to navigate the online platform for details, it feels like a disconnect and they are greeted by a log in page tat is not always necessary."
   - "Integrate with other systems we use (Gmail, Google, ASBCS website)"
   - "All staff need to be able to see what our stakeholders see to guide them through processes (for example, I cannot see any of the amendment processes as our charter holders do, so when they struggle with submissions, I am not able to easily guide them through how to complete their submission)"

MSS

If this platform worked as good as it could, what would that look like?

1. Intuitive Access to Information for the Public
   - "The public would be able to access all necessary information, but protected information, would still, in fact, be protected." "More transparency and ease of finding of information for the public." "How to access what they need would be more intuitive." "Easy to find information." "Visually friendly"
   - "Inform the public about charters in our portfolio, their successes, and could help market the good work of staff and charters."
   - "We wouldn't have to spend hours training people on how to use the system because it would be intuitive.
   - "Performance dashboards would provide an overview of the data used to evaluate and allow the user to drill-down into the data, which would include more tables/graphs to display the data used to create each dashboard."
2. Intuitive Processes and Workflows for Staff and Schools
   - "It would effectively manage the Board's work and be easy to use." "Easy flow of processes in the least amount of steps." "Simplified processes."
   - "Incorporates a tracking system that shows the progress and automatically updates when tasks are completed." "Eliminate the need for trackers."
   - "It would allow staff to do their job efficiently and better respond to the ever-changing education landscape and to better support schools." "It would be a system that supported/displayed our work rather than being a detractor."
   - "One or two clicks to do everything, clear where amendment processes are." "Each process would be held in a cohesive place, and everything related to that process would be housed in that place, or easily accessible (through one click) from that place."
   - "Staff would be able to run needed reports without involving Synapse."" Reports or documents can be updated easily by either user"
3. Effectively Manage Communications
   - "All communication could be sent through the system (not outside the system, then uploaded)." "Better communication tools"
   - "Notifications of upcoming deadlines and submission dates to staff and charter holders."
   - "Charters could log in and see all of their current and past information and the charter board would communicate with them"

MSS

What processes must be automated in a replacement platform?

1. Automated Workflows and Task Tracking
   - "Tasks created based on submissions or Board staff entries" "Task completion/closeout" "No manually closing of tasks."
   - "Task Tracker Due Dates" "Have a calendar function that would tell staff when to do certain tasks or to send certain information to charters." "Track deadlines so that staff does not need to track outside of the system whether a charter has met or missed the deadline."
2. Integrated Forms, Templates, Letters, and Surveys
   - "Task-specific letter generation" "Templates" "Approval and denial letters." "Engagement letters and audits." "Instructions"
   - "Ability to send surveys and collect information for desk audits directly in the system."
3. Automated Notifications and Communications
   - "Generate alerts when deadlines approach." "Notifying staff when a charter does not meet (has too many compliance issues) on their dashboards."
   - "Generate notice of error or incompleteness." "Confirmation emails for submitting complaints." "Sending out monthly communications to the schools"
4. Automated Reports and Dashboards
   - "Automated Performance dashboards (academic, financial, operational)" "Monitoring and assessing schools that have been visited or are under a desk review."
   - "Building and running reports" "Convert data into certain tables and graphs"
5. Inter-Agency Integrations
   - "Ability to share information between other agencies in real time"
   - "Any data/graphs generated by the platform and populate directly to the agency's website"

MSS

What might be some "nice-to-have" features on a replacement platform?

1. Automated Reports and Dashboards
   - "Report generating with the ability to manipulate the report types." "Generated Excel sheets for contact information that is available to the public. Allowing potential parents of students or vendors to gather the information necessary to do the research themselves."
   - "Ability to use system to run reports for specific purposes (such as number of schools with an enrollment cap between 0 and 200 or number of schools with an ESP)" "Ability to use system information to generate a yearly report of individual charters and the full portfolio."
   - "Dashboards where we can link a document to a specific section (such as the charter gets a mark on its dashboard for an issue found during a site visit and we can link right there to the site visit report)"
2. Inter-Agency Integrations
   - "Data from outside entities could be uploaded, and would then generate needed charts, graphs, tables, etc. for Board materials."
   - "The ability to set up an internal staff project/policy management tool to collaborate with staff and outside organizations, for example when working in subcommittees and focus groups"
3. Automated Workflows, Notifications, and Communications
   - "Requests would not be able to be submitted unless request is filled in properly, all required information is uploaded and in correct location. "
   - "Ability to include more detailed charts or information into communications without it causing formatting issues, as we currently deal with."
   - "50% change in boards would be automatically identified." "Direct submission of the engagement letters and audits directly into the system."
4. Other
   - "A "nice-to-have" feature but not necessary one would be having the public access information be a separate color from the private information to help me understand what a Charter Holder, parent, or vendor is looking at while I am guiding them through our online platform."
   - "To create a hub for resources (library, courses) organized by topic. Create a transparency hub for the public to access information on our schools (site visit reports, school finances, school budgets, audits, charter contracts, new charter applications, calendars for current year, school profiles including performance, school board members)"

What are the top 3 things you would change on the existing platform?

1. Simplify, make it more intuitive, and increase ease of use
   - "Reduce the number of steps to complete processes." "Everything requires A SEPARATE step. Its hard for the public to find." "Not having so many necessary tabs" "Allow for easy navigation of the platform to strengthen communications and transparency"
   - "Tasks would be tracked within the system and eliminate the need for trackers" "Each process would be in a cohesive place."
   - "Ability to communicate within the tool" "The entire process for sending internal notification letters to Charters."
   - "The entirety of the complaint system. The way complaints are viewed."
   - "Automate recurring activities such as new charter applications, monitoring schools on interval time frames, producing annual dashboards, etc. "
   - "Make the navigation of and visual appearance more user friendly"
2. Improve information access and accuracy
   - "Access to all three dashboards in one place" "amount of information locations"
   - "Deliver updated information on charters." "Making it easier to find information."
   - "Manage all information of a school/its charter in one area, that would also include all email communications."
3. Remove glitches
   - "Keep the search function from resetting itself every time you click away from it."
   - "The fact that the system doesn't remember any filtering"
   - "It stays in a charter even when you search for a different charter until you select something in the new charter."
4. Allow for local changes
   - "The ability to make changes when needed." "Making it easier to make changes."

What things would you make sure not to change if a replacement platform were implemented?

- "Logging in is easy."
- "While it could look different, the audit processes must continue to function as they do, especially the audit review letter and intervention processes. The "if/then" and various relationships must continue to exist."
- "Overall I believe the system works, however I believe the processes could be redesigned to require less steps, making it more user friendly and easier to navigate."
- "Storing of information. "
- "The search function really helps to quickly navigate and isn't too finicky. It really helps me move around the website to different charters when necessary."
- "The system would still provide all of the needed information about a charter/charter contract that is currently there. The format of the dashboards would remain the same (although I would improve their usability and accessibility)"
- "The ability to generate reports."

Is there anything else you would like to share?

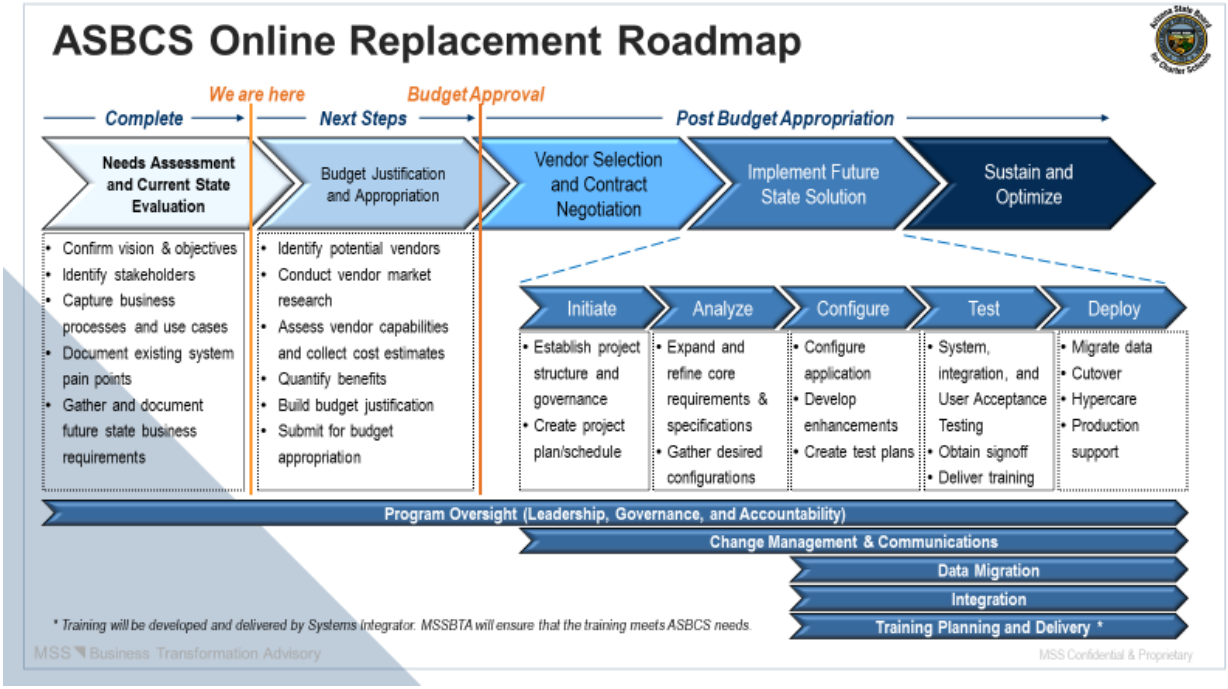
- "A new system would dramatically make our jobs easier, while also making it easier for charter holders and public to use our system to find or submit information. The amount of hours staff would earn back in work time wasted on using the current system is incalculable"
- "I think the only glaring problem is an ease of use to people that haven't been working constantly with the platform. We learn to adapt but having to adapt too much can make it nearly impossible for new users."
- "In overhauling our online platform, it is extremely important that the software developer that works with us has worked with other agencies that do the work we do, which is authorizing and supporting charter schools. Our agency follows all best practices used nationwide by other authorizers and having a company that understands the fluidity and nuances of charter schools is key to creating a transparent and effective online platform for us and our schools. "
- "Synapse has said that the system is so out of date that it is getting difficult for them to find programmers that can work on the platform and that a new system is really needed."
- "This online platform is not user friendly to either the public or the internal users. I hear complaints about it all the time from the public and personally find it very difficult to use as it is not intuitive at all."

SECTION C: FUTURE STATE ROADMAP

To better understand what a modernization effort might entail, MSSBTA built a modernization roadmap, identified critical success factors, and developed a proposed program structure for subsequent phases. This section captures the results of this effort.

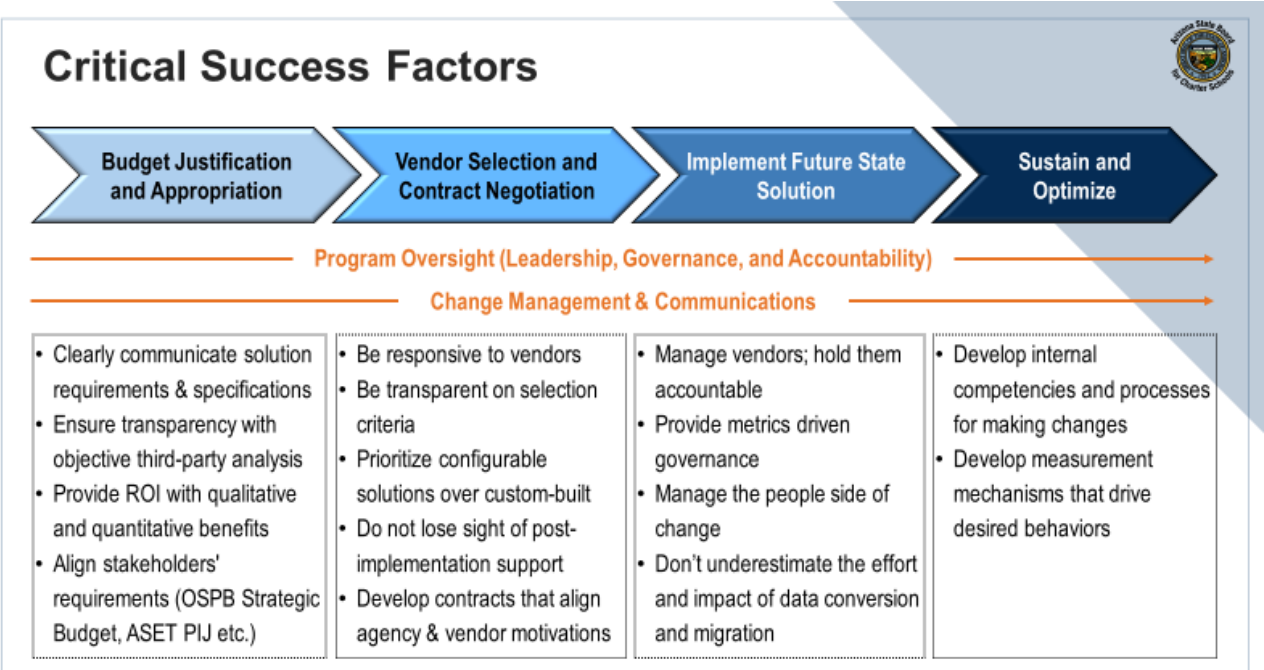
MODERNIZATION ROADMAP

As part of the Needs Assessment and Online Platform Evaluation Project, ASBCS Staff asked the Consultant to develop a Modernization Roadmap and assist the Agency in understanding what would be the next steps in the modernization process. The diagram below shows the results of this effort.



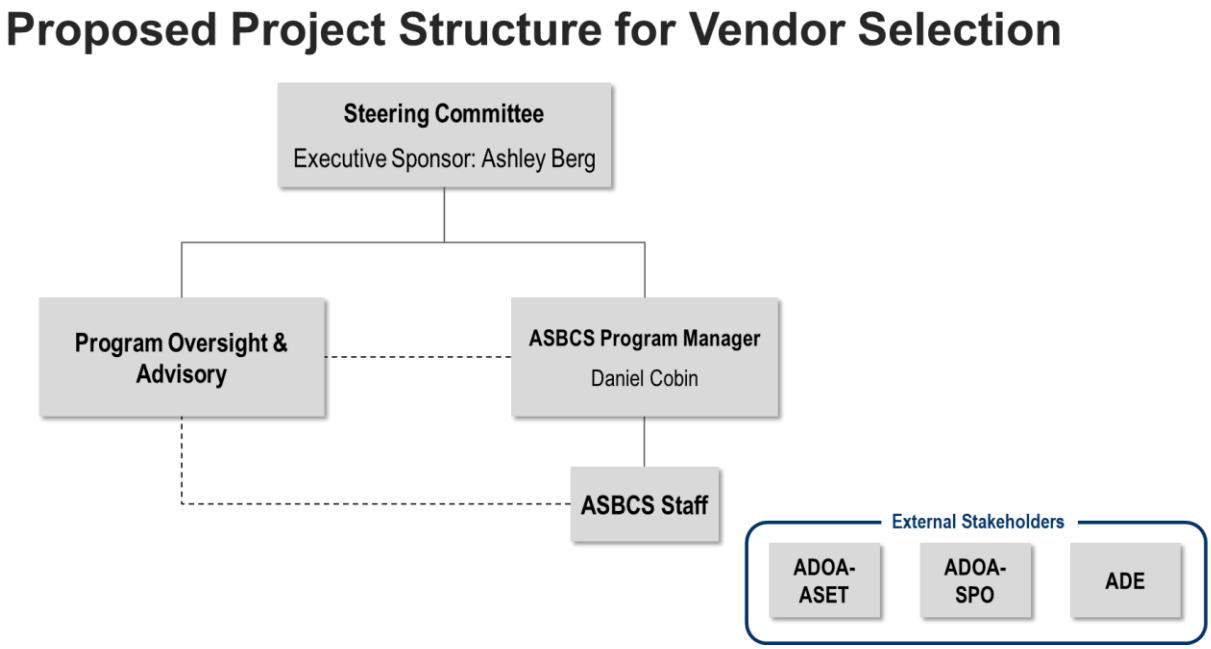
CRITICAL SUCCESS FACTORS

As part of the Modernization Roadmap, the Consultant provided Agency Staff with a list of Critical Success Factors. These Critical Success Factors are highlighted in the diagram below:

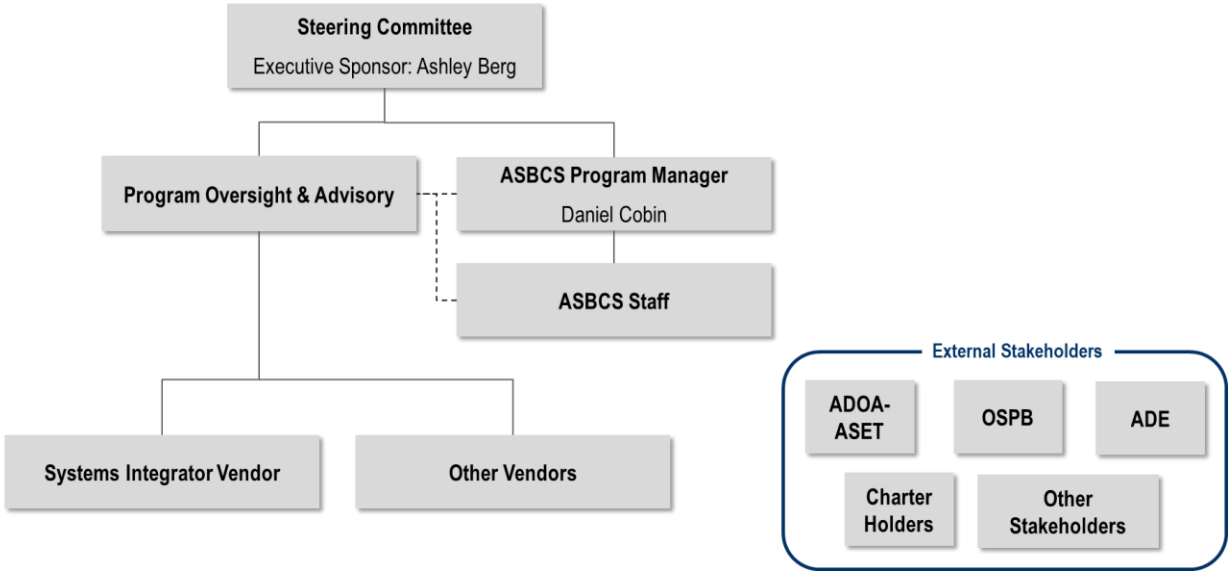


PROPOSED PROGRAM STRUCTURE

As part of the Modernization Roadmap, MSSBTA provided a recommended program structure for the subsequent phases of the Agency's modernization effort. This program structure takes into account the existing technical capabilities and capacity within ASBCS to perform tasks including: 1) Vendor Selection, 2) responding to technical questions from the Vendor during Discovery, 3) ensuring accountability of the Vendor during implementation, 4) managing and performing data migration tasks, etc. The Consultant strongly recommends a 3rd Party to provide Project Leadership, Governance and Accountability. The following diagrams represent the recommended program structure for the next two phases.



Proposed Project Structure for Implementation



SECTION D: INDUSTRY & MARKET RESEARCH

ASBCS engaged MSSBTA to conduct further industry and market research to better understand what options might be available and how much a modernization initiative might cost. The Consultant contacted various Authorizers across the Country. The Consultant also identified some potential Vendors and requested a non-binding 5-year Total Cost of Ownership (TCO) cost estimate from each of these identified Vendors. This section captures the results of this effort.

AUTHORIZER OUTREACH RESULTS

To understand the market and what modernization options might be available to ASBCS, MSS conducted outreach to other Charter Authorizers across the Country. Here are the major findings from this research:

- Texas and Arizona are the largest Charter School Authorizers in the country (portfolio > 550 schools). After Arizona and Texas, there is a significant drop-off in Authorizer size (down to LA Unified School District with 244 schools). There are only 9 total Authorizers in the country with more than 100 schools in their portfolios.
- There are two vendors that currently offer software specifically for the Charter Authorizer Market: 1) Epicenter and 2) Charter-Tools. Both of these software vendors primarily serve smaller Authorizers (those with 15-20 schools).
- The larger Authorizers typically either have a custom solution or choose Epicenter as their governance platform. Like Arizona, Texas has a rapidly aging custom solution. Epicenter's largest customer is SUNY with about 200 schools.
- Authorizer functions vary widely based on various State statutes and Authorizer practices. Neither of the existing tools typically meet 100% of Authorizer requirements; therefore, the typical Authorizer will require customization of one of these standard tools or additional technology applications to supplement their needs.

The table below captures Authorizer Outreach results.

Authority	***Conversation Notes***	***Outreach Status***
Colorado (CACSA) Alex Medler, PhD Alex.medler@coauthorizers.org	•In Colorado, Epicenter and Charter Tools are the primary players; both serve middle tier authorizers (15-20 schools) •Epicenter grew from those Authorizers that need to provide governance; Charter Tools grew from needing to provide reports •A lot of the bigger authorizers have custom solutions •Both Charter Tools and Epicenter are entrepreneurial – both appear to be evolving and there will likely be convergence in what both tools offer •CACSA has a lot of smaller authorizers and Alex is in the process of gathering their technical requirements	Conversation 7/8

California (CCAP) Dr. David Patterson David.Patterson@calauthorizers.org	•California takes a very decentralized approach and solutions are all over the map; Epicenter and home-grown solutions are the most common •LA Unified (largest) has a home-grown system •He implemented Epicenter at CARSNET and highly recommends it; implementation took about 3 months •He believes that with the size of the Arizona portfolio, Epicenter will likely build a stand-alone instance to meet Arizona's specific needs •When looking at Vendors, he feels it is very important to understand the values of the Vendors; Epicenter seems to have the right values	Conversation 7/9
Texas (TEA) Dr. Bruce Marchand Bruce.marchand@tea.Texas.gov	•Similar size Authorizer to ASBCS •Utilizing "Charter Tracking System"; home-grown solution about 10 years old; supported by State IT; solution continues to evolve •Solution appears to have similar limitations to ASBCS online; they will finally get a public portal next month; there is no Charter Holder portal; Staff uploads documents itself; no communication tool; a lot of the work is done outside the system	Conversation 7/10
Massachusetts (Department of Elementary and Secondary Education) Joanna Laghetto jlaghetto@doe.mass.edu	•Portfolio of 78 schools; different departments do different functions; not centralized like Arizona; she primarily oversees finance and Charter Boards. Board of Ed does Applications and Amendments •Massachusetts doesn't have one system per se; more of a hodgepodge of different tools: shared drives and documents; e-mail submissions	Conversation 7/10
Nevada/ Colorado (Independent Charter School Consultant) Adam Hawf adamhawf@gmail.com	•Adam's clients include Nevada and various Colorado Authorizers; Was a former authorizer •Recommends Epicenter because it is the most 'de-risked' solution even though it might not meet all requirements •His experience has been that the ROI is often not there when Authorizers are looking at replacing existing platforms	Conversation 7/9
Florida (Miami Dade Schools) Dr. Nicki Brisson nbrisson@dadeschools.net	•From NACSA: Miami Dade recently chose to go with Epicenter	No response since initial contact
Washington DC (DC Public Charter Board) No response	•From Blackbaud Rep: DC used a custom consulting shop to develop their solution	No Response

National Association of Charter Schools David Greenberg davidg@qualitycharters.org	•Wasn't aware of any additional ready built tools; Heard something about Survey Monkey entering the space – maybe in New York? •Liked the idea of Arizona moving to a tool like Epicenter or Charter Tools as opposed to a custom-built solution because it helps build a community of authorizers where peer-to-peer learning could take place •Recommended reaching out to Mike Dang in Nevada, David Frank (NYSE), and SUNY as other large authorizers	Conversation 7/15
New York (Charter School Office, NYSED) David Frank David.frank@nysed.gov Vicky Smith Vickie.Smith@nysed.gov	•Use Survey Monkey Apply as the online document management system for new applications, renewals, and annual reports. They don't have a public access portal, but it is possible. Easy to integrate other tools. They do complaints and interventions manually. Financial oversight done through another state tool. They continue to evolve around this tool •When looking for a new system, they looked at Epicenter and Charter-Tools, but chose Survey Monkey Apply because it better met their needs and cost was cheaper. Level of support is great, and they can upgrade support as needed. It is highly configurable, and they don't need a tech background to make changes. •SUNY is another authorizer in New York and they use Epicenter.	Conversation 7/17
North Carolina (NC Department of Public Instruction) www.dpi.nc.gov	•From Website: Use Epicenter •From NACSA: Provide oversight to 187 Schools	Website research
Nevada (State Public Charter School Authority) Michael Dang mdang@SPCSA.nv.gov	•Use MS Office, including Teams and PowerBI, for maybe 98% of our work. Use Epicenter as a dbase maybe 1%. The other 1% may be misc'.	E-Mail 7/21

New York (SUNY) Sinnjinn Bucknell Sinnjinn.Bucknell@suny.edu	•Authorizer for ~200 schools; Bought Epicenter due to a lot of the same issues Arizona has; Use it primarily for submissions and legal compliance; •Initial roll-out of Epicenter took about a year; was painful for Charter Holders initially, but now it's better. •Will likely stick with Epicenter in the near term for submissions and legal compliance due to investment made; moving towards a cloud database solution for document management; leveraging Tableau more for data visualization (Tableau recently purchased by Salesforce)	Conversation 7/21
Colorado (Denver Public) Matt Meyer MATTHEW_MEYER@dpsk12.org	•Authorize 60 charter schools and a smaller number of innovation schools; Staff of 12 FTE plus 10 FTE in other departments that work on charter and innovation school related functions •Different because they collaborate closely with schools (e.g. unified enrollment) and have a lot of shared IT systems •They use Google Suite, Shared folders, Infor HR, Schoolmint, Infinite campus, Enrich; a hodgepodge of systems •Advantages of multi-system approach- cheap, very little training is needed, money can go to other things •Disadvantages of multi-system approach- historic data is hard, metadata is hard, determining compliance is difficult	Conversation 7/27

The following e-mail from the National Association of Charter School Authorizers shows the largest Authorizers in the Country. Superimposed in red is the software platform currently in use at each of these Authorizers.

Cory Ter Eick

From: David Greenberg <davidg@qualitycharters.org>
Sent: Wednesday, July 15, 2020 12:30 PM
To: Cory Ter Eick
Subject: Re: Information Request from Arizona State Board of Charter Schools

Hey Cory,
Here is some info to get you a little farther along:

Authorizer Name	State	Schools	Contact	
Texas Education Agency	TX	586	X	Custom Solution
Arizona State Board for Charter Schools	AZ	504	X	
Los Angeles Unified School District	CA	244	Not sure. I know the	Custom Solution
North Carolina Department of Education	NC	187	?	Epicenter
State University of New York Charter Schools Institute	NY	182	Sinnjinn Bucknell	Epicenter
Utah State Charter School Board	UT	121	Perhaps Jennifer Lar	Custom Solution
Chicago Public Schools	IL	119	Some transition rece	Epicenter
New Jersey Department of Education	NJ	111	Julie Blunt	Custom Solution
Miami Dade County Public Schools-Charter School Operations	FL	102	Nicki Brisson	Epicenter
District of Columbia Public Charter School Board	DC	98	Erin Kupferberg	Custom Solution
Philadelphia School District	PA	88	Roger Kligerman	Custom Solution
Massachusetts Department of Elementary and Secondary Education	MA	87	X	Custom Solution
New York State Education Department	NY	75	David Frank	Survey Monkey Apply

David Greenberg
Director of Leadership Development, NACSA
Mobile: 612.868.0232
QualityCharters.org • Twitter • Facebook • LinkedIn

VENDOR OUTREACH RESULTS SUMMARY

The Consultant identified potential vendors for a replacement solution through outreach to other Authorizers and market research. The consultant asked each vendor identified to provide a Platform Demo, complete a Self-Assessment against the business requirements and provide a cost estimate based on a provided 5-year Total Cost of Ownership (TCO) model. The table below provides a summary of the results of the consultant's Vendor Outreach.

Vendor & Contact Information	Solution Notes	Status	Self-Assessment Results (% of 'must-haves')	*Solution 5 Year TCO Cost Estimate
EPICENTER epicenternow.org POC: Mary Bradley mbradley@nationalcharterschools.org	Market Leader in the Charter School Authorizer space; Specifically built by Authorizers for Authorizers;	Demo 7/6; Self-Assessment and 5-year TCO completed 7/17	72% Fully Met 8% Partially Met 12% Not Met 8% More Info Needed	$1,400,000
ThoughtSpan Technology thoughtspantech.com POC: Kevin Warren kevin.warren@thoughtspantech.com	Licensing, permits, investigations, and complaints for State Agencies; Currently used by AZ Lottery and AZ State Attorney General.	Demo 7/16; Self-Assessment and 5-year TCO completed 7/27	96% Fully Met 4% Partially Met; Some customization required	$235,000
Charter.Tools charter-tools.com POC: Chris Wirkkala christopher.wirkkala@charter-tools.com	Has a smaller share of the current Charter Authorizer Market; Originally built around reporting requirements for Authorizers	Demo on 7/8; Self-Assessment and 5-year TCO completed 7/17	Self-Evaluated as 100% 'fully met' given their development roadmap; MSS estimates the current version meets 50% of 'must haves'	$2,558,700
Cloud SynApps cloudsynapps.com POC: Utkarsh Bhatnagar utkarsh.bhatnagar@cloudsynapps.com	Custom Solution Builder that leverages Salesforce to build out solutions	Completing Self-Assessment and 5-year TCO estimate	Cost estimate was built based on 100% 'must haves'.	$1,726,100
MST SOLUTIONS mstsolutions.com POC: Ryan Smith ryan@mstsolutions.com	Arizona-based Custom Solution Builder that leverages Salesforce to build out solutions	Demo on 8/5; Self-Assessment and 5-year TCO completed 7/27	Self-Evaluated as 100% 'fully met'; Cost estimate was built based on 100% 'must-haves'.	$805,000

VENDOR ASSESSMENTS

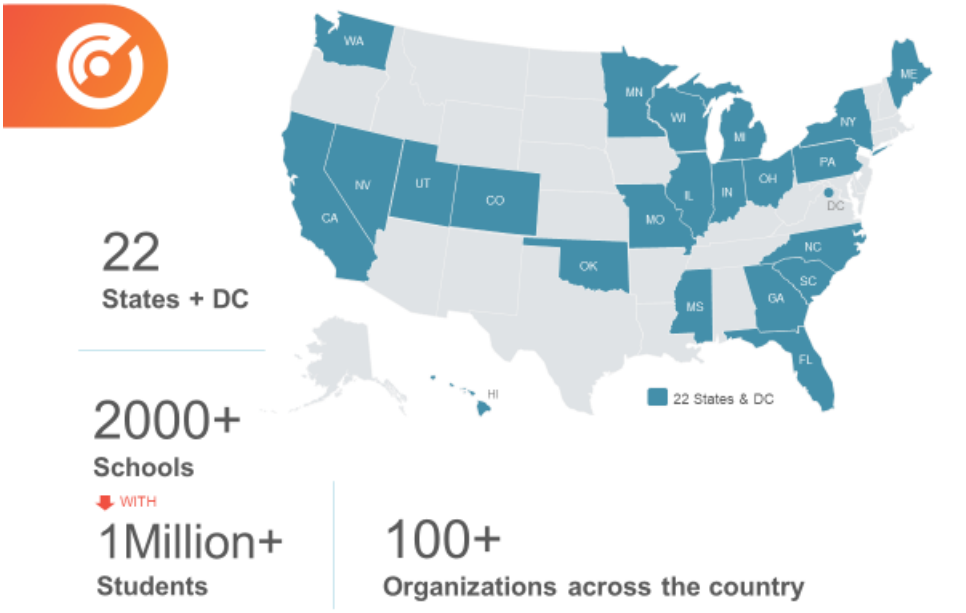
The Consultant asked each identified Vendor to complete a Self-Assessment, provide a few background slides, and to provide a demo for ASBCS Staff and the Consultant. This section captures the information collected through that effort for the five identified Solution Providers: 1) Epicenter, 2) ThoughtSpan, 3) Charter-Tools, 4) CloudSynapps, and 5) MST Solutions.

Epicenter

Epicenter is a product developed by the National Charter Schools Institute and is the most widely used solution in the Charter Authorizer space. The Vendor Self-Assessed at 72% of the 'must have' requirements being 'fully met'. The top gaps identified:

- Epicenter is a secure site so much of the information is not designed to have public facing functionality. This design impacts many of the Public Portal requirements.
- Epicenter has very limited Complaints Management functionality. Complaints management functionality would either need to be added or addressed via a different tool.
- Epicenter's internal communication functionality does not meet or only partially meets the associated communications requirements.
- Epicenter does not have functionality for Spanish language translation.
- Epicenter does not have functionality to accept payments.

Epicenter provided the following slides:



Our Partners

What Does Epicenter Do?

- MANAGE THE CHARTER LIFECYCLE
- STRENGTHEN COMMUNICATIONS & TRANSPARENCY
- COLLABORATE ACROSS ORGANIZATIONS
- ASSESS ACADEMIC PERFORMANCE
- STREAMLINE COMPLIANCE & WORKFLOW
- MANAGE DOCUMENTS & REPORTING
- AUTOMATE RECURRING ACTIVITIES
- MONITOR FINANCIAL HEALTH

| 5

"Everything you need, at your fingertips."

Your Support Team

The Epicenter Support Team is here for you!

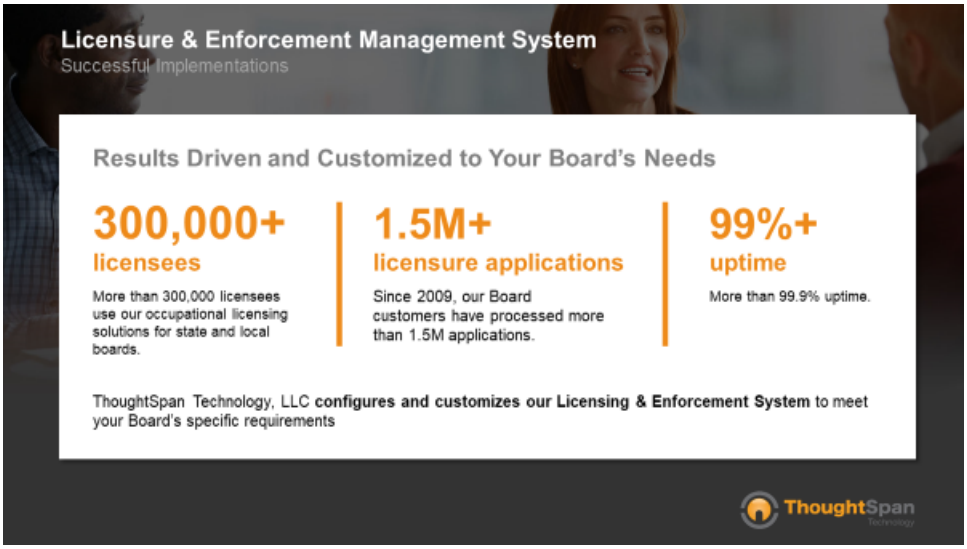
You and your schools will have access to our highly trained support team.
M-F 8 am – 5 pm ET

You will also get **24-7 access to our Help Center.**

Thoughtspan

Thoughtspan is a software development firm based in North Carolina. Thoughtspan's client base includes the Arizona Lottery and Arizona Attorney General's Office. Its software is built around occupational licensing and enforcement. The Vendor Self-Assessed at 96% of the 'must have' requirements being 'fully met'. Although there were no major gaps identified, it is important to note that Thoughtspan is primarily built for occupational licensing. There would have to be some configuration done to make it work for the Charter Board.

Thoughtspan provided the following slides:



Licensure & Enforcement Management System

Automating the Complete Licensure Landscape

Designed, Tested and Optimized for Occupational Licensing

Front-end Online Applications

Robust and feature rich system with secure Web-based public facing module that offers:

- License verification and access to public records
- Gateway – secure, central portal for licensees
- Initial Licensure via Exam and Endorsement
- Renewal / Reinstatement
- Advanced practice/certification credentialing
- LiveScan fingerprinting and Criminal Background Checks
- Educational institution portal - Program verifications and Annual Reporting
- Employment verification
- Complaints submission and tracking

Back Office Processes and Features

The engine and brains of the licensing system, a comprehensive tool for Boards to manage their core business functions:

- Management for all Online applications
- Competency audits
- Temporary licensing
- Audit trail with attachments
- Real time payment and payment history
- Occupation specific workflows
- Investigations and monitoring

ThoughtSpan Technology

Licensure & Enforcement Management System

Example—Automating the Complete Nurse Licensure Landscape

Configurable and Customizable for Boards with High Volume:

Nursing Example

Interfaces

Seamlessly integrates with vital organizations to streamline workflows:

- Pearson Vue
- NURSYS
- NURSYS Discipline Services
- DHHS, Medical Board, etc.
- Payment gateway
- Others

Core Features

- Powerful reporting tools
- Workflow automation
- Process enforcement
- Document management
- Notifications
- Integrated user group and role based security
- Dashboards

NCSBN National Council of State Boards of Nursing

PEARSON VUE

Our system can interface with any third party gateway that your Board uses

ThoughtSpan Technology

Advantages of Partnering with ThoughtSpan

Automate and Streamline Your Processes

Automating Licensure and Enforcement is our specialty.

We provide turnkey solutions to simplify your business

- Completely integrated solution from the Gateway to Back Office
- Modular work flows
- Robust reporting with configurable dashboards
- Customizable and configurable – we are thinkers and problem solvers
- Unsurpassed customer service
- Effective, efficient and timely installation
- Intricate understanding of specific licensure "business" requirements
- Advanced technical capabilities

ThoughtSpan Technology

Charter-Tools

Charter-Tools is a product developed by Critical Elements, a Seattle-based technology solutions provider. Charter-Tools is the second most widely used solution in the Charter Authorizer space. The Vendor Self-Assessed at 100% of the 'must have' requirements being 'fully met' based on its technology roadmap and anticipated implementation timeline. However, after seeing the Demo, the Consultant estimates that less than 50% of the 'must have' requirements are currently met. The top gaps identified:

- Charter-Tools appears to be built around providing reports. The governance structures, workflows, templates, etc do not appear designed for local modifications.
- Communication functionality appears to be very limited. Communications are currently handled via 'notes'.
- There appears to be very limited Complaints Management functionality.
- Charter-Tools does not appear to have significant existing functionality for a public facing component.

Critical Elements provided the following slides:

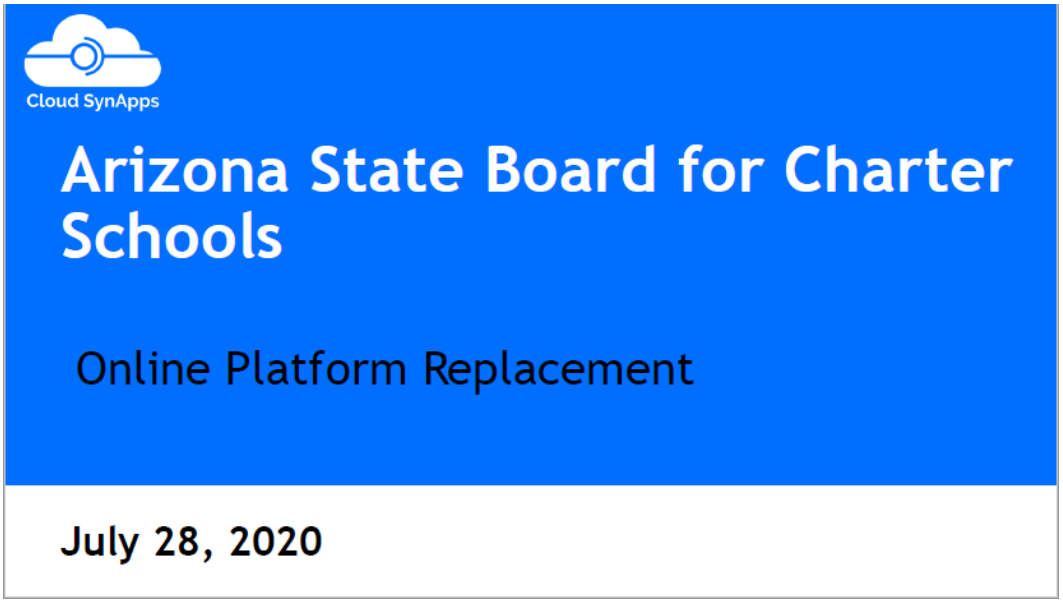
- Critical Elements' flagship charter automation software consists of a federation of software tools to manage the ***full life-cycle of charter school authorizing***
- Charter.Tools streamlines an authorizer's high-stakes review and oversight processes related to charter applications, operations, and renewals
- Flexible and customizable workflow templates support authorizer-defined performance evaluation frameworks

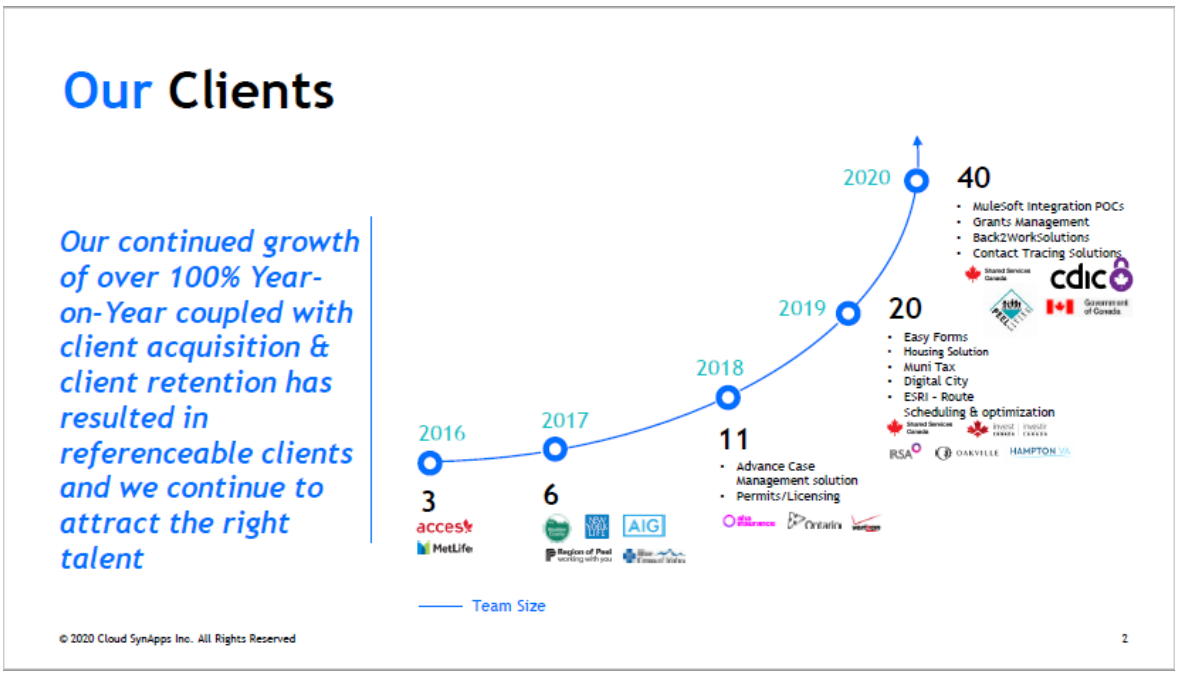
- Platform built on proven, modern, and secure software infrastructure
- Quick turnaround to design, develop, and deploy new features and enhancements to existing features
- Easy integration via web services with external systems
- Cloud-based service offered over Amazon's cloud infrastructure (AWS)

Cloud SynApps

Cloud SynApps is a small custom software developer based in Canada that leverages Salesforce as the underlying solution. The Vendor provided a ground-up cost estimate to build a solution from scratch on the Salesforce Platform based on the 'must have' requirements. Cloud SynApps is a reputable developer that leverages a combination of on-shore and off-shore developers. They provide a great data point should the State choose to not leverage an existing build.

Cloud SynApps provided the following slides:





Our Key Differentiators

We consistently collaborate with our partners to ensure a value-driven outcome for our clients

Reliable & Trustworthy

We have 100% retention rate of our customers and 0 turnover of employee's in the last 3 years

Highly satisfied referenceable customers

Right People, Right Price

Team with deep experience & industry skills

100% Salesforce certified resources

Flexible pricing

Agile & Flexible

Agility in ramp ups/downs

Flexibility in operations & terms

Process maturity

Value Driven Delivery

We engage in value driven sessions with client's business

Requirements traceability up to value drivers

Focused on Core Solution

Focus to deliver the "MUST HAVE" & "MUST WORK" functionalities

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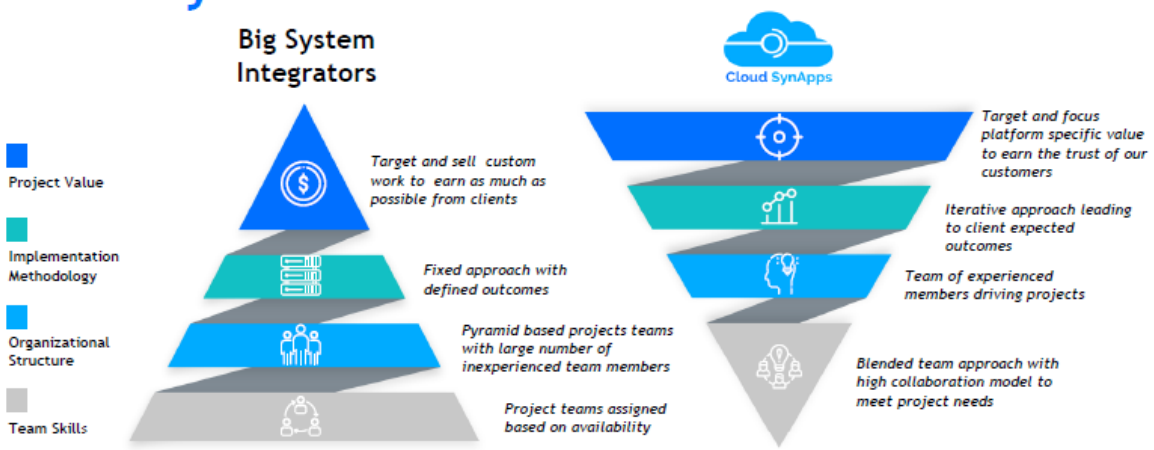
3

Our Key Differentiators



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4

Our Value Proposition

4D² SaaS Project Management Methodology

Customized & Relevant Outcomes

Collaboration / Co-creation

Unique Experiences & Faster Problem Resolution

Our Collaboration practices drive regular and timely interactions with clients during the entire project management cycle:

- *Leadership connects*
- *Project update meetings*
- *Business process driven sessions*
- *Approval / sign-off meetings*
- *Demos*
- *Training workshops*
- *Testing sessions*
- *Deployment walk-throughs*

Cloud SynApps' Value Proposition

Iterative Approach

Customized & Relevant Outcomes

Objectives & Requirements Understanding To Requirements & Scope Finalization

Current Design Review To Design Recommendations & Sign-off

Code Build To Code/Wire-frames Review To Build Sign-off

Blended Team

Flexible & Skill-based Staffing

Our Blended Workforce approach ensures an agile and result-oriented team assigned to every project.

We aim to provide the right talent and skill-set to our clients by supplementing our internal team with external expertise on-demand.

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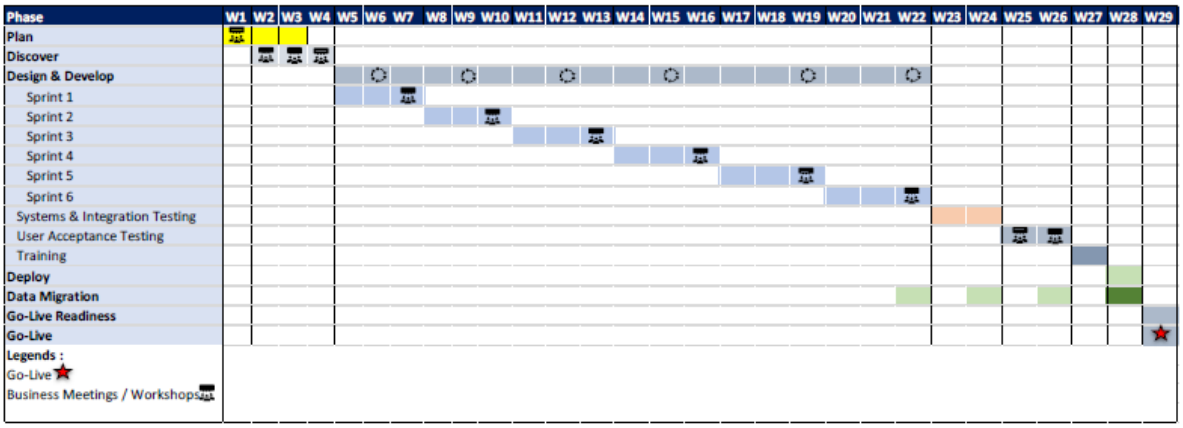
5

Implementation Schedule

Below is the high level, estimated schedule to implement the solution



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MST Solutions

MST Solutions is a Chandler, AZ based technology solutions provider. They have an e-licensing solution built on the Salesforce platform. The Vendor Self-Assessed at 100% of the 'must-have' requirements being fully met based on the ability to configure its current platform. At this time, there are no significant gaps identified by the Consultant.

MST Solutions provided the following slides:

2

A COMPLETE PLATFORM PARTNER

Solution Architecture & Design

Deep Solution Architecture practice with a focus on design for the enterprise, rather than just the short-term use case. Broad, multi-discipline expertise.

Build & Implementation

Scalable resource model. Professional Project Management able to work any methodology.

Integration

Core competency for MST. Extensive experience integrating with legacy platforms.

Administration

Deep Salesforce skillset to support and operate the platform as a managed service.

3

OUR CULTURE OF SERVICE

Customers

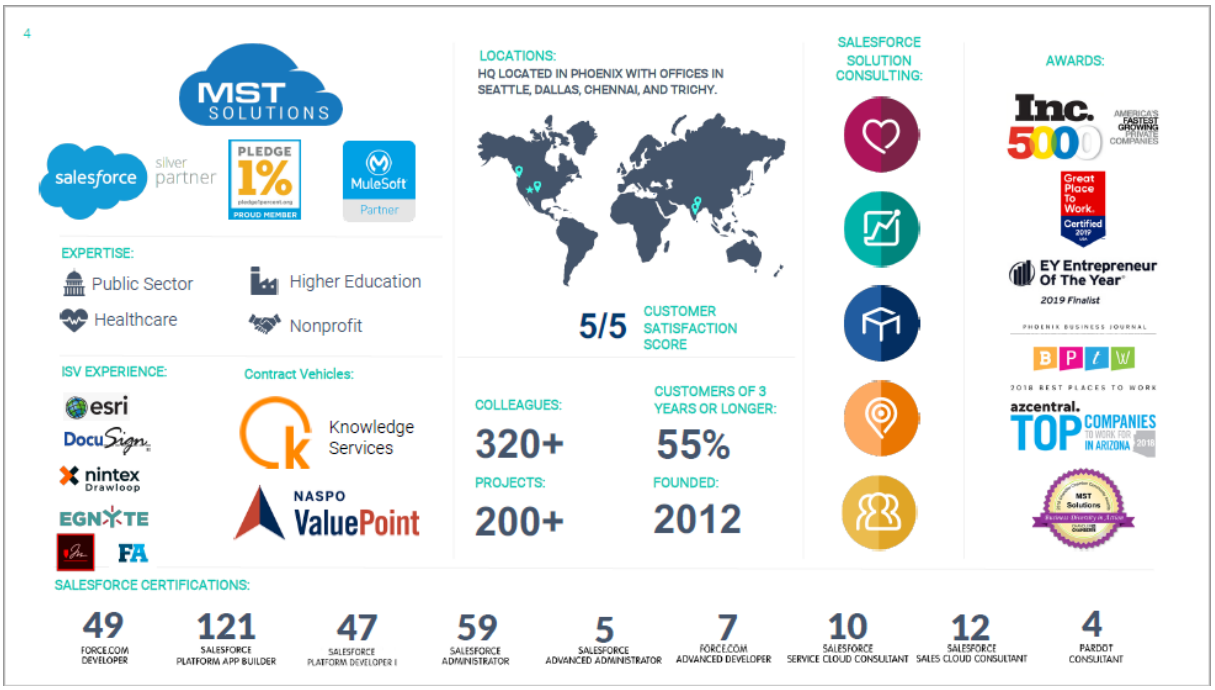
Our customers are the core of our business and their success is what drives us. We believe strongly in working with clients that believe in core values similar to ours. Because of this, we have more intimate engagements with our clients that last for years. In fact, this has led to an impressive 94% client retention rate, **one of the highest in the industry**

Community

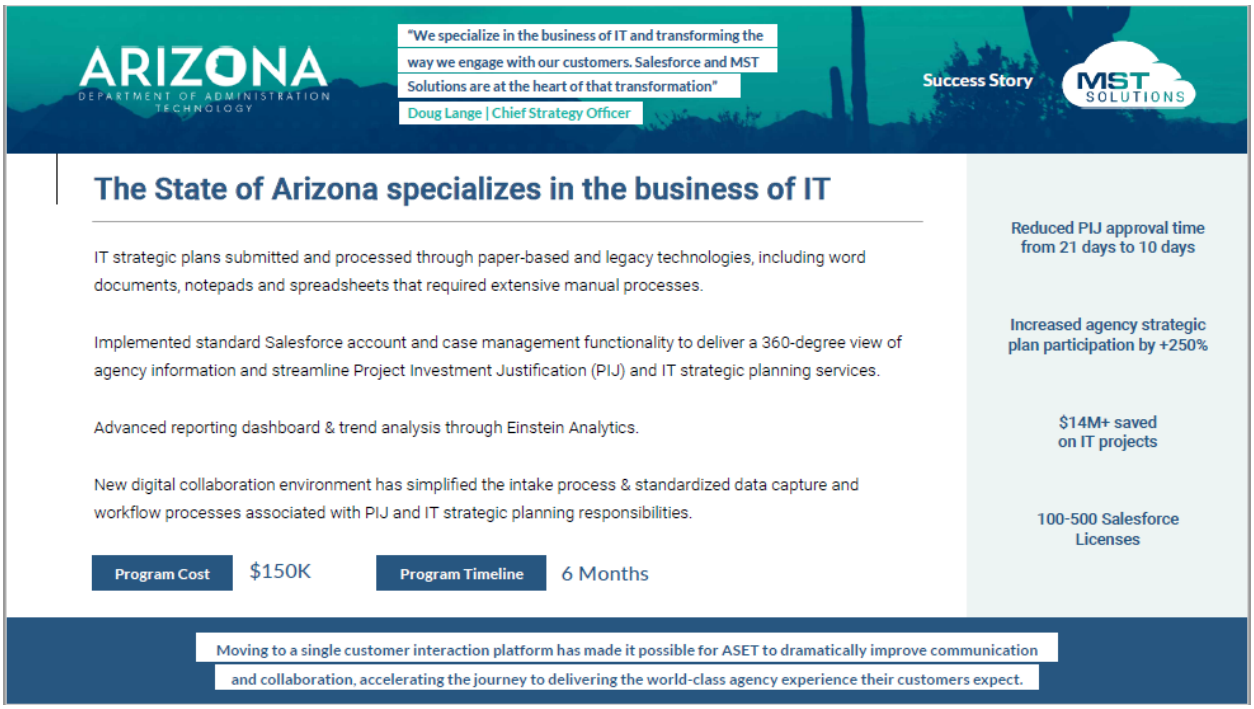
MST Solutions prides itself on creating high-quality jobs that attract employees who are passionate about **creating a legacy in the communities they live**. Through our culture commitments, our team has actively contributed to the burgeoning technology sector and has helped empower underserved communities to seek fulfilling jobs in the local economies in which we operate.

Colleagues

While MST Solutions has experienced rapid growth, we have maintained an unparalleled focus on creating an intentional culture that aligns with our company's values. With a **95% employee retention rate**, our strong culture-based value system embraces each of our team members' unique contributions, empowering all employees to make a difference and grow together––both personally and professionally––towards a shared goal.


4
MST SOLUTIONS
salesforce
silver partner
PLEDGE 1%
PROUD MEMBER
MuleSoft
Partner
EXPERTISE:
Public Sector
Higher Education
Healthcare
Nonprofit
ISV EXPERIENCE:
esri
DocuSign
nintex Drawloop
EGNYTE
FA
Contract Vehicles:
Knowledge Services
NASPO ValuePoint
LOCATIONS:
HQ LOCATED IN PHOENIX WITH OFFICES IN SEATTLE, DALLAS, CHENNAI, AND TRICHY.
5/5 CUSTOMER SATISFACTION SCORE
COLLEAGUES: 320+
CUSTOMERS OF 3 YEARS OR LONGER: 55%
PROJECTS: 200+
FOUNDED: 2012
SALESFORCE SOLUTION CONSULTING:
AWARDS:
Inc. 5000
Great Place To Work. Certified 2019
EY Entrepreneur Of The Year 2019 Finalist
BPW
azcentral. TOP COMPANIES TO WORK FOR IN ARIZONA 2018
SALESFORCE CERTIFICATIONS:
49 FORCE.COM DEVELOPER
121 SALESFORCE PLATFORM APP BUILDER
47 SALESFORCE PLATFORM DEVELOPER I
59 SALESFORCE ADMINISTRATOR
5 SALESFORCE ADVANCED ADMINISTRATOR
7 FORCE.COM ADVANCED DEVELOPER
10 SALESFORCE SERVICE CLOUD CONSULTANT
12 SALESFORCE SALES CLOUD CONSULTANT
4 PARDOT CONSULTANT

Serving State & Local - Nationally
MONTANA DEPARTMENT OF COMMERCE
ARIZONA COMMERCE AUTHORITY
EDD
Kansas Office of Information Technology Services
ARIZONA DEPARTMENT OF ADMINISTRATION TECHNOLOGY
INSTITUTE FOR DIGITAL PROGRESS
DEPARTMENT OF ECONOMIC SECURITY
Your Partner For A Stronger Arizona
FIRST THINGS FIRST
Avondale
ARIZONA COMMISSION ON THE ARTS
CHANDLER arizona


ARIZONA
DEPARTMENT OF ADMINISTRATION TECHNOLOGY
"We specialize in the business of IT and transforming the way we engage with our customers. Salesforce and MST Solutions are at the heart of that transformation"
Doug Lange | Chief Strategy Officer
Success Story
MST SOLUTIONS
The State of Arizona specializes in the business of IT
IT strategic plans submitted and processed through paper-based and legacy technologies, including word documents, notepads and spreadsheets that required extensive manual processes.
Implemented standard Salesforce account and case management functionality to deliver a 360-degree view of agency information and streamline Project Investment Justification (PIJ) and IT strategic planning services.
Advanced reporting dashboard & trend analysis through Einstein Analytics.
New digital collaboration environment has simplified the intake process & standardized data capture and workflow processes associated with PIJ and IT strategic planning responsibilities.
Program Cost
$150K
Program Timeline
6 Months
Reduced PIJ approval time from 21 days to 10 days
Increased agency strategic plan participation by +250%
$14M+ saved on IT projects
100-500 Salesforce Licenses
Moving to a single customer interaction platform has made it possible for ASET to dramatically improve communication and collaboration, accelerating the journey to delivering the world-class agency experience their customers expect.

MST SOLUTIONS
Our Licensing Story
A Licensing MVP/Accelerator built on Salesforce
Driven by Purpose
A licensing solution that enables government to deliver licenses at the speed of business
Solution to real-world problems
Configurable & quick to onboard
Built on Salesforce & mobile ready
Auto Notifications – email & Texts
Integration
Workflow Automation
Service & Maintenace
Robust Metrics & Reporting
Configurable
Dynamic On-Line Portal
Employee Views
Licensing Solution

VENDOR COST ESTIMATES (5 YEAR TCO)

The Consultant asked each of the identified Vendors for a cost estimate based on a 5-year Total Cost of Ownership (TCO) Model. For consistency, the Consultant asked each Vendor to provide pricing based on delivering all of the 'must have' requirements with the intention that the 'should have' and 'nice to have' requirements can be used as a differentiator.

Epicenter

EPICENTER	Year 1	Year 2	Year 3	Year 4	Year 5	Vendor Notes / Assumptions:
Software Cost	$275,000.00	$275,000.00	$275,000.00	$275,000.00	$275,000.00	The listed price is a discounted price from the normal $1,900 per school. The stated pricing will remain stable for 350-600 schools
Hardware or Hosting costs (if applicable)	$0.00	$0.00	$0.00	$0.00	$0.00	Included
Implementation Costs (Initiate, Analyze, Configure, Test, Deploy)	$0.00	$0.00	$0.00	$0.00	$0.00	Included
From Self-Assessment, Additional Cost to implement "must have's" to Fully Met						Mainly complaints and public portal. Further discovery with the partner is needed.
Data Migration Costs	$25,000.00	$0.00	$0.00	$0.00	$0.00	This is an estimate. Discovery will need to be completed to provide a more accurate number. If the migration is found to be simple, the cost could be minimal
Training Costs	$0.00	$0.00	$0.00	$0.00	$0.00	Included in overall pricing unless there is a high demand for in-person trainings. Trainings are anticipated to be completed virtually.
External System and interface costs						Discovery is needed
Software Maintenance and Support	$0.00	$0.00	$0.00	$0.00	$0.00	Included
Other Costs (describe in Vendor Notes)	$0.00	$0.00	$0.00	$0.00	$0.00	No cost, unless there is some need outside of our normal process.
System Retirement Costs (Data export/archival/inactive licenses)	$0.00	$0.00	$0.00	$0.00	$0.00	
Total:	$300,000.00	$275,000.00	$275,000.00	$275,000.00	$275,000.00	The listed price is a discounted price from

						the normal $1,900 per school. The stated pricing will remain stable for 350-600 schools
Other Costs (describe in Vendor Notes)	$20,000.00	$20,000.00	$20,000.00	$20,000.00	$20,000.00	Optional - System admin services. This would proivde greater capacity for the Arizona team. A team member would be assigned to do all administrative work in the system. This typically is done by a system administrator at the charter office, but we offer this service to assist with FTE issues or if staff need to focus on schools and school relationships instead of administrative upkeep of the system.
Other Costs (describe in Vendor Notes)	$25,000.00	$25,000.00	$25,000.00	$25,000.00	$25,000.00	Optional - "Edlusion" Enhanced Renewal and New School Application Feature. The base system has a process workflow already, but the enhanced feature provides greater ability and reporting. This add-on saves time and effort in both process and provides a streamlined system that saves time and effort with reporting.
Other Costs (describe in Vendor Notes)	$20,000.00	$20,000.00	$20,000.00	$20,000.00	$20,000.00	Optional - Expert Consulting & Leadership Coaching. The Epicenter base provides the board staff with access to support specialist as well as an NCSI leadership team member for assistance with the system. However, the partner can choose to add-on authorizer expertise consulting and/or leadership coaching annually. This can be customized according to client needs.

Thoughtspan

ThoughtSpan Technology	Year 1	Year 2	Year 3	Year 4	Year 5	Vendor Notes / Assumptions:
Software Cost	$80,000.00	$0.00	$0.00	$0.00	$0.00	Assumes 15 ASBCS staff users.
Hardware or Hosting costs (if applicable)	$0.00	$0.00	$0.00	$0.00	$0.00	Included in Annual Maintenance and Support (C17-G17)
Implementation Costs (Initiate, Analyze, Configure, Test, Deploy)	$30,000.00	$0.00	$0.00	$0.00	$0.00	
From Self-Assessment, Additional Cost to implement "must have's" to Fully Met	$0.00	$0.00	$0.00	$0.00	$0.00	Included in C12
Data Migration Costs	$0.00	$0.00	$0.00	$0.00	$0.00	Included in C12
Training Costs	$0.00	$0.00	$0.00	$0.00	$0.00	Included in C10 and C12
External System and interface costs	$0.00	$0.00	$0.00	$0.00	$0.00	Included in C12
Software Maintenance and Support	$24,000.00	$24,000.00	$24,720.00	$25,462.00	$26,225.00	24/7 support and maintenance (see attached standard terms)
Other Costs (describe in Vendor Notes)	$0.00	$0.00	$0.00	$0.00	$0.00	
System Retirement Costs (Data export/archival/inactive licenses)	$0.00	$0.00	$0.00	$0.00	$0.00	
Total:	$134,000.00	$24,000.00	$24,720.00	$25,462.00	$26,225.00	**$234,407.00**

Is there anything else you would like us to know about your solution?

1 Installed with AZ Attorney General Office (2 installs)

2 Installed with AZ State Lottery

3 Installed with Cyberscout (5 instances), a Scottsdale based company

4 Installed with more than 10 other state agencies in NC, SC, and MS.

5 Implementation timeline of about 6 months

Charter-Tools

Charter.Tools	Year 1	Year 2	Year 3	Year 4	Year 5	Vendor Notes / Assumptions:
Software Cost	$900 per school	$900 per school	$900 per school	$900 per school	$900 per school	
Hardware or Hosting costs (if applicable)	included	included	included	included	included	
Implementation Costs (Initiate, Analyze, Configure, Test, Deploy)	included	included	included	included	included	
From Self-Assessment, Additional Cost to implement "must have's" to Fully Met	included	included	included	included	included	
Data Migration Costs	included	included	included	included	included	
Training Costs	included	included	included	included	included	
External System and interface costs	included	included	included	included	included	
Software Maintenance and Support	included	included	included	included	included	
Other Costs (describe in Vendor Notes)	N/A	N/A	N/A	N/A	N/A	
System Retirement Costs (Data export/archival/inactive licenses)	included	included	included	included	included	
Total:	$482,400.00	$496,800.00	$511,200.00	$526,500.00	$541,800.00	**$2,558,700.00**

Is there anything else you would like us to know about your solution?

The following vertical tools will also be available to all licensees at no additional cost:

1. Survey Creator - Survey creation, respondent access control, and results distribution
2. OrgTracker - Comprehensive view of staff and affiliates (board members, operators, etc.)
3. Certifications Ledger - Current or expired certifications and renewal recommendations
4. Translator - Auto translation by language as required
5. Consultant Sphere - Immediate access to specialized assistance and PD
6. Plagiarism Reporter - Comparative analysis technology to flag duplicate application data
7. Comprehensive Needs Assessments (CNAs) - Collaborative tool to facilitate annual CNAs
8. School Improvement Planning - Collaborative tool facilitates strategies prompted by CNAs
9. Budgeting - Improvement strategy budgeting and performance tracking

Cloud SynApps

Cloud SynApps	Year 1	Year 2	Year 3	Year 4	Year 5	Vendor Notes / Assumptions:
Software Cost	$103,250	$103,250	$108,400	$108,400	$108,400	
Hardware or Hosting costs (if applicable)						
Implementation Costs (Initiate, Analyze, Configure, Test, Deploy)	$886,000					
From Self-Assessment, Additional Cost to implement "must have's" to Fully Met						
Data Migration Costs	$30,000					
Training Costs	$8,000					
External System and interface costs	$25,000					
Software Maintenance and Support	$38,000	$45,600	$45,600	$45,600	$45,600	Year 1 Support starts after Implementation For Year 1: 80 hours per month post Go-Live (for Month 8 to Month 12) Year 2 - 5: 40 hours per month
Other Costs (describe in Vendor Notes)						
System Retirement Costs (Data export/archival/inactive licenses)					$25,000.00	
Total:	$1,090,250	$148,850	$154,000	$154,000	$179,000	**$1,726,100**

MST Solutions

MST SOLUTIONS	Year 1	Year 2	Year 3	Year 4	Year 5	Vendor Notes / Assumptions:
Software Cost	$47,070.40	$47,070.40	$47,070.40	$47,070.40	$47,070.40	
Hardware or Hosting costs (if applicable)	$0.00	$0.00	$0.00	$0.00	$0.00	
Implementation Costs (Initiate, Analyze, Configure, Test, Deploy)	$335,000.00	$0.00	$0.00	$0.00	$0.00	
From Self-Assessment, Additional Cost to implement "must have's" to Fully Met	$0.00	$0.00	$0.00	$0.00	$0.00	
Data Migration Costs	$20,000.00	$0.00	$0.00	$0.00	$0.00	
Training Costs	$5,000.00	$0.00	$0.00	$0.00	$0.00	
External System and interface costs	$0.00	$0.00	$0.00	$0.00	$0.00	
Software Maintenance and Support	$30,000.00	$45,000.00	$45,000.00	$45,000.00	$45,000.00	for 1st year, considered 6 months support cost for rest of the 4 years considered full year support cost (with hours cap as 30 hours per month)
Other Costs (describe in Vendor Notes)	$0.00	$0.00	$0.00	$0.00	$0.00	
System Retirement Costs (Data export/archival/inactive licenses)	$0.00	$0.00	$0.00	$0.00	$0.00	
Total:	$437,070.40	$92,070.40	$92,070.40	$92,070.40	$92,070.40	**$805,352.00**

Is there anything else you would like us to know about your solution?

1 Project implementation duration - 4 months

2 Considered Salesforce Platform for the solution

3 For 1st year, considered 8 months of support

4 Considered only Must Have requirements for the cost calculations

5 Data migration - MST to provide the template on agreed data model to Client team to fill-in. MST will take care of uploading data into new system

	Year1	Year2	Year3	Year4	Year5
Salesforce Platform	25200	25200	25200	25200	25200
Salesforce Community Login	10000	10000	10000	10000	10000
Salesforce Community Login Plus	3000	3000	3000	3000	3000
Docu-sign	5270.4	5270.4	5270.4	5270.4	5270.4
Nintex (Drawloop)	3600	3600	3600	3600	3600
Total	47,070	47,070	47,070	47,070	47,070

Assumption

Considered Salesforce Essential for 14 internal users

Assuming 5000 community users - pay per login

500 Charter School needing delegate access to their employees

Assuming 1000 online forms to sign per year

Assuming 10 users need access to generate documents

SECTION E: OPTIONS ANALYSIS & BUDGET RECOMMENDATIONS

As the State considers a modernization initiative for the Agency, it is important to provide a thoughtful analysis of its options. This section provides this analysis and the key considerations around the Agency's budget recommendation.

COST OF CONTINUED USE OF CURRENT SYSTEM

Continuing to use ASBCS online comes with certain costs. These costs should be factored into the modernization decision. In this section, we consider both the qualitative considerations and those considerations that can be quantified.

Qualitative Considerations

There are certain qualitative considerations (and risks) that the State should consider as it makes the decision of whether to fund a modernization effort. These considerations are captured in the table below:

Consideration/ Risk:	**Description**
Equity Issues	The current system is not ADA compliant nor is it accessible in other languages (e.g. Spanish). This not only creates an additional hurdle for many members of the community, it can also create liability issues for the State.
Charter Accountability	The system is not user-friendly, does not ensure accuracy of information, and does not support the staff's daily responsibilities; therefore, to ensure compliance most tasks are done outside of the system.
Transparency Issues	The limitations of the current system greatly inhibit Staff from making the information that should be available to the Public truly available and accessible to the Public. Therefore, despite Staff's best efforts to make the system work the best that it can, there are often accusations that the Agency is not being as transparent as it should be on the performance of the portfolio.
Complaints Responsiveness (Safety & Legal)	The current system has very limited built-in Complaints Management functionality. There are no notifications when a new complaint comes in and Staff must constantly monitor and scroll through the existing reports to try to identify anything new that has come into the system. This can potentially create delays in responding to and investigating complaints. For example, if a Parent reports a safety issue at a School, the complaint should be investigated and dispositioned immediately. If Staff isn't aware that the complaint came in, Staff can't respond as expeditiously as it should. The limitations can also create legal liability for the Board when staff must substantiate a complaint and potentially defend the board's actions in court.
Portfolio Compliance	The current system is not intuitive and is difficult to navigate for Charter Holders. Charter Holders are often challenged to understand: 1) what submissions are required, 2) how to make the submissions, 3) when to make submissions, and 4) where to make submissions. File size limitations, inconsistencies in hard-coded instructions and forms, system errors, and a general lack of awareness of requirements cause delays and non-compliance.
Increased Operating Costs for Schools	For Charter Holders, the limitations of the system increase the administrative burden on Charter Operators. It takes more time than it should to understand what submissions are required and how to make submissions. Some submissions are made via e-mail, some through the system. Outdated and hard-coded instructions can be conflicting. With a heavier administrative burden, the operating costs increase. These costs eventually are passed on to the State.
Growing Risk of Catastrophic System Failure	The system was built more than 14 years ago. The software language that was used to write the platform is no longer used or supported (it is functionally obsolete). It is difficult for the current vendor to find programmers that know enough about the language to make changes to the system

	when changes are needed. There is risk that the current system could eventually just stop working and there will be no one that knows how to fix it (or it will be very expensive).
Information Accuracy	The current system is laborious for Board Staff to maintain and update. It is also highly prone to human error in data entry. Because of system limitations, much of the Agency's work is actually managed outside the system (uploading documents and data to the System is typically the last step). The combined impact is that information is frequently outdated or inaccurate. This can lead to public perception of Agency ineffectiveness or lack of appropriate oversight.
School Choice for Parents	The public portal is difficult for Parents to navigate and not intuitive to use. Finding information on school location, programming, school performance, etc is difficult. This can limit Parents' ability to fully review a school and make informed choices for their children.

Supporting Documentation for Qualitative Considerations:

Complaints Statistics Regarding Safety Issues

From: Jessie Berg <jessie.berg@asbcs.az.gov>
Date: Wed, Jul 29, 2020 at 11:01 AM
Subject: 2019 Complaint stats with safety issues
To: Ashley Berg <ashley.berg@asbcs.az.gov>, Daniel Cobin <daniel.cobin@asbcs.az.gov>
Cc: Johanna Medina <johanna.medina@asbcs.az.gov>

Hi Ashley and Dan-

Following up on our phone call about complaints...

I took over the complaint process on October 30, 2019.

- From October 30, 2019 - June 30, 2020 we received approximately 160 complaints
- 32 of these complaints involved safety issues
- 4 of the safety issues were about bullying but were significant enough to be included in safety issues.
- Alexis may have additional information on complaints prior to October 30, 2019.

Thank you,

Jessie Berg

Accountability Specialist

Arizona State Board for Charter Schools

Physical: 1616 W. Adams St., Suite 170,

Phoenix, AZ 85007

Mailing: P.O. Box 18328, Phoenix, AZ 85005

Phone: (602) 364-3078

Website: asbcs.az.gov

Facebook: www.facebook.com/asbcsaz

Newsletter: https://asbcs.az.gov/news-events

Supporting Documentation for Transparency Issues

Board Staff responds to an estimated 51 Student Information Requests per year. Here is a 3.5 month sample (table excludes Student Information Requests).

Requestor	Business Entitiy?	Request Date:	School Or Entity Requested	Documents Requested	File completed?	Date Sent	Method of Sending
Person	N	03/02/2020	Blue Adobe Project Charter	Complaints filed	Y	03/11/2020	Email
Person	N	03/05/2020	Scottsdale Country Day	Complaints Filed	Y	03/13/2020	Email
Arizona Republic	Y	3/24/2020	American Leadership Academy	Complaints filed on Jan/10/2019	Y	03/25/2020	Email
Charter	Y	04/28/2020	Pioneer Preparatory Academy	Approval To operate Charter School	Y	04/28/2020	Email
AZDHS	Y	05/06/2020	All Charters	Water Testing in Public Charter Schools	Y	05/07/2020	Email
Person	N	05/12/2020	Santa Cruz Valley Opportunities	Contracts and Application	Y	05/26/2020	Email
S&P Global	Y	06/17/2020	AMS	Compliance	N	07/15/2020	Email
Charter School Capital	Y	06/17/2020	Prescott Valley Charter	Compliance	Y	07/15/2020	Email
S&P Global	Y	06/17/2020	Arizona School for the Arts	Compliance	Y	07/15/2020	Email
Charter	Y	06/25/2020	PLC Charter	Procurement Exemption	Y	06/26/2020	Email
Charter School Capital	Y	07/07/2020	Academy with Community Partners	Compliance	Y	07/28/2020	Email
Person	N	07/10/2020	Desert Marigold School	Contract, Education Plan, FY20 Budget	Y	07/23/2020	Email
Charter School Capital	Y	07/13/2020	Riverbend Prep	Compliance	Y	07/14/2020	Email
S&P Global	Y	07/14/2020	Pensar	Compliance	Y	07/28/2020	Email
Person	N	07/15/2020	B.A	Litigation information	Y	07/09/2020	Email

Supporting Documentation for Compliance Issues

There were 54 charters in FY2019 and 55 charters in FY2020 identified for 2e timely submissions. These are compliance issues which result from the charter not timely responding to Board requests for information which ultimately becomes an issue that may be considered by the Board for disciplinary action.

Charter Holder CTDS	Operational Performance Fiscal Year	OP 2e Timely Submissions
07-87-54-000	2020	30-day Requirement Failure to Submit
12-87-01-000	2020	30-day Requirement Failure to Submit
13-87-14-000	2020	30-day Requirement Failure to Submit
10-85-14-000	2020	30-day Requirement Failure to Submit
07-84-11-000	2020	30-day Requirement Failure to Submit
10-87-67-000	2020	30-day Requirement Failure to Submit*
07-89-45-000	2020	30-day Requirement Failure to Submit*
07-82-46-000	2020	30-day Requirement Failure to Submit*
07-87-26-000	2020	30-day Requirement Failure to Submit*,7-day Requirement Failure to Submit*,Complaint Response
09-87-46-000	2020	30-day Requirement Failure to Submit*,7-day Requirement Failure to Submit*,Complaint Response*
07-87-66-000	2020	30-day Requirement Failure to Submit*,Charter Governance Amendment
07-87-23-000	2020	30-day Requirement Failure to Submit,7-day Requirement Failure to Submit*,30-day Requirement Failure to Submit-2,7-day Requirement Failure to Submit-2
12-87-26-000	2020	30-day Requirement Failure to Submit,No issue identified
13-87-55-000	2020	7-day Requirement Failure to Submit*
07-85-85-000	2020	7-day Requirement Failure to Submit*
10-87-34-000	2020	Audit CAP
10-87-05-000	2020	Audit CAP,7-Day Requirement Failure to Submit CAP
07-86-17-000	2020	Budget*
07-86-22-000	2020	Budget*
07-89-97-000	2020	Charter Governance Amendment
10-87-96-000	2020	Charter Governance Amendment
07-82-38-000	2020	Charter Governance Amendment
13-87-68-000	2020	Charter Governance Amendment*
03-87-50-000	2020	Charter Governance Amendment*
07-87-94-000	2020	Charter Governance Amendment*,Charter Governance Amendment
07-89-91-000	2020	Charter Governance Amendment*,Member Campus Request*,30-day Requirement Failure to Submit*
07-89-21-000	2020	Complaint Response
07-87-58-000	2020	Complaint Response
11-87-06-000	2020	Complaint Response
07-87-63-000	2020	Complaint Response
14-87-57-000	2020	Complaint Response
10-87-38-000	2020	Complaint Response
07-82-16-000	2020	Complaint Response
10-87-26-000	2020	Complaint Response*
10-87-11-000	2020	Complaint Response*
10-87-99-000	2020	Complaint Response*
10-85-07-000	2020	Complaint Response*
07-87-25-000	2020	Complaint Response*,Complaint Response2*
07-89-12-000	2020	Complaint Response*,School Governing Body Amendment,7-day Requirement Failure to Submit,Complaint Response2*
07-87-51-000	2020	Complaint Response,Complaint Response2*
07-82-10-000	2020	Financial Review Response*
07-89-77-000	2020	Initial Financial Response
10-87-89-000	2020	Initial Financial Response*
07-82-04-000	2020	Initial Financial Response*,March Quarterly Financial Report*
07-82-78-000	2020	March Quarterly Financial Report*
02-87-01-000	2020	March Quarterly Financial Report,7-day Requirement Failure to Submit
10-87-13-000	2020	School Governing Body Amendment*
10-87-98-000	2020	School Governing Body Amendment*
07-82-70-000	2020	School Governing Body Amendment*
07-86-93-000	2020	School Governing Body Amendment*,30-day Requirement Failure to Submit*,Budget*
07-82-42-000	2020	School Governing Body Amendment*,Complaint Response*
07-86-95-000	2020	School Name Change Amendment*
07-86-94-000	2020	School Name Change Amendment*

07-87-85-000	2020	Single Audit Update*
07-89-59-000	2020	Single Audit Update*
02-87-01-000	2019	30-day Requirement Failure to Submit
07-87-54-000	2019	30-day Requirement Failure to Submit*
07-87-61-000	2019	30-day Requirement Failure to Submit*
07-87-81-000	2019	30-day Requirement Failure to Submit*
07-87-94-000	2019	30-day Requirement Failure to Submit*
07-89-03-000	2019	30-day Requirement Failure to Submit*
10-87-67-000	2019	30-day Requirement Failure to Submit*
13-87-52-000	2019	30-day Requirement Failure to Submit*
10-87-11-000	2019	30-day Requirement Failure to Submit*
07-89-79-000	2019	30-day Requirement Failure to Submit*
07-89-68-000	2019	30-day Requirement Failure to Submit*
07-89-59-000	2019	30-day Requirement Failure to Submit*
07-87-51-000	2019	30-day Requirement Failure to Submit*
10-87-20-000	2019	30-day Requirement Failure to Submit*
07-86-34-000	2019	30-day Requirement Failure to Submit*
07-86-11-000	2019	30-day Requirement Failure to Submit*
03-87-51-000	2019	30-day Requirement Failure to Submit*
14-87-58-000	2019	30-day Requirement Failure to Submit*
07-85-52-000	2019	30-day Requirement Failure to Submit*
07-85-58-000	2019	30-day Requirement Failure to Submit*
07-82-10-000	2019	30-day Requirement Failure to Submit*
10-89-09-000	2019	30-day Requirement Failure to Submit*,7-day Requirement Failure to Submit*,Complaint Response*
10-87-05-000	2019	7-day Requirement Failure to Submit*
10-87-99-000	2019	7-day Requirement Failure to Submit*
13-87-60-000	2019	Charter Governance Amendment*
07-86-56-000	2019	Charter Governance Amendment*
07-85-34-000	2019	Charter Governance Amendment*
08-87-05-000	2019	Charter Governance Amendment*
07-86-96-000	2019	Charter Governance Amendment*
07-87-68-000	2019	Complaint Response
07-89-21-000	2019	Complaint Response*
14-87-60-000	2019	Complaint Response*
07-89-35-000	2019	Complaint Response*
07-87-74-000	2019	Complaint Response*
10-87-75-000	2019	Complaint Response*
07-89-74-000	2019	Complaint Response*
07-87-11-000	2019	Complaint Response*
07-87-26-000	2019	Complaint Response*
12-87-01-000	2019	Complaint Response*
10-87-22-000	2019	Complaint Response*
13-87-51-000	2019	Complaint Response*
07-85-35-000	2019	Complaint Response*
07-85-53-000	2019	Complaint Response*
07-85-87-000	2019	Complaint Response*
07-82-06-000	2019	Complaint Response*
07-82-28-000	2019	Complaint Response*
07-82-04-000	2019	Complaint Response*
07-82-21-000	2019	Complaint Response*
08-87-02-000	2019	Complaint Response*,Complaint Response2*
07-87-43-000	2019	Complaint Response*,Complaint Response2*
07-85-67-000	2019	Complaint Response*,Complaint Response2*
07-85-62-000	2019	School Governing Body Amendment*
07-84-13-000	2019	School Governing Body Amendment*
07-84-15-000	2019	School Governing Body Amendment*

Quantitative Considerations

Additionally, some considerations can be directly quantified. Conservatively, we've estimated the following for Direct Costs and Indirect Costs for the Agency:

Cost of Continued Use of ASBCS Online

Direct Costs + Indirect Costs **= Total Agency Cost**

$25,350 + $114,750 **= $140,100**

Those calculations are explained further below:

Direct Costs

For the past fiscal year, direct costs incurred for ASBCS online were **$25,350**. Direct costs include monthly hosting cost of $600/month plus periodic software development work billed by the Vendor.

Vendor Transaction History								
Address ID	**Record Date**	**Document**	**Phase**	**VL**	**CL**	**AL**	**AL Amount**	**Vendor Invoice Number**
P0001	9/12/2019	GAX,CSA,2CS20013	F	1		1	17475	1956
P0002	9/25/2019	GAX,CSA,2CS20023	F	1		1	600	1975
P0002	11/7/2019	GAX,CSA,2CS20031	F	1		1	600	1998
P0002	11/8/2019	GAX,CSA,2CS20034	F	1		1	600	2026
P0002	12/11/2019	GAX,CSA,2CS20041	F	1		1	600	2049
P0002	1/29/2020	GAX,CSA,2CS20057	F	1		1	600	2080
P0002	2/27/2020	GAX,CSA,2CS20062	F	1		1	600	2106
P0002	3/17/2020	GAX,CSA,2CS20067	F	1		1	600	2123
P0002	4/15/2020	GAX,CSA,2CS20080	F	1		1	600	2153
P0002	5/17/2020	GAX,CSA,2CS20090	F	1		1	1275	2184
P0002	6/17/2020	GAX,CSA,2CS20101	F	1		1	600	2220
P0002	7/15/2020	GAX,CSA,2CS21000	F	1		1	600	2251
P0002	7/22/2020	GAX,CSA,2CS20063	F	1		1	600	
							$25,350	

Note: Sample invoices are attached to the end of this section.

Indirect Costs

In addition to direct costs, there are significant indirect costs associated with the continued use of ASBCS online. The current system's limitations necessitate the creation of workarounds for Staff that consume Staff time and create inefficiencies.

A bottom-up calculation of time wasted due to system inefficiencies and workarounds resulted in a very conservative figure of 3,150 hours of waste annually.

The 3,150 hours of waste annually translates to 1.5 full time equivalent (FTE) staff members. The average base salary for an ASBCS Staff member is roughly $56,000 with an additional $21,000 in employee related expenses (Total Cost of 1 FTE Staff Member is approximately $76,500/year). At 1.5 FTE, the estimated indirect cost of continued use of ASBCS online is **$114,750**.

Although not an exhaustive list, here are some examples of waste / inefficiencies captured by Staff used for these calculations:

#	Description
1	Due to system limitations, much of the Staff's work and processes are currently performed outside the system and then Staff circles back and uploads required documents later. This creates multiple unnecessary steps that consumes significant amount of Staff time.
2	The current system has no capabilities to solicit information from Charter Holders en-masse or record responses. Due to these limitations, Staff currently collects information from Charter Holders using outside tools (e.g. Google Forms/email) and then circles back to attach this information to each individual charter file. This is very time consuming. Fixing this would reduce the inefficiencies and time burden on staff and will likely increase charter holder compliance and improve the performance of the portfolio.
3	Due to the system's limited communication capabilities, a significant amount of individual communication is currently conducted outside the system through G-mail. Because communications cross multiple staff functions, Staff has created numerous Excel tracker spreadsheets to track status, communicate internally, and manage the associated processes. However, because the system is the system of record, Staff will typically upload communications from G-mail at a later time. These additional steps consume significant time.
4	The system has no functionality to manage complaints. The complaints management process is therefore completely managed outside the system through G-mail and an Excel Tracker. This creates opportunities for human error and omissions. A staff member must then go and attach communications manually. This creates inefficiencies and increased time burden on staff.
5	The system has no self-service account set-up capabilities for Charter Applicants. Staff must communicate back and forth with Applicants to get information and set up an account in the system for all Applicants.
6	Currently, most instructions are posted on the ASBCS website; however, some instructions are in the platform (hard coded). There are some conflicts between these instructions so Staff must inform applicants and Charter Holders which instructions to use. The hard-coded instructions are near impossible to update (even for the vendor). This laborious and confusing process results in multiple re-submission requirements for charter holders increasing staff time to review multiple submissions and increased time burden on staff.
7	The current system does not allow Staff to attach documents or make internal notes. These must be stored outside the system and can be difficult to track down or find if needed to reference later.
8	The current system is laborious to navigate for Charter Holders and the views it does have are not effective in communicating status or any required submissions, particularly for larger operators. There are a series of tabs that operators have to navigate through and many clicks inside and outside the system that are not logical or intuitive. This can create confusion and significantly increase time requirements and questions on what Charter Holders need to do. This ultimately creates re-work and additional back-and-forth communications from Staff.
9	There are no automatic notifications with the current system. For Example, staff must manually notify complainants of complaint receipt and any status. This places an additional time burden on staff. It can also cause nervousness from a complainant who may have an urgent issue that needs to be addressed in waiting for a response from Staff that the complaint is being addressed. Additionally, board staff must manually inform the charter multiple times throughout each submission process because the system does not send automatic notifications.
10	The current system allows Staff to manually redact information from within the existing templates; however, it is glitchy and there is no certainty what will come out of the system. System errors can expose information that should have been redacted which causes additional work to remedy and additional liability for the board.
11	The letters and templates that do exist in the system are typically hard coded and cannot be modified locally; while some ability does exist to modify language and cut and paste, there are problems with templates that cause formatting errors in every communication. Additionally, changing one template sometimes has an unintended chain reaction on other templates which again consumes Staff time to correct. Few fields are automatically populated and "cut and paste" errors and formatting issues are rampant.
12	The system must be constantly monitored by staff as there are limited notification capabilities. In the current system, it is easy to miss things that are uploaded; as a work around, Staff must take time to instruct Charter Holders and Applicants to submit via e-mail and how to appropriately provide this information.
13	There are file size limitations in multiple parts of the system. Staff must often spend time reducing file size to accommodate the limitations of the system.

14	When Staff changes, the ramp time for getting a new Staff member up to speed is significant because the system is not intuitive. Staff has time set aside weekly to review and train staff to remind staff of the workarounds and processes they must do for tasks. The existing system increases the time investment for training Staff Members.
15	Responding to public records requests is very difficult because it is difficult to run reports and much of the data that must be reported must be manually generated.

Although not an exhaustive list, here are examples of waste / inefficiencies that were not able to be captured by Staff. Therefore the following waste / inefficiencies were not used for the calculation above.

1	The Executive Director's and Board members' hours wasted on specific tasks not typical in every day responsibilities due to responding to questions by the public, searching for information, or trying to resolve a problem.
2	The current system's limitations create a disjointed process and experience from the perspective of the Applicant and Charter Holder for various submissions. Instructions are stored in one area, some forms are stored in another, and some pieces of submissions must be done via e-mail. Status confirmations are typically done via e-mail and internal Agency tracking is done via Excel spreadsheets. Currently, most instructions are posted on the ASBCS website; however, some instructions are in the platform (hard coded). There are some conflicts between these instructions so Staff must inform applicants and Charter Holders which instructions to use. Applicants and Charter Holders then must go back and forth between tabs and various web pages as they are filling out the forms. The hard-coded instructions are near impossible to update (even for the vendor). This creates confusion and multiple re-submission requirements for charter holders increasing their time burden.
3	The current system is laborious to navigate for Charter Holders and the views it does have are not effective in communicating status or any required submissions, particularly for larger operators. There are a series of tabs that operators have to navigate through and many clicks inside and outside the system that are not logical or intuitive. This can create confusion and significantly increase time requirements and questions on what Charter Holders need to do. This ultimately creates re-work and additional back-and-forth communications between Staff and the Charter Holder. This process is inefficient and waste's Charter Holder time.
4	The letters and templates that do exist in the system are typically hard coded and cannot be modified locally; while some ability does exist to modify language and cut and paste, there are problems with templates that cause formatting errors in every communication. Additionally, changing one template sometimes has an unintended chain reaction on other templates which again consumes Staff or Vendor time to correct. Few fields are automatically populated and "cut and paste" errors and formatting issues are rampant. In addition to the increased time implications, this causes communications to appear unprofessional and can potentially result in loss of confidence in the Agency's professionalism and capabilities.
5	There are file size limitations in multiple parts of the system. Charter Holders and Applicants must often spend time reducing file size to accommodate the limitations of the system.
6	Often times, one simple task requires multiple clicks; therefore, to do one function requires staff and charter holders and stakeholders longer to complete process. For example, when staff goes to close out an approved amendment request, the current system will create a new task for each step in the administrative and substantive review process, and the final approval. Each task must then be individually closed out instead of the system being intuitive and closing out all related tasks at the end of the process. Additionally, upon closing a task the system requires staff to do a new search in the task menu to find the remaining tasks that need to be closed.
7	In general, the Board must update its practices when the state legislature, federal government, State Board of Education or the Arizona Department of Education update processes; therefore, updates to the system are often required. Making changes to the site is often difficult and is not easily done.

Sample Invoices

Synapse Studios
520 S. Mill Ave.
Suite #202
Tempe, AZ 85281
(866)9796277
chris@synapsestudios.com
http://www.synapsestudios.com

Invoice

BILL TO
Arizona State Board for Charter Schools
ATTN: Andrea Leder
1616 W Adams St. Suite 170
Phoenix, AZ 85007

INVOICE # 1956
DATE 08/09/2019
DUE DATE 09/08/2019
TERMS Net 30

ACTIVITY	QTY	RATE	AMOUNT
Hosting Hosting for July 2019	1	600.00	600.00
Development Development time (7/1 - 8/9): 4300, 4303, 4309, feedback	112.50	150.00	16,875.00

BALANCE DUE **$17,475.00**

Synapse Studios
520 S. Mill Ave.
Suite #202
Tempe, AZ 85281
(866)9796277
chris@synapsestudios.com
http://www.synapsestudios.com

INVOICE

BILL TO
Arizona State Board for Charter Schools
ATTN: Andrea Leder
1616 W Adams St. Suite 170
Phoenix, AZ 85007

INVOICE # 2220
DATE 06/12/2020
DUE DATE 07/12/2020
TERMS Net 30

ACTIVITY	QTY	RATE	AMOUNT
Hosting Hosting for May 2020	1	600.00	600.00
	BALANCE DUE		**$600.00**

ANALYSIS OF OPTIONS AND PROVIDED COST ESTIMATES

The options available include:

1) **Continued Use of ASBCS Online**. Continuing to use ASBCS online comes with costs (and risks) to the State as outline in the previous part of this section.
2) **"Many tools" Approach.** The Agency can take more of an ad-hoc approach adopting a multitude of different applications for its varied needs.
3) **Building a Custom Solution.** The Agency can invest in building a custom solution from the ground-up.
4) **Investing in an Already Built System.** The Agency can invest in a solution that already exists in the marketplace and configure or customize to meet all or a portion of its needs.

The Agency recommends against the first three options.

> *Continued use of ASBCS online* is fraught with risk and waste. The existing system is written in a software language that is no longer supported. There are other ongoing risks including safety and legal considerations. To cope with the existing system's limitations, Agency Staff has created workarounds that consume a significant amount of Staff time. Overall, the continued use of ASBCS online is an impediment to the Agency's mission.
>
> The "*Many tools" Approach* would not be a Strategic choice for the Agency as it would create additional problems for the Agency in both the short and long term. Conversations with other Authorizers and other State Agencies highlighted some of these problems including staff inefficiencies, organizational silos, multiple databases, reduced transparency, and increased integration requirements.
>
> *Building a Custom Solution* would similarly not be a Strategic choice for the Agency. Any new software build comes with significant budget risk as there is uncertainty around level of effort and testing. This uncertainty makes it typically more expensive to build from scratch than to start with something that is already built. One-off software solutions are difficult from a maintenance and support and change management perspective. This is evidenced by the Agency's current struggles with the existing custom solution (ASBCS online).

The best option is to invest in an *Already Built System* that currently exists in the marketplace and configure (or customize) the solution to meet all or a significant portion of the Agency's needs. This option represents the best strategic choice because existing systems are already "de-risked" and market-proven, are easier (and less expensive) to support, and are more easily modified in the future as new requirements surface. Although initial costs might be greater in the short-term, this option will reduce both risk and long-term costs to the State.

The Consultant conducted Market Research to identify potential Vendors and come up with a Budget number. In looking at various Vendors, the MSSBTA Consultant placed a significant consideration on the ongoing Support Model that each of the solutions will require. ASBCS Staff currently consists of 14 individuals and has no organic IT support. Choosing a solution that is intuitive and configurable for non-technical staff members is imperative. Outsourcing IT support to a Vendor appears to be a significantly more cost-effective approach that adding internal IT Support Staff. The Consultant advised each of the Vendors to include a maintenance and support line item in their 5-Year TCO estimate.

The following table summarizes the 5-Year Total Cost of Ownership (TCO) estimates provided by each of these Vendors:

Vendor	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Epicenter	$300,000.00	$275,000.00	$275,000.00	$275,000.00	$275,000.00	**$1,400,000.00**
Thoughtspan	$134,000.00	$24,000.00	$24,720.00	$25,462.00	$26,225.00	**$234,407.00**
Charter-Tools	$482,400.00	$496,800.00	$511,200.00	$526,500.00	$541,800.00	**$2,558,700.00**
Cloud Synapse	$1,090,250.00	$148,850.00	$154,000.00	$154,000.00	$179,000.00	**$1,726,100.00**
MST Solutions	$437,070.40	$92,070.40	$92,070.40	$92,070.40	$92,070.40	**$805,352.00**

The State can look at the Total Cost of Ownership (TCO) through the lens of various time frames (e.g. the 2-Year TCO vs the 5-Year TCO and extrapolating over a 10-year period).

Vendor	2-Year TCO	5-Year TCO	10-Year TCO
Epicenter	$575,000.00	$1,400,000.00	$2,775,000.00
Thoughtspan	$156,000.00	$234,407.00	$376,977.00
Charter-Tools	$979,200.00	$2,558,700.00	$5,488,650.00
Cloud Synapse	$1,239,100.00	$1,726,100.00	$2,996,100.00
MST Solutions	$529,140.80	$805,352.00	$1,265,704.00

In addition to soliciting 5-year TCO cost estimates, the MSSBTA Consultant conducted interviews, attended demos, and reviewed the Vendor provided marketing material for the listed Vendors. During this process, the solutions of three of these Vendors appeared best positioned in the near-term to deliver against Agency needs: 1) Thoughtspan, 2) MST Solutions, and 3) Epicenter. Some identified pros and cons of these solutions include:

Vendor	Pros	Cons
Thoughtspan	• Provided lowest overall cost estimate • Almost all implementation work would be configuration (as opposed to customization) • Successfully delivered within the State of Arizona and have credible local references	• Smaller Company that appears to be reliant on a few key individuals • Risk that Vendor 'undershot' costs and level of effort
MST Solutions	• Solution built on the Salesforce Platform (enterprise platform already in use at multiple State Agencies that will likely be the most stable and supportable) • Local, well-known Vendor • Successfully delivered within the State of Arizona and have credible local references	• Upfront implementation costs are higher
Epicenter	• Arizona would have significant leverage as Epicenter's largest customer • Would provide greater connectivity to the national Authorizer community	• Per school pricing model leads to greater longer-term costs • Much of the implementation work would be customization as opposed to configuration • Not yet in use at the State of Arizona

BUDGET RECOMMENDATION

Based on the analysis of Costs (and Risks) of continued use of ASBCS Online along with the analysis of options and Vendor provided cost estimates, the Agency and the MSSBTA Consultant believes there is significant justification for moving forward with a replacement solution.

Considering the cost estimates provided by the Vendors and the analysis of the pros and cons of each of the identified Vendors, the Agency and MSSBTA Consultant recommend using the 5-year TCO cost estimate provided by Epicenter as the baseline. From the table in the previous section, this amount is $1,400,000.00.

In addition to this cost baseline, the Consultant recommends including additional dollars for Vendor Selection, 3rd Party oversight, project management, and data migration assistance. ASBCS does not possess the technical knowledge or capacity to manage these aspects of the modernization process and will need 3rd party support. The assumption is a 7-month timeline during Year 1 that includes managing the RFP process, as well as providing technical support, and vendor oversight. MSSBTA has provided a cost estimate of $197,500.00 for this effort.

Finally, it is important to budget for uncertainty. The Consultant recommends a 10% project buffer ($159,750.00) to account for the unknown and unexpected.

The following table summarizes the Recommended Budget for the Agency's modernization effort:

Description	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Software and annual maintenance costs (5-Year TCO cost estimate provided by Epicenter)	$300,000	$275,000	$275,000	$275,000	$275,000	1,400,000
3rd Party Oversight Costs (cost estimate provided by MSSBTA)	$197,500	$0	$0	$0	$0	$197,500
Buffer for Uncertainty (10% for uncertainty)	$49,750	$27,500	$27,500	$27,500	$27,500	$159,750
	$547,250	**$302,500**	**$302,500**	**$302,500**	**$302,500**	**$1,757,250**

The total 5-year budget recommendation for the modernization effort is $1,757,250. The Agency budget request should include $547,250 in additional general appropriation for FY2022 and then an additional $302,500 each year thereafter.

Summary of Expenditure and Budget Request for All Funds

Agency: **State Board for Charter Schools**

Appropriated	**FY 2020 Actual**	**FY 2021 Expd. Plan**	**FY 2022 Fund. Issue**	**FY 2022 Total Request**
Cost Center/Program:				
1 State Board for Charter Schools	1,511.1	2,152.1	547.3	2,699.4
	1,511.1	2,152.1	547.3	2,699.4
Expenditure Categories				
FTE	19.0	24.0	0.0	24.0
Personal Services	719.8	868.9	0.0	868.9
Employee Related Expenses	253.9	346.5	0.0	346.5
Professional and Outside Services	117.2	70.5	0.0	70.5
Travel In-State	3.0	10.0	0.0	10.0
Travel Out of State	6.0	5.5	0.0	5.5
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	291.2	830.7	0.0	830.7
Equipment	11.0	20.0	547.3	567.3
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	109.0	0.0	0.0	0.0
Expenditure Categories Total:	1,511.1	2,152.1	547.3	2,699.4

Summary of Expenditure and Budget Request for All Funds

Agency: **State Board for Charter Schools**

Non-Appropriated	**FY 2020 Actual**	**FY 2021 Expd. Plan**	**FY 2022 Fund. Issue**	**FY 2022 Total Request**
Cost Center/Program:				
1 State Board for Charter Schools	127.4	85.0	0.0	85.0
	127.4	85.0	0.0	85.0
Expenditure Categories				
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	127.4	85.0	0.0	85.0
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:	127.4	85.0	0.0	85.0

Summary of Expenditure and Budget Request for All Funds

Agency: **State Board for Charter Schools**

Agency Total for All Funds:	1,638.5	2,237.1	547.3	2,784.4			

Summary of Expenditure and Budget Request for Selected Funds

Agency: State Board for Charter Schools

Fund: AA1000 General Fund (Appropriated)

	FY 2020 Actual	FY 2021 Expd. Plan	FY 2022 Fund. Issue	FY 2022 Total Request
Cost Center/Program:				
1 State Board for Charter Schools	1,511.1	2,152.1	547.3	2,699.4
	1,511.1	2,152.1	547.3	2,699.4
Expenditure Categories				
FTE	19.0	24.0	0.0	24.0
Personal Services	719.8	868.9	0.0	868.9
Employee Related Expenses	253.9	346.5	0.0	346.5
Professional and Outside Services	117.2	70.5	0.0	70.5
Travel In-State	3.0	10.0	0.0	10.0
Travel Out of State	6.0	5.5	0.0	5.5
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	291.2	830.7	0.0	830.7
Equipment	11.0	20.0	547.3	567.3
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	109.0	0.0	0.0	0.0
Expenditure Categories Total:	1,511.1	2,152.1	547.3	2,699.4
Fund Total:	1,511.1	2,152.1	547.3	2,699.4

Summary of Expenditure and Budget Request for Selected Funds

Agency: State Board for Charter Schools

Fund: CS2319 Charter AZ Online Instruction Processing Fund (Non-Appropriated)

	FY 2020 Actual	FY 2021 Expd. Plan	FY 2022 Fund. Issue	FY 2022 Total Request
Cost Center/Program:				
1 State Board for Charter Schools	37.1	39.5	0.0	39.5
	37.1	39.5	0.0	39.5
Expenditure Categories				
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	37.1	39.5	0.0	39.5
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:	37.1	39.5	0.0	39.5
Fund Total:	37.1	39.5	0.0	39.5

Summary of Expenditure and Budget Request for Selected Funds

Agency: State Board for Charter Schools

Fund: CS2568 New Charter Application Processing Fund (Non-Appropriated)

	FY 2020 Actual	FY 2021 Expd. Plan	FY 2022 Fund. Issue	FY 2022 Total Request
Cost Center/Program:				
1 State Board for Charter Schools	90.3	45.5	0.0	45.5
	90.3	45.5	0.0	45.5
Expenditure Categories				
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	90.3	45.5	0.0	45.5
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:	90.3	45.5	0.0	45.5
Fund Total:	90.3	45.5	0.0	45.5

Summary of Expenditure and Budget Request for Selected Funds

Agency: State Board for Charter Schools

Fund: CS2568 New Charter Application Processing Fund (Non-Appropriated)

	FY 2020 Actual	FY 2021 Expd. Plan	FY 2022 Fund. Issue	FY 2022 Total Request			
Agency Total for Selected Funds	1,638.5	2,237.1	547.3	2,784.4			

Program Summary of Expenditures and Budget Request

Agency: State Board for Charter Schools
Program: State Board for Charter Schools

		FY 2020 Actual	FY 2021 Expd. Plan	FY 2022 Fund. Issue	FY 2022 Total Request
Program Summary					
1-1	State Board for Charter Schools	1,638.5	2,237.1	547.3	2,784.4
	Program Summary Total:	1,638.5	2,237.1	547.3	2,784.4
Expenditure Categories					
0000	FTE Positions	19.0	24.0	0.0	24.0
6000	Personal Services	719.8	868.9	0.0	868.9
6100	Employee Related Expenses	253.9	346.5	0.0	346.5
6200	Professional and Outside Services	244.6	155.5	0.0	155.5
6500	Travel In-State	3.0	10.0	0.0	10.0
6600	Travel Out of State	6.0	5.5	0.0	5.5
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	291.2	830.7	0.0	830.7
8000	Equipment	11.0	20.0	547.3	567.3
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	109.0	0.0	0.0	0.0
	Expenditure Categories Total:	1,638.5	2,237.1	547.3	2,784.4
Fund Source					
Appropriated Funds					
AA1000-A	General Fund (Appropriated)	1,511.1	2,152.1	547.3	2,699.4
		1,511.1	2,152.1	547.3	2,699.4
Non-Appropriated Funds					
CS2319-N	Charter AZ Online Instruction Processing Fund (N	37.1	39.5	0.0	39.5
CS2568-N	New Charter Application Processing Fund (Non-Ap	90.3	45.5	0.0	45.5
		127.4	85.0	0.0	85.0
	Fund Source Total:	1,638.5	2,237.1	547.3	2,784.4

Program Group Summary of Expenditures and Budget Request for Selected Funds

Agency: State Board for Charter Schools

Program: State Board for Charter Schools

Fund: AA1000-A General Fund (Appropriated)

	FY 2020 Actual	FY 2021 Expd. Plan	FY 2022 Fund. Issue	FY 2022 Total Request
Program Expenditures				
COST CENTER/PROGRAM BUDGET UNIT				
1-1 State Board for Charter Schools	1,511.1	2,152.1	547.3	2,699.4
Total	1,511.1	2,152.1	547.3	2,699.4
Appropriated Funding				
Expenditure Categories				
FTE Positions	19.0	24.0	0.0	24.0
Personal Services	719.8	868.9	0.0	868.9
Employee Related Expenses	253.9	346.5	0.0	346.5
Professional and Outside Services	117.2	70.5	0.0	70.5
Travel In-State	3.0	10.0	0.0	10.0
Travel Out of State	6.0	5.5	0.0	5.5
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	291.2	830.7	0.0	830.7
Equipment	11.0	20.0	547.3	567.3
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	109.0	0.0	0.0	0.0
Expenditure Categories Total:	1,511.1	2,152.1	547.3	2,699.4
Fund AA1000-A Total:	1,511.1	2,152.1	547.3	2,699.4
Program 1 Total:	1,511.1	2,152.1	547.3	2,699.4

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

Agency: State Board for Charter Schools
Program: State Board for Charter Schools

Expenditure Categories		FY 2020 Actual	FY 2021 Expd. Plan	FY 2022 Fund. Issue	FY 2022 Total Request
0000	FTE	19.0	24.0	0.0	24.0
6000	Personal Services	719.8	868.9	0.0	868.9
6100	Employee Related Expenses	253.9	346.5	0.0	346.5
6200	Professional and Outside Services	244.6	155.5	0.0	155.5
6500	Travel In-State	3.0	10.0	0.0	10.0
6600	Travel Out of State	6.0	5.5	0.0	5.5
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	291.2	830.7	0.0	830.7
8000	Equipment	11.0	20.0	547.3	567.3
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	109.0	0.0	0.0	0.0
	Expenditure Categories Total:	1,638.5	2,237.1	547.3	2,784.4
Fund Source					
Appropriated Funds					
AA1000-A	General Fund (Appropriated)	1,511.1	2,152.1	547.3	2,699.4
		1,511.1	2,152.1	547.3	2,699.4
Non-Appropriated Funds					
CS2319-N	Charter AZ Online Instruction Processing Fund (N	37.1	39.5	0.0	39.5
CS2568-N	New Charter Application Processing Fund (Non-Ap	90.3	45.5	0.0	45.5
		127.4	85.0	0.0	85.0
	Fund Source Total:	1,638.5	2,237.1	547.3	2,784.4

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

Agency: State Board for Charter Schools

Program: State Board for Charter Schools

Fund: AA1000-A General Fund

		FY 2020 Actual	FY 2021 Expd. Plan	FY 2022 Fund. Issue	FY 2022 Total Request
Appropriated					
0000	FTE	19.0	24.0	0.0	24.0
6000	Personal Services	719.8	868.9	0.0	868.9
6100	Employee Related Expenses	253.9	346.5	0.0	346.5
6200	Professional and Outside Services	117.2	70.5	0.0	70.5
6500	Travel In-State	3.0	10.0	0.0	10.0
6600	Travel Out of State	6.0	5.5	0.0	5.5
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	291.2	830.7	0.0	830.7
8000	Equipment	11.0	20.0	547.3	567.3
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	109.0	0.0	0.0	0.0
Appropriated Total:		1,511.1	2,152.1	547.3	2,699.4
Fund Total:		1,511.1	2,152.1	547.3	2,699.4
Program Total For Selected Funds:		1,511.1	2,152.1	547.3	2,699.4

Program Expenditure Schedule

Agency:	**State Board for Charter Schools**
Program:	**State Board for Charter Schools**

	FY 2020 Actual	FY 2021 Expd. Plan
FTE	19.0	24.0
Expenditure Category Total	**19.0**	**24.0**
Appropriated		
AA1000-A General Fund (Appropriated)	19.0	24.0
	19.0	**24.0**
Fund Source Total	**19.0**	**24.0**
Personal Services	719.8	868.9
Boards and Commissions	0.0	0.0
Expenditure Category Total	**719.8**	**868.9**
Appropriated		
AA1000-A General Fund (Appropriated)	719.8	868.9
	719.8	**868.9**
Fund Source Total	**719.8**	**868.9**
Employee Related Expenses	253.9	346.5
Expenditure Category Total	**253.9**	**346.5**
Appropriated		
AA1000-A General Fund (Appropriated)	253.9	346.5
	253.9	**346.5**
Fund Source Total	**253.9**	**346.5**
Professional and Outside Services		155.5
External Prof/Outside Serv Budg And Appn	0.0	
External Investment Services	0.0	
Other External Financial Services	0.0	
Attorney General Legal Services	21.1	
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	4.1	
Vendor Travel	0.0	
Professional & Outside Services Excluded from Cost Allocat	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	219.4	

Program Expenditure Schedule

Agency:	**State Board for Charter Schools**
Program:	**State Board for Charter Schools**

	FY 2020 Actual	FY 2021 Expd. Plan
Expenditure Category Total	**244.6**	**155.5**
Appropriated		
AA1000-A General Fund (Appropriated)	117.2	70.5
	117.2	**70.5**
Non-Appropriated		
CS2319-N Charter AZ Online Instruction Processing Fund (Non-Appr	37.1	39.5
CS2568-N New Charter Application Processing Fund (Non-Appropriat	90.3	45.5
	127.4	**85.0**
Fund Source Total	**244.6**	**155.5**
Travel In-State	3.0	10.0
Expenditure Category Total	**3.0**	**10.0**
Appropriated		
AA1000-A General Fund (Appropriated)	3.0	10.0
	3.0	**10.0**
Fund Source Total	**3.0**	**10.0**
Travel Out of State	6.0	5.5
Expenditure Category Total	**6.0**	**5.5**
Appropriated		
AA1000-A General Fund (Appropriated)	6.0	5.5
	6.0	**5.5**
Fund Source Total	**6.0**	**5.5**
Food	0.0	0.0
Expenditure Category Total	**0.0**	**0.0**
Aid to Organizations and Individuals	0.0	0.0
Expenditure Category Total	**0.0**	**0.0**
Other Operating Expenses		830.7
Other Operating Expenditures Budg Approp	0.0	
Other Operating Expenditures Excluded from Cost Allocati	0.0	
Risk Management Charges To State Agency	103.7	
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	

Program Expenditure Schedule

Agency:	**State Board for Charter Schools**
Program:	**State Board for Charter Schools**

	FY 2020 Actual	FY 2021 Expd. Plan
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	9.9	
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	43.4	
Pmt for AFIS Development & Usage	0.3	
Internal Service Telecommunications	0.0	
External Telecom Long Distance-In-State	10.7	
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	96.3	
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	1.3	
Miscellaneous Rent	3.4	
Interest On Overdue Payments	0.0	
All Other Interest Payments	0.0	
Internal Acct/Budg/Financial Svcs	7.0	
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	6.0	
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	4.3	
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	

Program Expenditure Schedule

Agency:	**State Board for Charter Schools**
Program:	**State Board for Charter Schools**

	FY 2020 Actual	FY 2021 Expd. Plan
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	0.6	
Other Education And Training Costs	0.0	
Advertising	0.0	
Sponsorships	0.0	
Internal Printing	0.3	
External Printing	0.0	
Photography	0.0	
Postage And Delivery	0.9	
Document shredding and Destruction Services	0.3	
Translation and Sign Language Services	0.0	
Distribution To State Universities	0.0	
Other Intrastate Distributions	0.0	
Awards	0.1	
Entertainment And Promotional Items	0.0	
Dues	0.7	
Books- Subscriptions And Publications	1.9	
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	

Program Expenditure Schedule

Agency:	**State Board for Charter Schools**
Program:	**State Board for Charter Schools**

	FY 2020 Actual	FY 2021 Expd. Plan
Other Miscellaneous Operating	0.0	
Expenditure Category Total	**291.2**	**830.7**
Appropriated		
AA1000-A General Fund (Appropriated)	291.2	830.7
	291.2	**830.7**
Fund Source Total	**291.2**	**830.7**

Current Year Expenditures		20.0
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	
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	1.6	
Works Of Art And Hist Treas-Non Capital	0.0	
Furniture Non-Capital Leases	0.0	
Computer Equipment Non-Capital Purchase	8.9	
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	0.5	
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	

Program Expenditure Schedule

Agency:	**State Board for Charter Schools**
Program:	**State Board for Charter Schools**

	FY 2020 Actual	FY 2021 Expd. Plan
Non-Capital Equipment Excluded from Cost Allocation	0.0	
Expenditure Category Total	**11.0**	**20.0**
Appropriated		
AA1000-A General Fund (Appropriated)	11.0	20.0
	11.0	**20.0**
Fund Source Total	**11.0**	**20.0**
Capital Outlay	0.0	0.0
Expenditure Category Total	**0.0**	**0.0**
Debt Service	0.0	0.0
Expenditure Category Total	**0.0**	**0.0**
Cost Allocation	0.0	0.0
Expenditure Category Total	**0.0**	**0.0**
Transfers	109.0	0.0
Expenditure Category Total	**109.0**	**0.0**
Appropriated		
AA1000-A General Fund (Appropriated)	109.0	0.0
	109.0	**0.0**
Fund Source Total	**109.0**	**0.0**

Employee Retirement Coverage

Retirement System	FTE	Personal Services	Fund#
Arizona State Retirement System	24.0	868.9	AA1000-A

Combined Regular & Elected Positions At/Above FICA Maximum of $142,800

Total FTE	Personal Services	FTE's not eligible for Health, Dental & Life
0.0	0.0	0.0

Administrative Costs

Agency: State Board for Charter Schools

Administrative Costs Summary

Common Administrative Area	FY 2021
Personal Services	10.0
ERE	4.0
All Other	69.0
Administrative Costs Total:	83.0

Administrative Cost / Total Expenditure Ratio

	Request	Admin %
FY 2021	2,784.4	3.0%

Agency 5-Year Plan

Issue 1 Provide effective oversight of a charter's financial performance and expectations for ensuring that all charter holders are viable organizations with strong fiscal management practices.

Description: During the 53rd Second Regular Legislative Session, the budget was passed with language requiring charters to meet the financial performance expectations set forth in the performance framework. House Bill 2263 amends A.R.S. §15-183 (2018) and gives the Board the authority to take action against a charter it sponsors based on its Financial Performance Framework. The Board updated its Financial Performance Framework and adopted rule and policy to which the Board can use for accountability purposes, including intervention and improvement policies. Statute requires the Board ground its actions in evidence of a charter holder's performance in accordance with its adopted performance frameworks.

Solutions:

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

Issue 2 Provide effective oversight of a charter's operational performance and compliance- related expectations that a charter is required to meet through state and federal law, the charter contract, and administrative rule.

Description: Laws 2012, Ch. 155 required that in implementing its oversight and administrative responsibilities, the Board shall adopt a performance framework that includes "the operational expectations of the charter school, including adherence to all applicable laws and obligations of the charter contract, and intervention and improvement policies."

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

Solutions:

The Board will continue to improve operational compliance within the charter portfolio by holding schools accountable to the Operational Performance Framework and ensuring disciplinary action is implemented with validity. Additional staff dedicated to the successful implementation of the Board's Operational Performance Framework will be added to enhance monitoring and oversight of the charter portfolio. This will include, at a minimum, an additional staff member dedicated to targeted site visits related to complaints submitted to the Board and schools associated with low academic achievement. With the additional staff, targeted site visits will be increased to enhance the Board's oversight ability. The Board will review and revise the Operational Performance Framework as a means to improve operational accountability within its charter portfolio by holding schools accountable to high expectations.

Issue 3 Provide effective oversight of a charter's academic performance and hold charters accountable for high achievement to ensure all schools in its portfolio are providing a quality learning environment that improves pupil achievement.

Description: Laws 2012, Ch. 155 required that in implementing its oversight and administrative responsibilities, the Charter Board ("Board") shall adopt a performance framework that includes "the academic performance expectations of the charter school and the measurement of sufficient progress toward the academic expectations, the operational expectations of the charter school, including adherence to all applicable laws and obligations of the charter contract, and intervention and improvement policies."

Statute requires the Board ground its actions in evidence of a charter holder's performance in accordance with its adopted performance frameworks.Successful implementation of the Board's Academic Performance Framework relies on the State A-F accountability determinations and school improvement designations. The Department of Education has identified schools for school improvement and has assigned letter grades to all traditional public schools in FY 2017-FY 2019. The Board calculates ratings for its schools under its Academic Performance Framework and provides monitoring and oversight for charters that do not meet the Board's academic performance expectations. Oversight includes disciplinary action up to and including closure.

Solutions:

In order to increase the quality of educational choices for students, the Board will continue to hire additional staff, through previously approved FTEs, and enhance the processes within the Board's Academic Performance Framework. With the additional staff, the Board will increase the number of and expand its review of schools during its academic site visits. The Board will continue to improve academic rigor within its charter portfolio by holding schools accountable to high expectations within its Academic Performance Framework and ensure disciplinary action is implemented with validity.

Resource Assumptions

	FY2023 Estimate	FY2024 Estimate	FY2025 Estimate
Full-Time Equivalent Positions	20.0	20.0	20.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0

CSA 0.0

Agency Summary

STATE BOARD FOR CHARTER SCHOOLS

Ashley Berg, Executive Director

Board for Charter Schools (602) 364-3091

A.R.S. §§ 15-181 to 15-189

Plan Contact: Daniel Cobin, Operational Program Manager
Board for Charter Schools (602) 364-3085

Mission:

To improve public education in Arizona by sponsoring charter schools that provide quality educational choices.

Description:

The Arizona State Board for Charter Schools sponsors and regulates charter schools. The Board oversees the academic and operational compliance of charter holders and reviews the fiscal viability of the schools. The Board also continuously reviews applications for new and replication charter schools as well as renewal applications for existing schools.

◆ **Goal** 1 To increase the quality of the Board's portfolio of charter schools by monitoring academic performance and fiscal and contractual compliance to ensure the continuation of schools that meet contractual obligations and improve education for Arizona's students.

Objective: 1 FY2020: By 06/30/21: Modify/Revise the Board's Operational Performance Framework to reflect changes to legislation and charter accountability. Evaluate if changes to the Board's Academic Performance Framework need to be made in response to COVID-19. Continue implementation of the Board's current performance frameworks, increase the number of site visits conducted, and increase the percentage of charter schools that meet the Board's performance expectations as set forth in the performance frameworks.

FY2021: By 6/30/22: Continue to implement, revise, and improve the Board's perfomance frameworks and processes to increase the percentage of charters that meet the Board's performance expectations as set forth in the performance framework and to improve the quality of charters within its portfolio.

FY2022: By 6/30/23: Continue to implement, revise, and improve the Board's perfomance frameworks and processes to increase the percentage of charters that meet the Board's performance expectations as set forth in the performance framework and to improve the quality of charters within its portfolio.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Number of Board sponsored charters with one or more sites in operation	422	440	450
Number of Board sponsored charter school sites in operation	536	550	560
Number of annual on-site monitoring visits	129	180	125
Explanation: Reflects first-year, interval review and renewal site visits only. Visits are conducted at the school level and are based on the year in which the charter began operations.			
Number of targeted on-site monitoring visits.	24	80	70
Explanation: Separating annual from targeted compliance-related on-site monitoring visits.			
Number of contract amendments processed annually not related to expansion.	540	550	560
Explanation: Separating expansion from non-expansion requests processed.			
Number of contract amendments processed annually for expansion.	82	75	75
Explanation: For FY20 and beyond expansions include: New School, Replication Applications, School Specific Change in Grades Served, Charter Grade Level Amendment , Arizona Online Instruction Program of Instruction Amendment, Adding Grade Levels to Charter Amendment, Grade Level Change to Charter Amendment Request			
Number of charter holder annual audits reviewed.	407	411	411
Number of corrective action plans mandated based on fiscal or contractual noncompliance.	204	210	210
Explanation: Any non-compliance matter requiring further action by charter holder and the Board.			
Number of corrective action matters prepared for Board consideration.	30	40	50
Number of disciplinary actions that resulted in withholding of funds.	10	10	10
Number of Notices of Intent to Revoke Charter issued.	2	5	5
Explanation: Revocation proceedings cross fiscal years, but are only reported once.			
Number of charter contracts voluntarily surrendered.	6	10	10
Number of charter contracts surrendered under duress.	5	5	5
Number of F rated schools evaluated.	12	10	10
Explanation: Pursuant to requirements of SB 1430 codified as ARS §15-241 (2016, 52nd Legislature Second Regular session) , the Department of Education will assign letter grades to each public school in FY 2017 and beyond. The letter grades reviewed are from a year lagging.			
Number of Consent/Settlement Agreements entered.	6	15	15
Number of charter contracts revoked.	0	5	5
Number of charter schools closed.	8	10	10
Explanation: Includes surrendered and revoked charters, non-renewals, and other school closures.			
Number of student record requests processed.	300	300	300
Number of five-year interval reviews completed.	118	160	100
Explanation: Each interval review is conducted at the charter holder level and includes an annual on-site monitoring visit for each school operated by the charter holder.			
Number of First-Year reviews completed	15	10	12
Explanation: New measure in FY18. A review of the charter holder and school in its first year of opeartion is reviewed prior to the on-site monitoring visit.			
Number of annual complaints regarding sponsored schools	246	250	250
Explanation: Complaints are reviewed for contractual compliance and processed accordingly.			

D rated schools evaluated by staff	24	25	25

Explanation: New measure in FY18. Pursuant to requirements of SB 1430 codified as ARS §15-241 (2016, 52nd Legislature Second Regular session) , the Department of Education will assign letter grades to each public school in FY 2017 and beyond. The letter grades reviewed are from a year lagging